SCHOOL OF SOCIAL WELFARE
University at Albany
State University of New York

BACCALAUREATE PROGRAM IN SOCIAL WELFARE

2017-2018

STUDENT HANDBOOK

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• Dr. Anne E. Fortune: Associate Dean
• Dr. Mary McCarthy: Director of the Baccalaureate Program
• Barbara Rio-Glick, MSW Assistant Director Baccalaureate Program
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VISION STATEMENT

The School of Social Welfare seeks to expand its national and international leadership by virtue of:

- Ever increasing its excellence in research and scholarship, teaching and learning, and professional service;
- Broadening its achievements related to multiple kinds of collaborations and community partnerships;
- Deepening its ability to act strategically in relation to rapid and dramatic social change;
- Furthering its reliance on systematic and planful organizational and programmatic assessment and evaluation for mutual learning, improvement, innovation and knowledge development.

MISSION STATEMENT

In keeping with Social Work’s historic and enduring commitments, the mission of the School of Social Welfare is to further social and economic justice and to serve people who are vulnerable, marginalized or oppressed. This mission is implemented through education, knowledge development, and service that promote leadership for evidence-based social work with a global perspective.

NONDISCRIMINATION

All aspects of the social welfare educational programs are conducted without discrimination on the basis of race, color, gender, gender identity, age, creed, ethnic or national origin, disability, or political or sexual orientation.

ACADEMIC POLICIES

The undergraduate and graduate social welfare programs follow the academic policies specified in their respective University at Albany Bulletins.

HISTORY AND OBJECTIVES OF THE SCHOOL

The School of Social Welfare of the University at Albany, State University of New York, was established in 1963 to meet a need for improvement and expansion of social services in the state, particularly in the Capital District. The dearth of qualified personnel to provide leadership and to staff programs designed to help people live more satisfying and useful lives in an age of stress was noted by public officials and by leaders in private social work agencies. The active and thoughtful support of the Northeastern Division of the New York Chapter of the National Association of Social Workers and the concern of leaders of both public and private social agencies underscored the timeliness of establishing the School of Social Welfare. In 1969, the School was accredited by the Council on Social Work Education.

BACCALAUREATE SOCIAL WELFARE PROGRAM

Terminology: For the purposes of this handbook, the terms Baccalaureate and Undergraduate will be used interchangeably.

Program Objectives

The major purposes of social work have been described as (1) enhancement of the problem-solving, coping, and developmental capacities of people; (2) promotion of the effective, just, and humane operation of the systems that provide people with resources and services; and (3) connecting people with systems that provide them with resources, services, and opportunities. The primary objective of the baccalaureate social work program is to prepare students for entry level, generalist social work practice with individuals, families, groups, communities, and organizations. A generalist social worker is defined as one who “has the tools to
work in various settings with a variety of client groups, addressing a range of personal and social problems, and using skills to intervene at practice levels ranging from the individual to the community.” The specific objectives of the baccalaureate social welfare program are:

1. To prepare students for entry-level, generalist, social work practice with individuals, families, groups, communities, and organizations that promote social and economic justice and a global perspective.

2. To serve the educational needs of students interested in human services and provide opportunities for undergraduates to participate in community and public service.

3. To enrich the University’s general education and undergraduate curricula.

The kinds of problems that those with a baccalaureate degree in social welfare address result from a constellation of factors such as health or mental health challenges, developmental challenges or special needs that are either temporary or longer term that individuals and families may encounter, inadequately funded or poorly designed human services, medical, and educational programs and organizations, individual and community poverty, racism, sexism, discrimination, social, economic or environmental challenges. Baccalaureate generalist social work practice addresses individuals, families, groups, organizations, neighborhoods, and communities. The curriculum consists of three sequences: practice, foundations, and field education. The courses in each area form a sequence that includes the knowledge, values, processes, and skills essential to generalist social work practice and prepares students for competent practice in 9 domains; 1) Demonstrate Ethical and Professional Behavior, 2) Engage Diversity and Difference in Practice, 3) Advance Human Rights and Social, Economic, and Environmental Justice, 4) Engage In Practice-informed Research and Research-informed Practice, 5) Engage in Policy Practice, 6) Engage with Individuals, Families, Groups, Organizations, and Communities, 7) Assess Individuals, Families, Groups, Organizations, and Communities, 8) Intervene with Individuals, Families, Groups, Organizations, and Communities, 9) Evaluate Practice with Individuals, Families, Groups, Organizations, and Communities.

The practice component of the curriculum (SSW 305, 306, 405Z and 406Y) introduces the student to the basic social work methods: engagement, assessment, contracting, intervention, evaluation, and termination. The four courses in the practice sequence provide the continuous development of a generalist practice framework. Students study the skills of how to intervene on behalf of the client systems, skills that are then put into practice in the field practicum.

The foundation sequence includes the following four courses:

The purpose of SSW 301, the human behavior and social environment (HBSE) course, is to give students an understanding of (1) the interrelationships among biological, psychological, and social and environmental influences on the development of human behavior and (2) human behavior in a range of social systems including families, groups, organizations, and communities. There is a strong emphasis on having students gain an understanding of vulnerable and oppressed populations such as women, people of color, people with disabilities, gay, lesbian, bisexual and transgender people, and the elderly.

The goals of SSW 322, the research course, are to teach students how to use research methods to obtain information (1) to enable students to understand and evaluate information presented in professional journals and (2) to teach students how to evaluate the effectiveness of their own practice. It aims to give students the ability to think critically about scientific evidence and to use such evidence towards the amelioration of social problems and the improvement of social work practice.

The goals of SSW 408, the organizational and community theory course, are to give students the history of communities, organizations and macro-practice in social work; major approaches to organizational behavior
and community dynamics; the nature of macro social work; the organizational and community contexts for the provision of social services; and skills for working in organizations and communities. There is an emphasis on oppressed populations.

SSW 409, the social welfare policy and services course, begins with an overview of the American social welfare system and then presents a conceptual framework to help students develop skills in analyzing and assessing that system. The course aims to provide a generalist social worker with an understanding of the major components of the modern welfare system, and the ability to critically analyze social welfare policies and services. The course also introduces students to the policymaking process and social work roles in the policymaking process.

