

*University of Missouri – St. Louis*  
*College of Arts and Sciences*

***Bachelor of Social Work***

***Student Handbook***

***2005/2006***

**University of Missouri St. Louis**

**School of Social Work**

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**UNIVERSITY OF MISSOURI-ST. LOUIS**  
**SCHOOL OF SOCIAL WORK**  
**B.S.W. STUDENT HANDBOOK**

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## STAFF LISTING

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## **INTRODUCTION**

The Bachelor of Social Work (B.S.W.) program at UM-St. Louis is fully accredited by the Council on Social Work Education.

This student handbook has been developed to help the student become acquainted with the social work program. It is hoped that many questions the new social work student may have will be answered here. In some instances, the student is directed to other sources where the answers to their questions can be found. This handbook is supplemented by the Practicum Manual which provides information on the social work practicum experience; the University Student Handbook; and the UM-St. Louis Bulletin and Description of Courses. The university publications will provide full information on university admissions, fees, financial aid, work-study, and services provided to all students. The Bulletin can be accessed on line at [www.umsl.edu](http://www.umsl.edu).

## **MISSION OF THE COLLEGE OF ARTS AND SCIENCES**

The College of Arts and Sciences is the largest academic unit on the UM-St. Louis campus and plays a central role in executing each of the university's three missions: teaching, research, and service. The College is responsible for achieving the university's goal "that all baccalaureate graduates...should have a sound intellectual foundation in the liberal arts and sciences." Toward this end, the College offers baccalaureate degrees in each of its 18 academic departments, master's degree in 11 units, and doctoral degrees in 8. Beyond this, it provides the general education for all pre-professional students with a particular emphasis on writing.

In addition to transmitting existing knowledge, the College produces new knowledge. College faculties, for example, conduct an array of basic and applied research and, within the fine arts, develop and execute creative works. The total number of grants and published journal articles indicate that about 80% of the research at the university is generated in the College. The products of the College's research both enhance the university's teaching and contribute to society's well being.

The College is also an important leader in applying the university's land-grant mission to the urban/metropolitan community of St. Louis. It conducts applied research on urban and metropolitan issues, provides a wide range of noncredit programs in all academic disciplines, and extends credit programs and courses to those unable to come to campus during normal times.

In executing its service roles, the College works closely with the university's continuing education-outreach division and with the University of Missouri System's cooperative extension.

## **MISSION OF THE SCHOOL OF SOCIAL WORK**

The mission of the School of Social Work is derived from and consonant with the missions of the University of Missouri-St. Louis and the College of Arts and Sciences. UM-St. Louis shares University of Missouri's land-grant tradition and is committed to teaching, research, and public service. In addition to its role of advancing knowledge as part of a comprehensive university, the university has a special mission determined by its urban location and its land-grant heritage.

In context of the instructional, research, public service, and economic development mission of UM-St. Louis, the School of Social Work's mission is to provide a quality educational preparation for professional social workers at the undergraduate and graduate levels to meet human service needs, to promote social justice, to contribute to knowledge building in the field of social work/welfare, and to be a social welfare resource to the metropolitan community and the state. Toward this end, the School educates traditional and nontraditional students to deliver high quality professional social services, and provide leadership in human service agencies/organizations in the School's service area. Furthermore, through their professional roles as generalist social work practitioners at the BSW and advanced social work practitioners at the MSW level, students are educated and trained to develop professionally grounded service strategies that promote and advance the social and economic well-being of those they serve,

promote and encourage respect for diversity and plurality, and promote and develop a just and equitable society for all.

As indicated above, the School of Social Work provides a program in generalist social work practice at the undergraduate degree level (BSW) and an advanced social work practice program at the master's level (MSW). The two-degree programs serve a student body that is quite diverse, including students with different ethnic, racial, social class, sexual orientation, physical abilities, and cultural backgrounds. Moreover, the programs serve traditional and nontraditional students (i.e., students who are likely to be place-bound, time-bound, and part-time) who desire an undergraduate and/or graduate education in social work from a publicly supported, and generally more affordable university. Students are educated and trained to provide professional social work services to individuals, groups, and other collectives—that are experiencing, or at risk of, ambiguous and/or precarious life conditions—through direct social work practice with individuals, families, groups, organizations, and communities; and indirectly through outreach, collaboration, advocacy, policy development, and research. The School of Social Work assists in addressing the human conditions and social problems of the St. Louis metropolitan region and Missouri, and it prepares students to contribute to positive social change and to partnerships with area educational institutions, human service organizations/agencies, policymakers, citizen action groups, and business organizations. The use of computer-based information technologies, shared educational resources, and distance learning technologies, in collaboration with other public and private social work programs in the metropolitan region and the state, maximizes student learning.

## **GOALS OF THE BSW PROGRAM**

The goals of the Bachelor's in Social Work (BSW) program are to:

1. Prepare students with the knowledge, skills, values, and ethics for effective generalist professional social work practice.
2. Prepare undergraduate students to utilize problem solving and capacity building skills at all levels of social work practice, including their work with individuals, families, groups, organizations, and communities.
3. Prepare students to analyze and address dynamic issues and challenges facing diverse populations (e.g., ethnic, racial, social class, gender, sexual orientation, disability, age) and to promote social justice and positive social change.
4. Prepare students to conduct and to utilize research to respond effectively to dynamic social contexts, issues, and problems, and to inform and enrich their ongoing social work practice.
5. Assist and support faculty in their work to advance social work knowledge, and enhance their teaching and service.

Develop and participate in collaborative activities with social agencies, communities, organizations, and government that will enhance students' opportunities for learning and enrich faculty research and teaching.

The curriculum at the BSW level is organized around the concept of generalist social work practice. Generalist practice embodies content central to a common knowledge base, values and skills of social work practice. Students develop entry level skills to understand, assess, and intervene effectively at the individual, family, group, organizational and community levels. It implies understanding of self and one's impact on client systems. It requires openness, understanding and skills in working with diverse groups of people. Generalist practice is built on a liberal arts foundation, including understanding of basic psychological, sociological, economic, political and biological processes.

## **OBJECTIVES OF THE BSW PROGRAM**

The social work department has defined the following educational outcomes. Students who graduate from our program will be generalist practitioners that are able to do the following:

1. Acquire basic theoretical knowledge of individual, family, group, organizational, community, and social systems dynamics and processes.
2. Understand that oppression and injustice are endemic to human societies and to recognize the forms they take and the mechanisms used to perpetrate them. Within this context they become cognizant of strategies of change that advance social and economic justice.
3. Be knowledgeable about the roots of social work, including its origin and history, as well

as about its current structures and the issues faced by the profession.