As part of the preparation of generalist practitioners, the field practicum provides students with opportunities to practice at the macro and micro levels. It is virtually impossible to become an effective social worker without the opportunity to practice what is learned in the classroom in a supportive, supervised setting (field instruction). Students and faculty alike often view the field practicum as the “heart” of social work education. It provides an experiential laboratory where students have the opportunity to apply classroom learning. The quality of a student’s field practicum is a major factor in the student’s overall experience of the program. Students complete two semesters of field practicum (field placement), SSW 400 and 410, in the senior year. In the fall semester of the senior year students take an integrative field seminar (SSW401) to facilitate integration between coursework and field education.

Admissions

Students are required to apply to the School of Social Welfare's Baccalaureate Program for admission to the Social Welfare major. Students complete the application process during their sophomore year for entrance into the program in the fall semester of their junior year. Transfer students who will have completed 56 credits at the end of the academic year should apply for admission early in the spring of the year for which they are seeking fall admission. Transfer students must first apply for admission to the University through the Office of Undergraduate Admissions. Those wishing to enter the major should demonstrate progress toward completion of the general education requirements and the elementary base of the social work major prior to entrance into the program in the junior year.

In reviewing applications, the following items are taken into consideration:

- Grade point average
- Social welfare/human service experience
- Adequacy of liberal arts base - Progress toward completion of general education requirements as well as the elementary base requirements of the major or their equivalents
- Academic/professional references
- Application essay

Any applicant wishing to appeal an admission decision may do so in writing to the Dean of the School of Social Welfare.

General Education Requirements

In addition to completing the requirements of a major, all undergraduates must complete the requirements of the University's General Education Program. Please refer to the current Undergraduate Bulletin for a complete description of the University's General Education Requirements. Students entering the social welfare major with General Education Requirements still to be completed are strongly encouraged to complete as many of these as possible during the junior year.
Requirements for the Social Welfare Major

Within the general credit requirement of a Bachelor of Science degree, the School advises students in the selection of the required 62 credits for a combined major and minor in social welfare. Of the 62 credits, 15 credits represent the elementary base, 15 credits represent the advanced base including three credits taken "as advised," and the remaining 32 credits constitute the core requirements for a major in social welfare. In addition, it is recommended that prospective social welfare majors take SSW 290, or SSW 291: Community and Public Service Program, during their sophomore year, particularly if they have not had human service volunteer or work experience.

The following curriculum meets the overall requirements of the Council on Social Work Education and the specific charge to prepare generalist practitioners.

Elementary Base

APSY 101: Introduction to Psychology
ASOC 115: Introduction to Sociology (or ASOC 115Z, writing intensive version)
RPOS 101: American Politics
RSSW 210: American Social Welfare System
Human Biology: (select one)
   ABIO 102: General Biological Sciences
   ABIO 117: Nutrition
   ABIO 130: General Biology (fall semester only)
   AANT 211: Human Population Biology
   AANT 312: Human Population Genetics
   AANT 319: Physical Growth and Development
      (Prerequisite: AANT 110; or ABIO 120, 121, 122 & 123; or ABIO 102)

Advanced Base

APSY 338: Abnormal Psychology
ASOC 180: Social Problems
Elementary Statistics: (select one)
   AMAT 108: Elementary Statistics
   APSY 210: Statistical Methods in Psychology
   ASOC 221: Statistics for Sociologists
   RCRJ 281: Introduction to Statistics in Criminal Justice
Social Psychology: (select one)
   APSY 270: Social Psychology
   ASOC 260: Social Psychology
Elective As Advised (see below)

Elective as Advised

This is a required elective. Each student is generally encouraged to select a course that specifically addresses issues facing an ethnic, racial or religious group that is different from his or her own background. The following list includes preferred and acceptable courses to meet this requirement. A course not on the list may be used to fulfill this requirement only with prior approval from the director of the program. Refer to the University’s schedule of classes for course availability each semester.

AAFS 219: Introduction to African/African-American History
AAFS 220: Black and White in America
AAFS 331: The African/African-American Family
AAFS 333: The Black Community: Continuity and Change
AAFS 370: The Psychology of the Black Experience
AAFS 375: Black Popular Culture
AAFS 400: The Law and African America
AAFS 432: The African-American Woman: Contemporary Issues
AAFS 435: Blacks and the American Political Process
AANT 240: The North American Indian
AECO 130: Developing Economies
AENG 240: Growing up in America
AFRE 208: Haiti through Film and Literature
AFRE 281: French Canada through Film and Literature
AGOG 125: The American City
AGOG 240: Patterns of American Immigration
AHIS 300/300Z: The History of American Indians in the United States
AJST 150: Survey of Jewish Civilization
AJST 221: The American Jewish Experience
ALCS 201: Latino USA
AJST 344: Issues in Modern Jewish History (or AJST 344Z, writing intensive version)
ASOC 375: US Urban Neighborhood Diversity
AWSS 101: Introduction to Feminism
AWSS 202: Introduction to Lesbian and Gay Studies
AWSS 308: Global Perspectives on Women
RSSW 299: Multiculturalism in a Global Society

Cross Listed Courses:
Buddhism in China and Japan (AEAS 266; AREL 266)
The Caribbean: Peoples, History and Culture (AAFS 269; AANT 269; ALCS 269)
Classism, Racism, Sexism: Issues (AAFS 240; ALCS 240; AWSS 240)
Cultures and Societies Asia II (AEAS 177; AHIS 177)
Jews in the Modern World (AHIS 254; AJST 254; AREL 254)
Judaism: Traditions and Practices (AJST 155; AREL 155)
Race and Ethnicity (ALCS 282; ASOC 282)
Sociology of Gender (ASOC 262; AWSS 262M)
World Religions (APHI 214; AREL 214)

Core Requirements and Course Credits

The Practice Sequence
RSSW 305 Social Work Practice I (3)
RSSW 306 Social Work Practice II (3)
RSSW 405Z Social Work Practice III (3)
RSSW 406Y Social Work Practice IV (3)