4. Be able to conduct an initial assessment that identifies strengths/resources and problems with individuals, families, groups, organizations and communities.
5. Be able to identify the appropriate level(s) of intervention, including social policy, and conduct entry level intervention(s) at the individual, family, group, organization, and community levels—based on assessments of the relevant problems, strengths, and resources.
6. Develop critical thinking skills and a theoretical understanding of the problem solving process and entry-level skills in problem solving with individuals, families, groups, organizations and communities.
7. Develop a critical understanding of self and impact of self in social work practice, including the ability to use research to critically examine one's impact on client systems.
8. Develop theoretical and practical understanding and sensitivity to experiences of diverse population groups (e.g. ethnic, racial, class, gender, sexual orientation, age, ability and religious) and develop foundation skills in working with different systems.
9. Understand the social work Code of Ethics and be able to apply these guidelines in entry-level social work practice at each level of practice.
10. Develop an entry-level identity as a social work professional.
11. Gain skills, tools, and resourcefulness to continue developing analytical and substantive abilities throughout the life span.

## **ADMISSION POLICY**

Students entering UM-St. Louis as freshmen should indicate a pre-social work major. Applications for admission to the Social Work program will be distributed in the Social Work 3100 course. Students must be admitted to the program before they will be classified as majors. Admission is conditional upon the successful completion of all necessary requirements.

Requirements for consideration for Admission to the Social Work Program

1. Junior standing
2. Submission of:
  - a. Application for admission to social work program
  - b. Transcript of all university work or recent Degree Audit Report (DAR)
  - c. Two references: one from a college or university professor and one from a work or volunteer experience supervisor.

3. Completion of Social Work 1100, 1200 and 1201 or their equivalents, or an AAS in Human Services.
4. Completion with a "B-" or better in 2 of the 3 courses: Social Work 1100, 1200, and 1201 and, have a "C-" or better in Psychology 1003 and Sociology 1010 or their equivalents.
5. Applicants may be asked to meet with the social work admissions committee.

## **ADVISING**

In social work, regular advising is required because understanding each aspect of the program is dependent upon a good understanding of the entire program. The advising process is designed to help students plan their programs logically and thereby enhance educational progress. Advisors can be helpful in assisting students with assessing their aptitude and motivation for a career in social work. Advisors also work with students in selecting field sites compatible with their learning and career goals.

### **Steps in Advising Process**

1. Before applying to the social work program students are encouraged to meet with an academic advisor in the University Advising Office to discuss the procedure.
2. Following acceptance into the program, the student's records will be forwarded to the social work department and the student will be assigned a social work advisor.
3. The student and advisor meet to prepare an academic advising plan leading to the social work degree.  
This plan will be placed in the student's advising folder. A sample program is listed on pages 13 and 14. Students should bring a current copy of their Degree Audit Report (DARS) to each advising session. This can be obtained using the \*UMSL system.

**It is required that Social Work students meet with an advisor at least once each semester to review their educational program and to obtain permission to register for classes. No one will be allowed to register until the department enters approval into the campus system or a member of the Social Work faculty has signed a registration form.**

## REGISTRATION

1. Registration forms are mailed to eligible students by the Registrar's Office each semester. If the form is lost, a duplicate form can be obtained at the Registration Office, 269 Millennium Student Center.
2. Student's schedule must be approved by the advisor prior to registering. The advisor may either sign the registration form approving the schedule, or release the hold on the student's registration via the campus computer system.
3. Some courses are designated "special consent" courses. The designation will be noted in the semester schedule. Special consent forms are available only in the department offering the class. Students should be sure to obtain necessary consent forms before registering.
4. **Student's are encouraged to register as early as possible to avoid being closed out of a class.** When social work classes are closed, special consent to enter will be given only under extraordinary circumstances and only with the consent of both the instructor and the department chairperson.
5. Prerequisites must be checked before students enroll in a course. Students enrolled in social work courses without the proper prerequisites will most likely be disenrolled shortly before classes begin when prerequisites are checked. The university requires that all students have a C- or better in prerequisite courses.

## REQUIREMENTS FOR THE BACHELOR OF SOCIAL WORK DEGREE

There are two sets of requirements students must meet in order to obtain their degree.

1. General education requirements,  
University requirements AND  
College of Arts and Sciences requirements
2. Social work department requirements

## **Social Work Requirements**

The Bachelor of Social Work (BSW) requires completion of 120 semester hours with the following conditions;

- 1) A minimum of 45 semester hours must be earned in courses beyond the introductory level.
- 2) A grade point average of 2.5 or better is required in all coursework specifically required for the major, with a satisfactory grade in the practica. A minimum of 2.0 is required for the overall degree.
- 3) A maximum of 50 semester hours in social work may apply toward the degree. Waivers may be arranged with special permission.
- 4) A minimum of 24 of the last 30 semester hours of graded credit must be completed in residence at the University of Missouri-St. Louis.
- 5) No more than 18 semester hours may be taken on the satisfactory/unsatisfactory option. No required social work or related area courses may be taken satisfactory/unsatisfactory except the practicum Social Work 4800 and Social Work 4850.
- 6). Please note that all prerequisites must be completed with a C- or better, except for Social Work 1100, 1200, and 1201 which you must have a "B-" or better.

## **Social Work Core Requirements**

Social Work 1100, Social Work and Social Problems

Social Work 1200, Social Welfare as a Social Institution

**Prerequisites: Social Work 1100 or consent of instructor**

Social Work 1201, Social Welfare as a Social Institution Lab – must be taken concurrently with Social Work 1200

**Prerequisites: same as for SW 1200.**

Social Work 3100, Introduction to Interventive Strategies in Social Work

**Prerequisites: Social Work 1200/1201, Psychology 1003, and Sociology 1010, or permission of the instructor.**

Social Work 3150, Human Behavior in the Social Environment

**Prerequisites: Biology 1012 and Psychology or Sociology 2160, or permission of the instructor.**

Social Work 3400, Social Issues and Social Policy Development

**Prerequisites: Social Work 1200/1201 Political Science 1100, and Economics 1000**

Social Work 3200, Interventive Strategies for Social Work with Individuals, Families, and Groups

**Prerequisites: Social Work 3100 and 3150**

Social Work 3300, Interventive Strategies for Social Work with Organizations and Communities