The Foundations Sequence
RSSW 301 Human Behavior and the Social Environment (3)
RSSW 322 Introductory Research Methods in Social Welfare (3)
RSSW 408 Organizational and Community Theory (3)
RSSW 409 Introduction to Social Policy Analysis (3)
The Field Practicum Sequence
RSSW 400 Field Instruction in Social Welfare I (3)
RSSW 401 Integrative Field Seminar (1)
RSSW 410 Field Instruction in Social Welfare II (4)

Total Credits in Core = 32
Total Credits in Major = 62

Core Baccalaureate Program Course Sequence

Junior Year
Fall: RSSW 301: Human Behavior and the Social Environment
      RSSW 305 Social Work Practice I

Spring: RSSW 306: Social Work Practice II [Pre req. RSSW 301 and RSSW 305]
       RSSW 322: Introductory Research Methods in Social Welfare

Senior Year
Fall: RSSW 400: Field Instruction in Social Welfare I  [concurrent with RSSW 401 and RSSW 405Z]
      [Pre req. RSSW 301, RSSW 305, RSSW 306 and RSSW 322]
      RSSW 401: Integrative Field Seminar [concurrent with RSSW 400 and RSSW 405Z]
      RSSW 405Z: Social Work Practice III [concurrent with RSSW 400 and RSSW 401; Pre req. RSSW 306]
      RSSW 408: Organizational and Community Theory [Pre req. RSSW 210, RSSW 301]

Spring: RSSW 406Y: Social Work Practice IV [concurrent with RSSW 410; Pre req. RSSW 405Z]
       RSSW 410: Field Instruction in Social Welfare II [concurrent with RSSW 406] [Pre req. RSSW 405Z and RSSW 408]
       RSSW 409: Introduction to Social Policy Analysis [Pre req. RSSW 408]

Field Practicum (Field Instruction)

Field practicum placements afford students an opportunity to develop, apply, and integrate the necessary knowledge, skills, and values while in direct practice in social welfare settings. Planning for these placements is conducted on an individual basis. During the senior year, each student is provided field instruction in the field practicum by a qualified instructor in an agency designated by the School. Placements are selected by the School for students on the basis of their educational needs and, wherever possible, their area of interest. The field practicum placements represent a variety of settings under public and private auspices and are located throughout Albany, Schenectady, and Troy, as well as adjacent areas. Students are responsible for the expenses involved in the practicum.

Academic and Professional Advising

Students are assigned a faculty advisor within the School of Social Welfare. Transfer students are initially advised during Summer Planning Conferences regarding their registration for the fall; the UAlbany DARs (degree audit reports) and transcripts from other institutions are reviewed at that time to determine appropriate course equivalencies and course selection. University at Albany students receive advisement from Advisement Services (or assigned advisor) for the fall semester prior to being admitted into the program. Once admitted they should register for the two social welfare courses identified for first semester juniors. Students will be assigned to a Social Welfare faculty advisor in the fall. Students normally register
each semester for a total of 15 to 16 credits including core, remaining general education, elementary and advanced base requirements, and electives.

Students must contact their advisor each semester prior to registration in order to track progress through the program, to plan their course of study, and to obtain the Advisement Verification Number (AVN) which is required to register. The baccalaureate office will distribute a registration packet that will include advisors’ availability and preferred method of contact each semester. Advisors can offer students both academic and professional guidance. This includes help in planning course work each semester, overall guidance in selection of courses that will fulfill all academic requirements, and assistance in career planning in social work.

Professional guidance is also available to students from the Director and Assistant Director of the Baccalaureate program, the program's field instructors, and from the faculty at the School of Social Welfare. The Baccalaureate Field Handbook describes the baccalaureate field practicum in detail and the Assistant Director of the Undergraduate Program, who oversees field education advises students regarding their field practicum placements.

**Baccalaureate Academic Requirements**

It is the responsibility of each baccalaureate student to be knowledgeable concerning the University's undergraduate academic regulations. For a full statement of these regulations, please refer to the Undergraduate Bulletin.

In the Social Welfare major requirements, the core courses, R SSW 301, 305, 306, 322, 401, 405Z, 406Y, 408, and 409, are graded A-E. Majors cannot repeat a graded core course more than once and cannot repeat more than a total of two courses within the major.

A student who receives a grade of C- or lower in graded core courses in a semester will be given a warning by the Director of the Undergraduate Program, School of Social Welfare that a C- or lower in any graded core course in any subsequent semester will result in termination from the major.

Core Field Instruction courses, R SSW 400 and 410, are graded S/U (Satisfactory/Unsatisfactory). If a student receives a U in either Field Instruction courses, the student will be terminated from the major.

Any student who is terminated from the major will receive a letter from the Director of the Undergraduate Program. The letter will specify the reason for the termination from the major and include information about the School’s procedures for grieving a grade or seeking readmission after termination from the major.

**Additional Policies and Procedures**

The University’s regulations for grievances and reinstatement are provided as Appendix E in this handbook. In addition, the School of Social Welfare has policies that supplement the University regulations such as the School of Social Welfare’s Standards for Social Work Education, Procedures for Addressing Violations for Failure to Meet the Standards for Social Work Education by Students at the School of Social Welfare, and the procedures for grievances. The School of Social Welfare Standards for Social Work Education (provided in this handbook – Appendix A) outlines the professional and ethical expectations of students’ behavior. Inquiries about the School of Social Works’ procedures for grievances, violations related to the Standards for Social Work Education or the Standards for Social Work Education should be directed to the Director of the Baccalaureate program.
Answers to Common Questions

Transfer Course Policies
Transfer students who have earned an Associate of Arts (A.A.) or an Associate of Science (A.S.) degree from a SUNY state-operated campus or SUNY community college shall be considered to have completed all University at Albany General Education requirements.

Please note that students who matriculated prior to Fall 2012 who were awarded A.A. or A.S. degrees and who still have unmet General Education requirements should contact the Office of the Vice Provost for Undergraduate Education. Once the degree award has been verified, a waiver can be added to the student record: ugeducation@albany.edu.

Transfer Credit
Decisions about acceptance of credits completed at other academic institutions are made by the Office of Undergraduate Admissions and will be reflected in the Official Evaluation of Undergraduate Credits document provided to the student by the Admissions Office during the Transfer Planning Conference. Ninety transfer credits are allowed from either a community college or four year college. Questions about transfer credit should be directed to the Undergraduate Admissions Office, Administration B101, 518-442-5435.

No Credit for Life Experience
Academic credit for life experience and previous work experience will not be given. The baccalaureate program at the School of Social Welfare, University at Albany, State University of New York is accredited with the Council on Social Work Education (CSWE). Following CSWE policy, 3.1.5., the program has a written policy indicating that it does not grant social work course credit for life experience or previous work experience.

    Accreditation Standard 3.1.5 – The program submits a written policy indicating that it does not grant social work course credit for life experience or previous work experience. The program documents how it informs applicants and other constituents of this policy.

Residence Requirements
The University requires degree candidates to earn, while in matriculated status, 30 of their last 60 credits in courses for which they registered at the Albany Campus. For more information about residence requirements, see the Undergraduate Bulletin.

COMMUNITY AND PUBLIC SERVICE PROGRAM (CPSP)

The CPSP offers undergraduate students and second semester freshman through seniors the opportunity to engage in the Capital District community while exercising civic responsibility. Students gain 2 to 3 credits for completion of Community Service courses offered (SSW 290, 291 and 390). Volunteer experiences range from service work to social action to more career-oriented placements. Sharon Stevens is the Director of the CPSP; the staff at CPSP guides majors and intended majors in social welfare toward agency placements that relate to the field of social work. For further information please call 518-442-5683, visit the office in Social Sciences 112, or view the CPSP web site at www.albany.edu/cpsp.

THE MASTER OF SOCIAL WORK (MSW) PROGRAM

The Master of Social Work (MSW) Program is designed to prepare students for professional practice and beginning leadership in the social welfare field. The clinical practice concentration is designed to prepare students for positions in direct service to individuals, families, and groups. The macro concentration
prepares students for middle management supervision, staff development, program development, administration, and community organizing positions in social welfare.

The advanced standing program is one of several special MSW Program options. Graduates of baccalaureate social work programs accredited by the Council on Social Work Education may apply for admission with advanced standing if they matriculate within six years of the baccalaureate degree. Accepted students receive a waiver of up to 21 credits of the 60 required for the MSW degree.

To qualify for such a waiver, students must have received a grade of B or better in the applicable undergraduate social work courses. The Advanced Standing Program begins in late May or early June. It requires a summer of full-time study and field practicum; students then move into the regular MSW program as full-time second-year graduate students. Questions about the MSW Program and the Advanced Standing Program can be directed to Crystal Rogers, Assistant Dean for Academic Affairs, Richardson 118, 518-442-5320.

THE Ph.D. PROGRAM IN SOCIAL WELFARE

The doctoral program prepares students for research, teaching, and leadership in the field of social welfare. The curriculum enables students to acquire advanced knowledge of social work practice theory, social policy, research methods, and statistics; to permit students to obtain specialized knowledge encompassing the combination of a social problem and practice methods; and to facilitate the contribution of students to knowledge building in social work and social welfare. Questions about the Ph.D. program can be directed to Nancy Claiborne, Ph.D. Chair, 518-442-5339, ncaliborne@albany.edu

ORGANIZATIONS

Phi Alpha – National Social Work Honor Society

Phi Alpha is a national social work honor society formed in 1962. Its purpose is “to provide a closer bond among students of social work and promote humanitarian goals and ideals and to foster high standards of training for social workers.” Membership in Phi Alpha is available to those students who have achieved an overall Grade Point Average (GPA) of 3.25 or higher, and a GPA of 3.50 or higher in the following social work courses: SSW 301, 305, 306, 322, 405Z, and 408. Eligible students are automatically notified by the Program Director and must pay $20.00 to obtain a Phi Alpha certificate.

Baccalaureate Social Welfare Student Association

The Baccalaureate Social Welfare Student Association is actively engaged in supporting undergraduate students in the major. They sponsor colloquia, support groups, and social events. Additionally, it serves as a channel of communication to the School's administration and faculty. The association holds elections for its leadership positions and designates student representatives to faculty standing committees.

Association for Minority Affairs

The Association for Minority Affairs (AMA) represents students of color and other minorities and serves as one channel of communication to the School's administration and faculty.

School Governance

Student representatives are encouraged to participate on the School's standing committees. These committees form a central part of the School's governance structure and student representation is key. Undergraduate student representatives participate on the following standing committees: Baccalaureate Program, and Social Work Standards.
National Association of Social Workers (NASW)

NASW is the largest national organization for professional social workers. Many faculty members are active participants in NASW and students are encouraged to join. Students pay a reduced membership fee (benefits include the monthly NASW NEWS and bi monthly e-alerts) as well as a reduced rate for two years following graduation. Applications are available online at www.socialworkers.org. The New York State Chapter Office is located at 188 Washington Avenue, Albany, NY and their telephone number is 518-463-4741. For more information visit their website at www.naswnys.org. The national website is www.naswde.org.

Association of Black Social Workers (ABSW)

The Association for Black Social Workers is dedicated to improving the social and health conditions of the Black community. While the mission of the organization is to enhance the quality of life and empower people of African ancestry through advocacy, human services delivery, and research, the further mission of ABSW is to be inclusive, extend membership, and solicit involvement from ALL students in the School of Social Welfare, regardless of race or ethnicity. We hope to create strong alliances across racial lines, in dedication to working for and with the Black community.

UNIVERSITY AND SCHOOL RESOURCES

Career Services
Career Services provides services to students and alumni to assist with career decisions and job searches. The services include choosing majors and careers, developing resumes and cover letters, personalized job search strategies, practice interviewing, and choosing and preparing for graduate school. Make an appointment, visit during drop-in hours, attend a workshop or Career Services event, or check out their online resources (www.albany.edu/career). The Career Services office is in the Science Library – G50 on the Uptown Campus, 518-437-4900.