**Prerequisites: Social Work 3400 (may be taken concurrently), senior standing.**

Social Work 3500, Research Design in Social Work

**Prerequisite: Sociology 3220 and satisfaction of math proficiency.**

Social Work 4100, Diversity and Social Justice

**Prerequisites: Sociology 1010 or equivalent**

Social Work 4800\*, Supervised Field Experience in Social Work I

**Prerequisites: Social Work 3200 must be taken concurrently or prior to Social Work 4800. Consent of the instructor is required.**

Social Work 4801, Integrative Field Experience Seminar I

**Prerequisite: Concurrent enrollment in Social Work 4800. Consent of the instructor is required.**

Social Work 4850, Supervised Field Experience in Social Work II

**Prerequisites: Social Work 4800, Social Work 4801. Social Work 3300 must be taken concurrently or prior to Social Work 4850. Consent of the instructor is required.**

Social Work 4851, Integrative Field Experience Seminar II

**Prerequisite: Concurrent enrollment in Social Work 4850. Consent of the instructor is required.**

**Before students will be accepted into Social Work 4800, they must have been accepted into the social work program, and they must attend a special pre-practicum workshop which meets for two sessions during the preceding semester.** This workshop assists students in selection of field placements and helps identify learning objectives for the practicum experience. The workshop is usually scheduled during the early weeks of the preceding fall or winter semester. The dates are announced in social work classes and posted in various locations.

**Students who are not enrolled in core social work courses during the semester prior to their planned practicum must inform the social work secretary to ensure that they receive notification.**

Two semesters (each consisting of 285 hours) of practicum are required in order to graduate. Under special circumstances and with the approval of the Office of Field Education and agency supervisor, one semester block of 285 hours may be extended and completed in one academic year. Further exceptions will be considered only upon receipt of a physician's letter stating the reasons why the student is unable to fulfill requirements during this time period.

### **Related Area Requirements**

Biology 1010, General Biology or equivalent. Students are encouraged to take one additional Biology which will fulfill the Natural Sciences and Mathematics requirement.

Economics 1000, Introduction to the American Economy  
Political Science 1100, Introduction to American Politics

Psychology 1003, General Psychology

Sociology 1010, Introduction to Sociology

Sociology 2160, Social Psychology **or** Psychology 2160, Social Psychology

Sociology 3220, Sociological Statistics

**In addition to the courses listed on the previous page, at least 9 hours must be taken in social work, sociology, psychology, economics, political science, criminology & criminal justice or anthropology at the 2000 level or above. Social Work courses taken in fulfillment of this requirement will be applied toward the maximum of 50 hours allowed in social work.**

### **Additional Requirements**

After fulfilling the general education and specific major degree requirements, students are to take the remaining 29 hours required to complete the Bachelor of Social Work degree from courses, which the appropriate department has evaluated as being of university-level quality, from one or more of the following areas:

Anthropology/Archaeology	Economics	Mathematics/Computer Science
Art (appreciation, history, studio)	Education	Music (appreciation, history, performance)
Astronomy	Engineering	Philosophy
Biology	English	Physics
Business	Foreign Language/Lit.	Political Science
Chemistry	Geology	Psychology
Communication	History	Social Work
Criminology & Criminal Justice	Inter-Disciplinary	Sociology
		Women and Gender Studies

Or their university-quality equivalents at other institutions. The Social Work department may require students to pass a placement test in order to enroll in the next level course, provided this or an equivalent test is administered to all students seeking to enroll in that course.

## **ADDITIONAL INFORMATION**

1. Students are encouraged to work closely with an advisor to plan their academic program. This will ensure that students move through the university system in a timely manner.
2. A student who begins to experience problems with classes should seek assistance from his or her advisor immediately. Students must have a 2.0 overall grade point average, a 2.5 grade point average in required social work and related area courses, and a satisfactory grade in practica in order to graduate.
3. Each student must contact his/her advisor before applying for the practicum program. This is generally done immediately prior to entering the senior year. After the faculty advisor signs the practicum application form it should be turned into the Office of Field Education (590 Lucas Hall). The faculty will review each application before final approval is given.
4. A student will not be allowed to enroll in a Practicum if he or she:
  - A. Has any incomplete or delayed grades.
  - B. Has not completed the mathematics proficiency requirement.
  - C. Has fewer than 90 credit hours by the time practicum begins.
  - D. Less than a 2.5 GPA in social work and related area requirements.
5. No student is allowed to enroll in the practicum program without the Office of Field Education consent and participation in the special pre-practicum workshops. In order to register for the class students **must** obtain a special consent form from the Office of Field Education.
6. **Academic credit for life experience and previous work may not be given, in whole or in part, in lieu of the field practicum or of courses in the professional foundation areas.**

## THE "IDEAL" SOCIAL WORK CURRICULUM

The following is a sample 4-year program which will allow students to complete the program in a timely manner-meeting all of the degree requirements. Substitutes will need to be made since all courses are not taught every semester. The appropriate sequencing of courses is essential and will be monitored by your advisor. **Students entering as freshmen should use the following sample 4-year program to guide them in selecting courses.**

### Sample Four Year Program

#### Freshman Year

##### First Semester

<u>Course</u>	<u>Hours</u>
Humanities	3.0
Psychology 1003	3.0
Sociology 1010	3.0
Biology 1012	3.0
Math workshop if needed,	No credit
Elective	3.0

**TOTAL-15 Hours**

##### Second Semester

<u>Course</u>	<u>Hours</u>
Humanities	3.0
Economics 1000	3.0
Human Biology 1102	3.0*
English 1100	3.0
Cultural Diversity	3.0

**TOTAL—15 Hours**

#### Sophomore Year

##### First Semester

<u>Course</u>	<u>Hours</u>
Soc. Work 1100	3.0
Poli., Sci. 1100	3.0
Math 1020 or 1030	3.0
Humanities	3.0
Elective	3.0

**TOTAL-15 Hours**

##### Second Semester

<u>Course</u>	<u>Hours</u>
Soc. Work 1200	3.0
Soc. Work 1201 (Lab)	1.0
Psych. 2160	3.0
Soc. Science Elec.*	3.0
Elective	6.0

**TOTAL—16 Hours**

**Students transferring in with an AA degree should use the following sample two-year program to guide them in selecting courses.**

### Junior Year

#### First Semester

<u>Course</u>	<u>Hours</u>
Soc. Work 3100 (apply to SW program)	3.0
Soc. Work 3150	3.0
Sociology 3220	3.0
Advanced Expository Writing (English 3100)	3.0
Soc. Science Elective	3.0