Middle Earth Peer Assistance Program
Hotline 518-442-5777

Middle Earth offers immediate assistance with problems, referral for services, and general information by trained UAlbany undergrads. Middle Earth also offers an opportunity for students to receive training to serve as volunteer staff. Middle Earth operates a peer assistance hotline and café online help page, website (www.albany.edu/middleearthcafe); and uses peer education and peer theater to help shape students’ perceptions on a variety of topics such as alcohol, body image, relationship concerns, etc. The hotline is available Monday-Thursday from noon-midnight and 24 hours on Friday and Sunday when classes are in session.

Counseling Center

The Counseling Center offers a broad range of psychological services including counseling, prevention, and health promotion to help students succeed. They offer individual and group counseling at no charge to UAlbany students. Appointments can be scheduled by calling 518-442-5800.

Disability Resource Center

The Disability Resource Center, located on the Uptown Campus in Campus Center 137, 518-442-5490, provides various services to individuals with disabilities, such as career counseling, and coordination of assistance. Students must register with DRC if they wish to receive accommodations while in the program.
An electric scooter is available to students on the Downtown Campus. Contact the Office of the Assistant Dean for Student Services for more information regarding this equipment, 518-442-3797.

**Student Lounge**
A student lounge is located in the basement of Richardson Hall (RI 003). This room has a desk, computer, printer, refrigerator and microwave oven for your use as well as bulletin board postings.
Some Useful Phone Numbers and Office Locations

**University Police Department** ................................................................. 442-3130
Uptown Campus – University Police Building
Downtown Campus – Husted 101A

**School of Social Welfare Baccalaureate Program**

Director of the Baccalaureate Program.................................................... 442-5338
Dr. Mary McCarthy, RI 301

Assistant Director of the Baccalaureate Program.................................... 442-3488
Ms. Barbara Rio-Glick, RI 183

Director of the Community and Public Service Program....................... 442-5683
Ms. Sheri Stevens, Social Science 112

**University at Albany**

Admissions, Undergraduate................................................................. 442-5435
University Hall 112

Advisement Services Center, Undergraduate ........................................ 442-3960
University Library, B-36

Bookstore ................................................................................. 442-5690
Campus Center

Career Services ........................................................................... 442-4900
Science Library – G50

Degree Clearance ........................................................................... 442-5540
Campus Center B-25

Financial Aid ............................................................................ 442-3202
Campus Center G-26

IT Helpdesk (Information Technology Services)..................................... 442-4000
ITS Helpdesk ihelp@albany.edu

Registrar’s Office (includes transcripts)............................................... 442-5540
Campus Center B-52

Student Accounts ........................................................................ 442-3202
Campus Center G26

University Police Department .............................................................. 442-3130

University Switchboard ..................................................................... 442-3300
Appendix A – Standards for Social Work Education
School of Social Welfare, University at Albany – State University of New York

A. Introduction

All social work students are expected to meet and maintain the Standards for Social Work Education (“Standards”) established by the School. The Standards are comprised of expectations regarding both scholastic performance and professional behavior. Students are expected to meet and maintain these standards in the classroom, in field, and in other contexts where the student is acting as a social worker or social work student. Adherence to these standards will be the basis upon which students will be evaluated by faculty (including field instructors) who are responsible for evaluating student performance in the classroom and field. Meeting the criteria for scholastic performance is necessary, but is not the sole measure, to ensure continued enrollment in a program. Students must also demonstrate professional competency and an understanding of and a commitment to the values and ethics of the social work profession. Advancement through the program is a privilege, not a right.

The academic performance standards established by the School that all social work students are expected to meet and maintain are: Basic Skills Necessary to Acquire Professional Competence; Coping Skills; Professional Performance Skills; and Scholastic Performance.

B. Criteria for Evaluating Academic Performance

1. Basic Skills Necessary to Attain Professional Competence

Communication Skills
Social work students must demonstrate sufficient written and oral skills to:
- Communicate ideas and feelings clearly, effectively and sensitively with other students, faculty, staff, clients and professionals
- Understand and articulate the content presented in the program and to complete adequately all written and oral assignments
- Demonstrate a willingness and ability to listen to others.

Interpersonal Skills
Social work students must demonstrate interpersonal skills to relate effectively with other students, faculty, staff, clients and professionals. These skills include, but are not limited to, flexibility, empathy, nonjudgmental attitude, respect, and the ability to listen, communicate and negotiate.

Cognitive Skills
Social work students must demonstrate sufficient knowledge of social work and clarity of thinking to process information and apply it to situations in the classroom and field and other professional situations. Students must demonstrate the ability to conceptualize and integrate knowledge and apply that knowledge to social work practice.

Appreciation of Diversity
Social work practice requires understanding, affirmation and respect of another individual’s way of life and values. Social work students must demonstrate respect and sensitivity toward other students, faculty, staff, clients and professionals and others who are different from him/herself regardless of the person’s age, class, color, culture, disability, ethnicity, family structure, gender, race, religion, marital status, national origin, sexual orientation, or value system.
2. **Coping Skills Necessary for Performance in the Program and Professional Practice**

Social work students must demonstrate the capacity to interact positively and effectively with other students, faculty, staff, clients and professionals at all times and to execute sound judgment and performance in the program. Students must demonstrate appropriate coping skills in the face of personal or other circumstances, including seeking counseling or other sources of support and assistance, to ensure that such circumstances do not:

- compromise academic performance;
- interfere with professional judgment and behavior; and
- jeopardize the best interests of those to whom the social work student has a professional responsibility.

3. **Professional Performance Skills Necessary for Work with Clients and Professional Practice**

### Professional Commitment
Social work students must demonstrate a strong commitment to further social and economic justice and to serve persons who are vulnerable, marginalized or oppressed.

### Professional Conduct
Social work students must act professionally and responsibly in matters of punctuality, attendance, appearance and presentation of self. Social work students must be able to advocate for her/himself in an appropriate and responsible manner. Students must be able to receive and accept feedback and supervision and apply such feedback to enhance professional development and self-awareness. Students must demonstrate the capacity to recognize and maintain appropriate personal and professional boundaries and appropriately use self-disclosure.

### Self-awareness
Self-awareness is a key component of social work practice. Social work students must be aware of how his or her values, attitudes, beliefs, emotions and past experiences affect his or her thinking, behavior and relationships with other students, faculty, staff, clients and professionals, including those in authority. Students must be able to accurately assess his or her own strengths, limitations, and suitability for professional practice. Students must be able to examine and appropriately modify his or her behavior when it interferes with his or her professional work.

### Ethical Obligations
The behavior of social work students must adhere to the ethical expectations and obligations of professional practice as delineated in the National Association of Social Workers (NASW) Code of Ethics.

4. **Scholastic Performance**

### Undergraduate Students
Undergraduate social welfare majors must meet the academic standards defined in the Undergraduate Social Welfare Program Student Handbook and the Field Education Handbook, Undergraduate Program of the School of Social Welfare.

### Graduate Students
MSW students must meet the academic standards defined in the Graduate Faculty and Student Handbook and the MSW Field Education Handbook of the School of Social Welfare.
Appendix B – CSWE Educational Policy and Accreditation Standards - 2015

Educational Policy 2.0—Generalist Practice
Generalist practice is grounded in the liberal arts and the person-in-environment framework. To promote human and social well-being, generalist practitioners use a range of prevention and intervention methods in their practice with diverse individuals, families, groups, organizations, and communities based on scientific inquiry and best practices. The generalist practitioner identifies with the social work profession and applies ethical principles and critical thinking in practice at the micro, mezzo, and macro levels. Generalist practitioners engage diversity in their practice and advocate for human rights and social and economic justice. They recognize, support, and build on the strengths and resiliency of all human beings. They engage in research-informed practice and are proactive in responding to the impact of context on professional practice. The baccalaureate program in social work prepares students for generalist practice. The descriptions of the nine Social Work Competencies presented in the EPAS identify the knowledge, values, skills, cognitive and affective processes, and behaviors associated with competence at the generalist level of practice.

Accreditation Standard B2.0—Generalist Practice
B 2.0.1 The program explains how its mission and goals are consistent with generalist practice as defined in EP 2.0.

B2.0.2 The program provides a rationale for its formal curriculum design demonstrating how it is used to develop a coherent and integrated curriculum for both classroom and field.

B2.0.3 The program provides a matrix that illustrates how its curriculum content implements the nine required social work competencies and any additional competencies added by the program.

The nine Social Work Competencies are listed below. Programs may add competencies that are consistent with their mission and goals and respond to their context. Each competency describes the knowledge, values, skills, and cognitive and affective processes that comprise the competency at the generalist level of practice, followed by a set of behaviors that integrate these components. These behaviors represent observable components of the competencies, while the preceding statements represent the underlying content and processes that inform the behaviors.

Competency 1: Demonstrate Ethical and Professional Behavior
Social workers understand the value base of the profession and its ethical standards, as well as relevant laws and regulations that may impact practice at the micro, mezzo, and macro levels. Social workers understand frameworks of ethical decision-making and how to apply principles of critical thinking to those frameworks in practice, research, and policy arenas. Social workers recognize personal values and the distinction between personal and professional values. They also understand how their personal experiences and affective reactions influence their professional judgment and behavior. Social workers understand the profession’s history, its mission, and the roles and responsibilities of the profession. Social Workers also understand the role of other professions when engaged in inter-professional teams. Social workers recognize the importance of life-long learning and are committed to continually updating their skills to ensure they are relevant and effective. Social workers also understand emerging forms of technology and the ethical use of technology in social work practice.

Social workers:
• make ethical decisions by applying the standards of the NASW Code of Ethics, relevant laws and regulations, models for ethical decision-making, ethical conduct of research, and additional codes of ethics as appropriate to context;
• use reflection and self-regulation to manage personal values and maintain professionalism in practice situations;
• demonstrate professional demeanor in behavior; appearance; and oral, written, and electronic communication;
• use technology ethically and appropriately to facilitate practice outcomes; and
• use supervision and consultation to guide professional judgment and behavior.

Competency 2: Engage Diversity and Difference in Practice
Social workers understand how diversity and difference characterize and shape the human experience and are critical to the formation of identity. The dimensions of diversity are understood as the intersectionality of multiple factors including but not limited to age, class, color, culture, disability and ability, ethnicity, gender, gender identity and expression, immigration status, marital status, political ideology, race, religion/spirituality, sex, sexual orientation, and tribal sovereign status. Social workers understand that, as a consequence of difference, a person's life experiences may include oppression, poverty, marginalization, and alienation as well as privilege, power, and acclaim. Social workers also understand the forms and mechanisms of oppression and discrimination and recognize the extent to which a culture’s structures and values, including social, economic, political, and cultural exclusions, may oppress, marginalize, alienate, or create privilege and power.

Social workers:
• apply and communicate understanding of the importance of diversity and difference in shaping life experiences in practice at the micro, mezzo, and macro levels;
• present themselves as learners and engage clients and constituencies as experts of their own experiences;
• apply self-awareness and self-regulation to manage the influence of personal biases and values in working with diverse clients and constituencies.

Competency 3: Advance Human Rights and Social, Economic, and Environmental Justice
Social workers understand that every person regardless of position in society has fundamental human rights such as freedom, safety, privacy, an adequate standard of living, health care, and education. Social workers understand the global interconnections of oppression and human rights violations, and are knowledgeable about theories of human need and social justice and strategies to promote social and economic justice and human rights. Social workers understand strategies designed to eliminate oppressive structural barriers to ensure that social goods, rights, and responsibilities are distributed equitably and that civil, political, environmental, economic, social, and cultural human rights are protected.

Social Workers:
• apply their understanding of social, economic, and environmental justice to advocate for human rights at the individual and system levels; and
• engage in practices that advance social, economic, and environmental justice.

Competency 4: Engage In Practice-informed Research and Research-informed Practice
Social workers understand quantitative and qualitative research methods and their respective roles in advancing a science of social work and in evaluating their practice. Social workers know the principles of logic, scientific inquiry, and culturally informed and ethical approaches to building knowledge. Social workers understand that evidence that informs practice derives from multi-disciplinary sources and multiple ways of knowing. They also understand the processes for translating research findings into effective practice.