#### Second Semester

<u>Course</u>	<u>Hours</u>
Soc. Work 3200	3.0
Soc. Work 4100	3.0
Soc. Work 3400	3.0
Soc. Work 3500	3.0
Soc. Science Elec	3.0

**TOTAL-15 Hours**

Social Work 4100-Diversity and Social Justice  
Social Work 3500-Research Design in Social Work

**TOTAL—15 Hours**

### Senior Year

#### First Semester

<u>Course</u>	<u>Hours</u>
Soc. Work 4800	4.0
Soc. Work 4801	2.0
Elective	3.0
Elective	3.0
Elective	3.0

#### Second Semester

<u>Course</u>	<u>Hours</u>
Soc. Work 4850	4.0
Soc. Work 4851	2.0
Soc. Work 3300	3.0
Elective	3.0
Elective	3.0

**TOTAL-15 Hours**

**TOTAL—15 Hours**

**STUDENTS NEED 120 HOURS TO GRADUATE.**

Those students who have transferred to UM-St. Louis with an AAS in Human Services are particularly encouraged to take a social work elective in place of the Social Work 1100 and Social Work 1200/1201 courses which have been waived.

\* Nine hours must be taken in social work, sociology, psychology, political science, criminology & criminal justice, anthropology, or economics at the **2000** level or above

## **STUDENT ACTIVITIES**

Students are invited and encouraged to join and participate in the Student Social Work Association and other professional clubs and organizations while pursuing their degree. Communication with other students and professionals will assist students in both refining their program and establishing relationships with other students in their field. Some organizations which students may join and participate in are:

### **A. Student Social Work Association**

The Student Social Work Association, a student led campus organization, provides a structure through which the social work student can:

1. have formalized input into decisions related to the social work program and curriculum;
2. arrange for additional educational experiences and develop social work leadership opportunities; and
3. enjoy the social support of other social work students.

Announcements of the first meeting are generally made in the early fall. Watch the social work bulletin board outside the Social Work Office, 590 Lucas Hall.

B. National Association of Social Workers

C. National Association of Black Social Workers

D. National Federation of Student Social Workers

E. The Missouri Association for Social Welfare

Students can ask their Social Work advisor for additional information concerning the organizations listed above and others organizations available to students.

Students may also take advantage of a number of special programs offered by the University, which will be of great assistance to them while pursuing their degree. Some of these programs are:

- A. Women's Center--a place to get support and assistance in coping with UM-St. Louis, help in doing research on women, and answers to questions about almost anything (516-5380).
- B. Black Culture Room--Associated Black Collegians houses a tutorial service and is equipped with a study area and lounge (516-5731).
- C. Disability Access Services--to help advise faculty of special needs of students attending UM-St. Louis (516-6554).

- D. Career Services--Has part-time non-degree jobs on campus or part-time degree related jobs in the community. Services include listing of immediate full-time positions and help with resume writing as well as campus recruiting by representatives of business, government and schools (516-5111).
- E. The Center for Academic Development--is an academic support program that focuses attention on the needs of UM-St. Louis students who may require assistance with writing and math (516-5194).
- F. The UM-St. Louis Counseling Center--offers free professional assistance to students, faculty and staff with personal, social, educational or career concerns (516-5711).
- G. The International Students Organization (516-5753)
- H. Veteran's Affairs Office--offers assistance in making transition from military life to student life as easy as possible (516-5679).

**The above services are available to both day and evening students.**

## **CRITERIA FOR ADMISSION AND RETENTION IN THE SOCIAL WORK PROGRAM**

1. Enrollment as a student in good standing at UM-St. Louis.
2. Passing grades in all courses listed as requirements and a “B-“ in 2 of the 3 courses: SW1100, SW1200, and SW1201 **and** a "C-"or better in all other courses listed as prerequisites for required social work courses.
3. Adherence to the National Association of Social Workers' Code of Ethics.
4. Maintenance of social functioning that allows for beginning level professional social work practice. (Social functioning is the students' ability to cope with the demands from such areas as school, work, family and personal relationships.)
5. Demonstration of effective verbal and written communication skills.

## **RETENTION PROCEDURES**

Individual faculty and the involved student are expected to deal with issues early on that might affect retention.. Outlined below is the BSW Social Work Program's retention procedure.

1. Social work advisors and instructors will monitor the progress of social work majors by reporting recurring problems to the chairperson of social work. (Recurring problems refer to a student's inability to meet any of the five criteria for retention.)
2. The Co-Director's of Field Education and the agency field instructor will monitor the field instruction performance of social work majors.
3. A mid-term and end of semester review will be conducted by the total full-time social work faculty and a conference will be held by social work advisors with those students who are identified as NOT meeting the following criteria:
  - a. passing grades in required social work courses
  - b. adherence to the NASW Code of Ethics
  - c. social functioning that allows for effective beginning level social work practice
  - d. demonstration of effective verbal and written communication skills.
  - e. enrollment as a student in good standing at UM-St. Louis
4. Should the social work faculty think that a student is unable or unwilling to meet the criteria for retention, a meeting will be held to allow the student to present any information that affects his/her situation. The meeting will include the student, the social work advisor, such other full-time social work faculty as may be reasonably available, and an advocate, if desired, of the student's choosing from within the university.
5. The decision will be made by the social work faculty as to whether or not the student will be retained in the social work program, and if retained, under what circumstances. The chairperson of social work will relay the decision to the student in writing.
6. Any student wishing to appeal a decision not to retain him/her in the social work program should follow the university academic appeal procedure.

Should the retention procedures fail to produce a decision satisfactory to the student involved, the student may appeal to the university's academic appeal procedure described in the student handbook and the campus Bulletin.

# GRIEVANCE PROCEDURES

Individual faculty and the student involved are expected to attempt to resolve conflicts informally before resorting to formal grievance procedures. Described below are the procedures for grade appeals and discrimination grievances.

## 1. Grade Appeal Procedure

On each campus of the University of Missouri, it is the Chancellor who is ultimately responsible to the President and the Board of Curators for all campus programs, policies, and activities. On the University of Missouri-St. Louis campus, the Chancellor has delegated responsibility for overseeing the grade appeal process to the Vice Chancellor for Academic Affairs. The Vice Chancellor is therefore responsible for assuring that grade appeals are handled in a fair and timely manner. More specifically, that officer is responsible for seeing that the procedures outlined below are appropriately followed.

### Informal Procedures

At any time after the awarding of a grade, for a course or an assignment in a course, a student may discuss the grade with her or his instructor and request that the instructor review the grade. If the instructor does review the grade he or she is, of course, free to change the grade or not as is appropriate.

### Formal Procedures

The following procedures apply if the above informal procedure does not resolve a dispute concerning a grade to the student's satisfaction and if the process is initiated within 30 working days of the start of the first regular semester (fall or winter) following the semester for which the grade was given, or 30 days after the assignment of the grade (whichever is later).

1. If the student has not already done so, he or she discusses the contended grade fully with the course instructor. <sup>1</sup> The student should prepare for this meeting by taking all relevant written work (test, reports, etc.) with him/her. If the issue is not resolved, and the student wished to pursue the appeal, he or she should consult the administrative officer of the department or discipline housing the course in question. (This officer will normally be someone below the level of the Dean.) The administrative officer will discuss the appeal with the course instructor, and will inform the student of the result of this discussion. (That result may be the instructor's agreement to change the grade, his or her refusal to change the grade, or her or his agreement to discuss the case further with the student.) The administrative officer may require that the student put the appeal in written form before the administrative officer discusses it with the instructor.

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<sup>1</sup> If the instructor is deceased, cannot be located, or is otherwise unable or unwilling to reconsider the grade, the student should consult directly with the administrative officer of the department or discipline housing the course in question. The remaining procedures here specified will be followed except that the administrative officer and the faculty committee will not consult with the instructor if he or she is unavailable.

2. If the matter remains unresolved, the student may, within 10 working days of being notified of the result of the discussion between the administrative officer and the instructor, or within 10 working days of her or his last discussion with the instructor, submit a detailed written statement of the complaint to the administrative officer. The administrative officer will refer it to a faculty committee composed of at least three faculty members in the department or unit offering the course, or if such are not available, in closely allied fields. This committee will investigate the matter, meeting, as it may deem necessary, with the student, the instructor, and possibly others. Following its inquiries and deliberations, but prior to making its final recommendations, the faculty committee will submit a copy of its findings to the course instructor. If the course instructor elects to comment on the findings to the committee, this must be done in writing within seven working days. After further consideration, but within 30 working days after receiving the student's statement, the faculty committee will submit its findings with its recommendations and reasons for those recommendations directly to the course instructor, with a copy to the administrative officer.
  3. If the faculty committee recommends that the grade be changed, the administrative officer will ask the instructor to implement the recommendation. If the instructor declines, the administrative officer will change the grade, notifying the instructor and the student of this action. Only the administrative offer, upon the written recommendation of the faculty committee, will effect a change in grade over the objection of the instructor who assigned the original grade.<sup>2</sup>
  4. If the faculty committee recommends that the grade not be changed, the administrative officer will notify the student of this action. The student may then appeal to the Dean of the School or College within which the course in question is housed, who will determine whether the above procedures have been properly observed. If the Dean determines that the procedures have not been appropriately followed, and that their not being followed may have substantively affected the outcome, the case will be returned to the faculty unit for review by the same or, if the Dean so determines, by a different committee.
  5. If the Dean denies the procedural appeal, the student may ask the Vice Chancellor for Academic Affairs, acting as the Chancellor's designee, to conduct a procedural review. The Vice Chancellor is not obligated to conduct such a review and will normally do so only where there is compelling evidence of procedural irregularities. If the Vice Chancellor finds the procedures have not been appropriately followed, and that their not being followed may have substantively affected the outcome, the case will be returned to a lower level for rereview. As the Vice chancellor is acting as the designee of the Chancellor, there is no appeal beyond this level.
2. **Discrimination Grievance Procedure for Students (U.M. Collected Rules & Regulations, 390.010 Bd. Min 12-17-82, Bd. Min 1-25-90)**

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<sup>2</sup> Under current campus policy, transcript notation of 'DL' automatically becomes an F after one regular semester. These changes, which the Registrar is mandated to make, are not considered grade changes and are consistent with this Grade Appeal Policy. Students may appeal these changes provided the appeal is initiated within 30 working days of the notification of the change.

A. General:

1. It is the policy of the University of Missouri to provide equal opportunity for all enrolled students and applicants for admission to the University on the basis of merit without discrimination on the basis of their race, color, religion, sex, national origin, age or disability, or Vietnam era veteran status. Sexual harassment shall be considered discrimination because of sex.
2. To insure compliance with the policy, all University of Missouri prospective or enrolled students shall have available to them this student discrimination grievance procedure for resolving complaints and/or grievances regarding alleged discrimination.
3. This grievance procedure neither supersedes nor takes precedence over established University procedures of due process for any and all matters related to Academic Dishonesty, Grade Appeals, Traffic Appeals, Disciplinary Appeals, or other specific campus procedures which are authorized by the Board of Curators and deal with faculty/staff responsibilities.
4. These proceedings may be terminated at any time by the mutual agreement of the parties involved.

**NOTE:** A grievance concerning specific incidents filed under this discrimination grievance procedure shall not be processed on behalf of any student who elects to utilize another University grievance procedure. In addition, the filing of a grievance under these procedures precludes the subsequent use of other University grievance or appeals procedures for the same incident.

**The full text of U.M. Collected Rules & Regulations 390.010 is available from the Offices of Equal Opportunity, the Vice Chancellor for Student Affairs, and the Women's Center, and is reprinted in the Bulletin. Professional staff members in any of these offices are available to discuss and explain these provisions in a confidential setting.**

## **SEXUAL HARASSMENT**

**(U.M. Collected Rules & Regulations, 330.060 Executive Order No. 20, 3-17-81, rev. 7-1-81, 9-20-83, 3-93, 12-98)**

The University is committed to maintaining an atmosphere that is free of sexual harassment. It is the responsibility all faculty, staff, and students to help promote and maintain such an atmosphere.

The collected rules and regulations of the University of Missouri define sexual harassment as either:

1. Unwelcome sexual advances or requests for sexual activity by a University employee in a position of power or authority to a University employee or a member of the student body, or
2. Other unwelcome verbal or physical conduct of a sexual nature by a University employee or a member of the student body to a University employee or a member of the student body, when:

- a.) Submission to or rejection of such conduct is used explicitly or implicitly as a condition for academic or employment decisions; or
- b). The purpose or effect of such conduct is to interfere unreasonably with the work or academic performance of the person being harassed; or
- c). The purpose or effect of such conduct to a reasonable person is, to create an intimidating, hostile, or offensive environment.