Social workers:
• use practice experience and theory to inform scientific inquiry and research;
• apply critical thinking to engage in analysis of quantitative and qualitative research methods and research findings;
• use and translate research evidence to inform and improve practice, policy, and service delivery.
Competency 5: Engage in Policy Practice
Social workers understand that human rights and social justice, as well as social welfare and services, are mediated by policy and its implementation at the federal, state, and local levels. Social workers understand the history and current structures of social policies and services, the role of policy in service delivery, and the role of practice in policy development. Social workers understand their role in policy development and implementation within their practice settings at the micro, mezzo, and macro levels and they actively engage in policy practice to effect change within those settings. Social workers recognize and understand the historical, social, cultural, economic, organizational, environmental, and global influences that affect social policy. They are also knowledgeable about policy formulation, analysis, implementation, and evaluation.

Social workers:
• Identify social policy at the local, state, and federal level that impacts well-being, service delivery, and access to social services;
• assess how social welfare and economic policies impact the delivery of and access to social services;
• apply critical thinking to analyze, formulate, and advocate for policies that advance human rights and social, economic, and environmental justice.

Competency 6: Engage with Individuals, Families, Groups, Organizations, and Communities
Social workers understand that engagement is an ongoing component of the dynamic and interactive process of social work practice with, and on behalf of, diverse individuals, families, groups, organizations, and communities. Social workers value the importance of human relationships. Social workers understand theories of human behavior and the social environment, and critically evaluate and apply this knowledge to facilitate engagement with clients and constituencies, including individuals, families, groups, organizations, and communities. Social workers understand strategies to engage diverse clients and constituencies to advance practice effectiveness. Social workers understand how their personal experiences and affective reactions may impact their ability to effectively engage with diverse clients and constituencies. Social workers value principles of relationship-building and inter-professional collaboration to facilitate engagement with clients, constituencies, and other professionals as appropriate.

Social workers:
• apply knowledge of human behavior and the social environment, person-in-environment, and other multidisciplinary theoretical frameworks to engage with clients and constituencies; and
• use empathy, reflection, and interpersonal skills to effectively engage diverse clients and constituencies.

Competency 7: Assess Individuals, Families, Groups, Organizations, and Communities
Social workers understand that assessment is an ongoing component of the dynamic and interactive process of social work practice with, and on behalf of, diverse individuals, families, groups, organizations, and communities. Social workers understand theories of human behavior and the social environment, and critically evaluate and apply this knowledge in the assessment of diverse clients and constituencies, including individuals, families, groups, organizations, and communities. Social workers understand methods of assessment with diverse clients and constituencies to advance practice effectiveness. Social workers recognize the implications of the larger practice context in the assessment process and value the importance of inter-professional collaboration in this process. Social workers understand how their personal experiences and affective reactions may affect their assessment and decision-making.

Social workers:
• collect and organize data, and apply critical thinking to interpret information from clients and constituencies;
• apply knowledge of human behavior and the social environment, person-in-environment, and other multidisciplinary theoretical frameworks in the analysis of assessment data from clients and constituencies;
• develop mutually agreed-on intervention goals and objectives based on the critical assessment of strengths, needs, and challenges within clients and constituencies; and
• select appropriate intervention strategies based on the assessment, research knowledge, and values and preferences of clients and constituencies

**Competency 8: Intervene with Individuals, Families, Groups, Organizations, and Communities**

Social workers understand that intervention is an ongoing component of the dynamic and interactive process of social work practice with, and on behalf of, diverse individuals, families, groups, organizations, and communities. Social workers are knowledgeable about evidence-informed interventions to achieve the goals of clients and constituencies, including individuals, families, groups, organizations, and communities. Social workers understand theories of human behavior and the social environment, and critically evaluate and apply this knowledge to effectively intervene with clients and constituencies. Social workers understand methods of identifying, analyzing, and implementing evidence-informed interventions to achieve client and constituency goals. Social workers value the importance of inter-professional teamwork and communication in interventions, recognizing that beneficial outcomes may require interdisciplinary, inter-professional, and inter-organizational collaboration.

Social workers:
• critically choose and implement interventions to achieve practice goals and enhance capacities of clients and constituencies;
• apply knowledge of human behavior and the social environment, person-in-environment, and other multidisciplinary theoretical frameworks in interventions with clients and constituencies;
• use inter-professional collaboration as appropriate to achieve beneficial practice outcomes;
• negotiate, mediate, and advocate with and on behalf of diverse clients and constituencies; and
• facilitate effective transitions and endings that advance mutually agreed-on goals.

**Competency 9: Evaluate Practice with Individuals, Families, Groups, Organizations, and Communities**

Social workers understand that evaluation is an ongoing component of the dynamic and interactive process of social work practice with, and on behalf of, diverse individuals, families, groups, organizations, and communities. Social workers recognize the importance of evaluating processes and outcomes to advance practice, policy, and service delivery effectiveness. Social workers understand theories of human behavior and the social environment, and critically evaluate and apply this knowledge in evaluating outcomes. Social workers understand qualitative and quantitative methods for evaluating outcomes and practice effectiveness.

Social workers:
• select and use appropriate methods for evaluation of outcomes;
• apply knowledge of human behavior and the social environment, person-in-environment, and other multidisciplinary theoretical frameworks in the evaluation of outcomes;
• critically analyze, monitor, and evaluate intervention and program processes and outcomes; and
• apply evaluation findings to improve practice effectiveness at the micro, mezzo, and macro levels.
Appendix C – Code of Ethics of the National Association of Social Workers

Approved by the 1996 NASW Delegate Assembly and revised by the 2008 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 clinical 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 audio taping or videotaping clients or permitting observation of services to clients by a third party.