**Informal Consultation:**

The University has an affirmative obligation to investigate every formal complaint of sexual harassment. Students, staff, and faculty are entitled to proceed directly to the filing of a formal complaint based on an allegation of sexual harassment. However, the campus also has individuals available who are willing to talk confidentially with students, staff, and faculty who believe they may have experienced sexual harassment but are not ready to file a formal complaint. Such discussions may, but need not, lead to the filing of a formal complaint, and a formal investigation.

These individuals include:

Miranda Duncan	Public Policy Research Center	516-6040
Sharon Clark	Associate Dean, College of Arts & Sciences	516-5501
Director	Office of Equal Opportunity	516-5695
Joanne Bocci	Interim Associate Vice Chancellor for Student Affairs	516-5211
Deborah Burris	Manager of Employee Relations/Employee Development	516-5695
Sharon Biegen	Director, Counseling Services	516-5711
Curtis Coonrod	President, Staff Association	516-5211

These individuals are available to talk informally and confidentially with those who believe they may have experienced sexual harassment, and, where appropriate, to attempt to resolve, on an informal basis, whatever issues these individuals may have.

**Filing a formal complaint:**

The following have been designated by the Chancellor as the individuals who will assist faculty, students, and staff in filing formal complaints of sexual harassment. Each is willing to discuss issues in an informal fashion, but each is also under an obligation to initiate an investigation if he or she believes there are probable grounds for a case of sexual harassment.

Faculty: Academic Affairs, 516-5372

Students: Joanne Bocci, Interim Associate Vice Chancellor for Student Affairs, 516-5211. Such complaints will be processed by the office of the Vice Chancellor within whose unit the harassment is alleged to have occurred.

Staff: Peter Heithaus, Director of Human Resources, 516-5809.

**Provisions for Auxiliary Aids, Reasonable Accommodations, and Other Services for Students With Disabilities**

The University of Missouri is committed to equal educational opportunities for qualified students without regard to disabling condition. The university, therefore, will take necessary action to ensure that no qualified student with a disability is denied access to any particular course or educational program. Such action includes an assessment of the student's abilities and an evaluation of the requirements of the particular course or program.

If the University determines that some type of auxiliary aid is required, it will assist the qualified student with a disability in obtaining the necessary auxiliary aid from other sources. If it is not available from other sources, the University, at its option, will provide you with the necessary auxiliary aid.

Requests for the assessments must be made to the Director of Disability Access Services no later than six weeks prior to the beginning of the next semester. Unfavorable determinations may be appealed through the University of Missouri Discrimination Grievance procedures for Students, a copy of which will be provided to you if your request for auxiliary aid is denied.

The University will make reasonable modifications to its academic requirements, if necessary to comply with legal requirements ensuring that such academic requirements do not discriminate or have the effect of discriminating on the basis of a student's known and adequately documented disability, unless the requested modification would require alteration of essential elements of the program or essential elements of directly related licensing requirements or would result in undue financial or administrative burdens.

The division dean's office. In cooperation with the Director of Accessibility Services and the department through which the requirement is fulfilled, will determine the appropriate modification or substitution.

Please consult the complete **Executive Order No. 21, 240.040 Policy Related to Students with Disabilities** for further information. (A copy of the revised Executive Order No. 21 can be viewed or obtained at the Thomas Jefferson Library in the UM collected Rules and Regulations, the University of Missouri website, or from the Director of Disability Access Services in 144 Millennium Student Center.)

## **STUDENT CONDUCT CODE**

Like other American universities, UM-St. Louis is authorized to establish reasonable expectations with regard to student behavior, and to enforce related rules and regulations for the general welfare of the academic community. The Collected Rules & Regulations of the University of Missouri concerning student conduct are reprinted below. Students who are charged with violating any provisions of the Standard of Conduct will also be provided with a copy of the Rules of Procedures in Student Conduct Matters, available in the office of the Vice Chancellor for Student Affairs and reprinted in the Bulletin.

Students who are found to be in violation of the Standard of conduct are subject to the following Sanctions: Warning, Probation, Loss of Privileges, Restitution, Discretionary Sanctions, Residence Hall Suspension, Residence Hall Expulsion, University Dismissal, University Suspension, or University Expulsion.

**U.M. Collected Rules & Regulations, 200.010 - Standard of Conduct (Amended Bd. Min. 3-20-81; Bd. Min. 8-3-90)**

A student enrolling in the University assumes an obligation to behave in a manner compatible with the University's function as an educational institution.

A. JURISDICTION OF THE UNIVERSITY OF MISSOURI generally shall be limited to conduct which occurs on the University of Missouri premises or at University-supervised functions. However, nothing restrains the administration of the University of Missouri from taking appropriate action, including, but not limited to, the imposition of sanctions under Section 200.020('C), against students for conduct on or off University premises in order to protect the physical safety of students, faculty, staff, and visitors.

B. CONDUCT for which students are subject to sanctions falls into the following categories:

1. Academic dishonesty, such as cheating, plagiarism, or sabotage. The Board of Curators recognizes that academic honesty is essential for the intellectual life of the University. Faculty members have a special obligation to expect high standards of academic honesty in all student work. Students have a special obligation to adhere to such standards. In all cases of academic dishonesty, the instructor shall make an academic judgment about the student's grade on that work and in that course. The instructor shall report the alleged academic dishonesty to the Primary Administrative Officer.

a. The term cheating includes but is not limited to:

- (i) Use of any authorized assistance in taking quizzes, tests, or examinations;
- (ii) Dependence upon the aid of sources beyond those authorized by the instructor in writing papers, preparing reports, solving problems, or carrying out other assignments;
- (iii) Acquisition or possession without permission of tests or other academic material belonging to a member of the University faculty or staff;
- (iv) Knowingly providing any unauthorized assistance to other student on quizzes, tests, or examinations.

b. The term plagiarism includes, but is not limited to:

- (i) use by paraphrase or direct quotation of the published or unpublished work of another person without fully and properly crediting the author with footnotes, citations or bibliographical reference;
- (ii) unacknowledged use of materials prepared by another person or agency engaged in the selling of term papers or other academic materials;
- (iii) unacknowledged use of original work/material that has been produced through collaboration with others without release in writing from collaborators.

c. The term sabotage includes, but is not limited to, the unauthorized interference with, modification of, or destruction of the work or intellectual property of another member of the University community.

2. Forgery, alteration, or misuse of University documents, records or identification, or knowingly furnishing false information to the University.
3. Obstruction or disruption of teaching, research, administration, conduct proceedings, or other University activities, including its public service functions on or off campus.
4. Physical abuse or other conduct which threatens or endangers the health or safety of any person.
5. Attempted or actual theft or damage to, or possession without permission of property of the University or a member of the University community or of a campus visitor.
6. Unauthorized possession, duplication or use of keys to any University facilities or unauthorized entry to or use of University facilities.
7. Violation of University policies, rules or regulations or of campus regulations including, but not limited to, those governing residence in University-provided housing, or the use of University facilities, or the time, place and manner of public expression.
8. Manufacture, use, possession, sale or distribution of alcoholic beverages or any controlled substance without proper prescription or required license or as expressly permitted by law or University regulations
9. Disruptive or disorderly conduct or lewd, indecent, or obscene conduct or expression.
10. Failure to comply with directions of University officials acting in the performance of their duties.
11. Illegal or unauthorized possession of firearms, explosives, other weapons, or dangerous chemicals.
12. Actual or attempted theft or other abuse of computer time, including but not limited to:
  - a. Unauthorized entry into a file to use, read, or change the contents, or any other purpose.
  - b. Unauthorized transfer of a file.
  - c. Unauthorized use of another individual's identification and password
  - d. Use of computing facilities to interfere with the work of another student, faculty member or University official.
  - e. Use of computing facilities to interfere with normal operation of the University computing system.
  - f. Knowingly causing a computer virus to become installed in a computer system or file.

## **CURRICULUM POLICY STATEMENT**

The Council on Social Work Education has approved the attached Curriculum Policy Statement. This policy is used by the department to guide our decision about curriculum and should give the student some understanding of the rationale behind the content included in courses and the sequencing of courses (See Appendix B).

# Code of Ethics

*of the National Association of Social Workers*

**Approved by the 1996 NASW Delegate Assembly and revised by the 1999 NASW Delegate Assembly**

## Preamble

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

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

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

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

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

## Purpose of the NASW Code of Ethics

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

The *NASW Code of Ethics* serves six purposes:

1. The *Code* identifies core values on which social work's mission is based.
2. The *Code* summarizes broad ethical principles that reflect the profession's core values and establishes a set of specific ethical standards that should be used to guide social work practice.
3. The *Code* is designed to help social workers identify relevant considerations when professional obligations conflict or ethical uncertainties arise.

4. The *Code* provides ethical standards to which the general public can hold the social work profession accountable.
5. The *Code* socializes practitioners new to the field to social work's mission, values, ethical principles, and ethical standards.
6. The *Code* articulates standards that the social work profession itself can use to assess whether social workers have engaged in unethical conduct. NASW has formal procedures to adjudicate ethics complaints filed against its members.\* In subscribing to this *Code*, social workers are required to cooperate in its implementation, participate in NASW adjudication proceedings, and abide by any NASW disciplinary rulings or sanctions based on it.

\*For information on NASW adjudication procedures, see *NASW Procedures for the Adjudication of Grievances*.

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

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

Ethical decision making is a process. There are many instances in social work where simple answers are not available to resolve complex ethical issues. Social workers should take into consideration all the values, principles, and standards in this *Code* that are relevant to any situation in which ethical judgment is warranted. Social workers' decisions and actions should be consistent with the spirit as well as the letter of this *Code*.

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

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

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

counsel and discipline its own members.

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

## **Ethical Principles**

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

**Value:** *Service*

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

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

**Value:** *Social Justice*

**Ethical Principle:** *Social workers challenge social injustice.*

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

**Value:** *Dignity and Worth of the Person*

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

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

**Value:** *Importance of Human Relationships*

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

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

**Value:** *Integrity*

**Ethical Principle:** *Social workers behave in a trustworthy manner.*

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

**Value:** *Competence*

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

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

## **Ethical Standards**

The following ethical standards are relevant to the professional activities of all social workers. These standards concern (1) social workers' ethical responsibilities to clients, (2) social workers' ethical responsibilities to colleagues, (3) social workers' ethical responsibilities in practice settings, (4) social workers' ethical responsibilities as professionals, (5) social workers' ethical responsibilities to the social work profession, and (6) social workers' ethical responsibilities to the broader society.

Some of the standards that follow are enforceable guidelines for professional conduct, and some are aspirational. The extent to which each standard is enforceable is a matter of professional judgment to be exercised by those responsible for reviewing alleged violations of ethical standards.

### **1. Social Workers' Ethical Responsibilities to Clients**

#### **1.01 Commitment to Clients**

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

#### **1.02 Self-Determination**

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

#### **1.03 Informed Consent**

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

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

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

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

(e) Social workers who provide services via electronic media (such as computer, telephone, radio, and television) should inform recipients of the limitations and risks associated with such services.

(f) Social workers should obtain clients' informed consent before audiotaping or videotaping clients or permitting observation of services to clients by a third party.

## 1.04 Competence

(a) Social workers should provide services and represent themselves as competent only within the boundaries of their education, training, license, certification, consultation received, supervised experience, or other relevant professional experience.

(b) Social workers should provide services in substantive areas or use intervention techniques or approaches that are new to them only after engaging in appropriate study, training, consultation, and supervision from people who are competent in those interventions or techniques.

(c) When generally recognized standards do not exist with respect to an emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.

## 1.05 Cultural Competence and Social Diversity

(a) Social workers should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.

(b) Social workers should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.

(c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, age, marital status, political belief, religion, and mental or physical disability.

## 1.06 Conflicts of Interest

(a) Social workers should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Social workers should inform clients when a real or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that makes the clients' interests primary and protects clients' interests to the greatest extent possible. In some cases, protecting clients' interests may require termination of the professional relationship with proper referral of the client.

(b) Social workers should not take unfair advantage of any professional relationship or exploit others to further their personal, religious, political, or business interests.

(c) Social workers should not engage in dual or multiple relationships with clients or former clients in which there is a risk of exploitation or potential harm to the client. In instances when dual or multiple relationships are unavoidable, social workers should take steps to protect clients and are responsible for setting clear, appropriate, and culturally sensitive boundaries. (Dual or multiple relationships occur when social workers relate to clients in more than one relationship, whether professional, social, or business. Dual or multiple relationships can occur simultaneously or consecutively.)

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

to testify in a child custody dispute or divorce proceedings involving clients) should clarify their role with the parties involved and take appropriate action to minimize any conflict of interest.

## 1.07 Privacy and Confidentiality

(a) Social workers should respect clients' right to privacy. Social workers should not solicit private information from clients unless it is essential to providing services or conducting social work evaluation or research. Once private information is shared, standards of confidentiality apply.

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

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

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

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

(f) When social workers provide counseling services to families, couples, or groups, social workers should seek agreement among the parties involved concerning each individual's right to confidentiality and obligation to preserve the confidentiality of information shared by others. Social workers should inform participants in family, couples, or group counseling that social workers cannot guarantee that all participants will honor such agreements.

(g) Social workers should inform clients involved in family, couples, marital, or group counseling of the social worker's, employer's, and agency's policy concerning the social worker's disclosure of confidential information among the parties involved in the counseling.

(h) Social workers should not disclose confidential information to third-party payers unless clients have authorized such disclosure.

(i) Social workers should not discuss confidential information in any setting unless privacy can be ensured. Social workers should not discuss confidential information in public or semipublic areas such as hallways, waiting rooms, elevators, and restaurants.

(j) Social workers should protect the confidentiality of clients during legal proceedings to the extent permitted by law. When a court of law or other legally authorized body orders social workers to disclose confidential or privileged information without a client's consent and such disclosure could cause harm to the client, social workers should request that the court withdraw the order or limit the order as narrowly as possible or maintain the records under seal, unavailable for public inspection.

(k) Social workers should protect the confidentiality of clients when responding to requests from members of the media.

(l) Social workers should protect the confidentiality of clients' written and electronic records and other sensitive information. Social workers should take reasonable steps to ensure that clients' records are stored in a secure location and that clients' records are not available to others who are not authorized to have access.

(m) Social workers should take precautions to ensure and maintain the confidentiality of information transmitted to other parties through the use of computers, electronic mail, facsimile machines, telephones and telephone answering machines, and other electronic or computer technology. Disclosure of identifying information should be avoided whenever possible.

(n) Social workers should transfer or dispose of clients' records in a manner that protects clients' confidentiality and is consistent with state statutes governing records and social work licensure.

(o) Social workers should take reasonable precautions to protect client confidentiality in the event of the social worker's termination of practice, incapacitation, or death.

(p) Social workers should not disclose identifying information when discussing clients for teaching or training purposes unless the client has consented to disclosure of confidential information.

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

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

## 1.08 Access to Records

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

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

## 1.09 Sexual Relationships

(a) Social workers should under no circumstances engage in sexual activities or sexual contact with current clients, whether such contact is consensual or forced.

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

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

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

## 1.10 Physical Contact

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

### 1.11 Sexual Harassment

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

### 1.12 Derogatory Language

Social workers should not use derogatory language in their written or verbal communications to or about clients. Social workers should use accurate and respectful language in all communications to and about clients.

### 1.13 Payment for Services

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

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

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

### 1.14 Clients Who Lack Decision-Making Capacity

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

### 1.15 Interruption of Services

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

### 1.16 Termination of Services

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

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

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

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

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

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

## **2. Social Workers' Ethical Responsibilities to Colleagues**

### **2.01 Respect**

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

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

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

### **2.02 Confidentiality**

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

### **2.03 Interdisciplinary Collaboration**

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

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

### **2.04 Disputes Involving Colleagues**

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

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

### **2.05 Consultation**

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

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

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

### **2.06 Referral for Services**

(a) Social workers should refer clients to other professionals when the other professionals' specialized

knowledge or expertise is needed to serve clients fully or when social workers believe that they are not being effective or making reasonable progress with clients and that additional service is required.

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

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

## 2.07 Sexual Relationships

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

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

## 2.08 Sexual Harassment

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

## 2.09 Impairment of Colleagues

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

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

## 2.10 Incompetence of Colleagues

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

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

## 2.11 Unethical Conduct of Colleagues

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

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

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

(d) When necessary, social workers who believe that a colleague has acted unethically should take action

through appropriate formal channels (such as contacting a state licensing board or regulatory body, an NASW committee on inquiry, or other professional ethics committees).

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

### **3. Social Workers' Ethical Responsibilities in Practice Settings**

#### **3.01 Supervision and Consultation**

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

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

(c) Social workers should not engage in any dual or multiple relationships with supervisees in which there is a risk of exploitation or of potential harm to the supervisee.

(d) Social workers who provide supervision should evaluate supervisees' performance in a manner that is fair and respectful.

#### **3.02 Education and Training**

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

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

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

(d) Social workers who function as educators or field instructors for students should not engage in any dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the student. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

#### **3.03 Performance Evaluation**

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

#### **3.04 Client Records**

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

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

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

(d) Social workers should store records following the termination of services to ensure reasonable future access. Records should be maintained for the number of years required by state statutes or relevant contracts.

#### **3.05 Billing**

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

### 3.06 Client Transfer

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

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

### 3.07 Administration

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

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

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

(d) Social work administrators should take reasonable steps to ensure that the working environment for which they are responsible is consistent with and encourages compliance with the NASW Code of Ethics. Social work administrators should take reasonable steps to eliminate any conditions in their organizations that violate, interfere with, or discourage compliance with the Code.

### 3.08 Continuing Education and Staff Development

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

### 3.09 Commitments to Employers

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

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

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

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

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

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

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

### 3.10 Labor-Management Disputes

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

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

## 4. Social Workers' Ethical Responsibilities as Professionals

### 4.01 Competence

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

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

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

### 4.02 Discrimination

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

### 4.03 Private Conduct

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

### 4.04 Dishonesty, Fraud, and Deception

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

### 4.05 Impairment

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

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

### 4.06 Misrepresentation

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

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

(c) Social workers should ensure that their representations to clients, agencies, and the public of professional

qualifications, credentials, education, competence, affiliations, services provided, or results to be achieved are accurate. Social workers should claim only those relevant professional credentials they actually possess and take steps to correct any inaccuracies or misrepresentations of their credentials by others.

## 4.07 Solicitations

(a) Social workers should not engage in uninvited solicitation of potential clients who, because of their circumstances, are vulnerable to undue influence, manipulation, or coercion.

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

## 4.08 Acknowledging Credit

(a) Social workers should take responsibility and credit, including authorship credit, only for work they have actually performed and to which they have contributed.

(b) Social workers should honestly acknowledge the work of and the contributions made by others.

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

## 5.01 Integrity of the Profession

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

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

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

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

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

## 5.02 Evaluation and Research

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

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

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

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

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

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

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

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

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

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

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

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

(m) Social workers who report evaluation and research results should protect participants' confidentiality by omitting identifying information unless proper consent has been obtained authorizing disclosure.

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

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

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

## **6. Social Workers' Ethical Responsibilities to the Broader Society**

### **6.01 Social Welfare**

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

### **6.02 Public Participation**

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

### **6.03 Public Emergencies**

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

### **6.04 Social and Political Action**

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

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

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

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