1.04 **Competence**

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

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

(c) When generally recognized standards do not exist with respect to an emerging area of practice, social workers should exercise careful judgment and take responsible steps (including appropriate education, research, training, consultation, and supervision) to ensure the competence of their work and to protect clients from harm.
1.05 Cultural Competence and Social Diversity
(a) Social workers should understand culture and its function in human behavior and society, recognizing the strengths that exist in all cultures.
(b) Social workers should have a knowledge base of their clients' cultures and be able to demonstrate competence in the provision of services that are sensitive to clients' cultures and to differences among people and cultural groups.
(c) Social workers should obtain education about and seek to understand the nature of social diversity and oppression with respect to race, ethnicity, national origin, color, sex, sexual orientation, gender identity or expression, age, marital status, political belief, religion, immigration status, 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, gender identity or expression, age, marital status, political belief, religion, immigration status, 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 of or potential harm to the supervisee.
(d) Social workers who provide supervision should evaluate supervisees' performance in a manner that is fair and respectful.

3.02 Education and Training
(a) Social workers who function as educators, field instructors for students, or trainers should provide instruction only within their areas of knowledge and competence and should provide instruction based on the most current information and knowledge available in the profession.
(b) Social workers who function as educators or field instructors for students should evaluate students' performance in a manner that is fair and respectful.
(c) Social workers who function as educators or field instructors for students should take reasonable steps to ensure that clients are routinely informed when services are being provided by students.
(d) Social workers who function as educators or field instructors for students should not engage in any dual or multiple relationships with students in which there is a risk of exploitation or potential harm to the student. Social work educators and field instructors are responsible for setting clear, appropriate, and culturally sensitive boundaries.

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

3.04 Client Records
(a) Social workers should take reasonable steps to ensure that documentation in records is accurate and reflects the services provided.
(b) Social workers should include sufficient and timely documentation in records to facilitate the delivery of services and to ensure continuity of services 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, gender identity or expression, age, marital status, political belief, religion, immigration status, 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, gender identity or expression, age, marital status, political belief, religion, immigration status, or mental or physical disability.
Appendix D – National Association of Black Social Workers Code of Ethics

In America today, no Black person, except the selfish or irrational, can claim neutrality in the quest for Black liberation nor fail to consider the implications of the events taking place in our society. Given the necessity for committing ourselves to the struggle for freedom, we as Black Americans practicing in the field of social welfare, set forth this statement of ideals and guiding principles.

If a sense of community awareness is a precondition to humanitarian acts, then we as Black social workers must use our knowledge of the Black community, our commitments to its determination, and our helping skills for the benefit of Black people as we marshal our expertise to improve the quality of life of Black people. Our activities will be guided by our Black consciousness, our determination to protect the security of the Black community, and to serve as advocates to relieve suffering of Black people by any means necessary.

Therefore, as Black social workers we commit ourselves, collectively, to the interests of our Black brethren and as individuals subscribe to the following statements:

- I regard as my primary obligation the welfare of the Black individual, Black family, and Black community and will engage in action for improving social conditions.
- I give precedence to this mission over my personal interest.
- I adopt the concept of a Black extended family and embrace all Black people as my brothers and sisters, making no distinction between their destiny and my own.
- I hold myself responsible for the quality and extent of service I perform and the quality and extent of service performed by the agency or organization in which I am employed, as it relates to the Black community.
- I accept the responsibility to protect the Black community against unethical and hypocritical practice by any individual or organizations engaged in social welfare activities.
- I stand ready to supplement my paid or professional advocacy with voluntary service in the Black public interest.
- I will consciously use my skills, and my whole being as an instrument for social change, with particular attention directed to the establishment of Black social institutions.

Appendix E – Undergraduate Academic Regulations

Standards of Academic Integrity

As one of the Councils of the University Senate, the Undergraduate Academic Council recommends policy concerning undergraduate academic programs and regulations. To assist in academic governance, individual schools and colleges have collateral committees that can recommend academic policy to this council. It is the responsibility of each undergraduate student to be knowledgeable concerning pertinent academic policy. The University encourages students to accept the widest responsibility for their academic programs. For clarification and interpretation of the regulations contained in this section, students should contact the Office of the Vice Provost for Undergraduate Education, Lecture Center 30.

Policy Exceptions

In rare cases and for extraordinary reasons, exceptions to University, college, school, and department academic regulations may be granted to individual students. A student who wishes an exception to an existing regulation should, in the case of a college, school or department regulation, consult with the head of the unit in question for the approved procedure for submitting an appeal. For exceptions to University regulations, students should contact the Committee on Academic Standing through the Office of the Vice Provost for Undergraduate Education in Lecture Center 30.

Standards of Academic Integrity

Note: The policies and procedures in the following section on Standards of Academic Integrity are effective beginning Fall 2013 by action of the University Senate.

As a community of scholars, the University at Albany has a special responsibility to integrity and truth. By testing, analyzing, and scrutinizing ideas and assumptions, scholarly inquiry produces the timely and valuable bodies of knowledge that guide and inform important and significant decisions, policies, and choices. Our duty to be honest, methodical and careful in the attribution of data and ideas to their sources establishes the foundations of our work. Misrepresenting or falsifying scholarship undermines the essential trust on which our community depends. Every member of the community, including both faculty and students, shares an interest in maintaining academic integrity.

When the entire University community upholds the principles of academic integrity, it creates an environment where students value their education and embrace experiences of discovery and intellectual growth. In this environment, grades and degrees are awarded and applauded as the recognition of years of learning, achievement, discipline, and hard work. Maintaining the highest standards of academic integrity insures the value and reputation of our degree programs; these standards represent an ethical obligation for faculty intrinsic to their role as educators, as well as a pledge of honor on the part of students. If a violation of academic integrity occurs, faculty, deans, and students all share in the responsibility to report it.

Violations of trust harm everyone. The academic community needs to trust that its members do not misrepresent their data, take credit for another’s ideas or labor, misrepresent or interfere with the work of other scholars, or present previous work as if it were new. Acts of academic dishonesty undermine the value and credibility of the institution as a whole, and may distract others from
important scholarship or divert resources away from critical research. In particular, students who plagiarize or falsify their work not only fail to adhere to the principles of scholarly inquiry and fail their peers by taking undeserved credit or reward, but they also fail to demonstrate their learning.

These guidelines define a shared context of values to help both students and faculty to make individual and institutional decisions about academic integrity. Every student has the responsibility to become familiar with the standards of academic integrity at the University. Faculty members must specify in their syllabi information about academic integrity, and may refer students to this policy for more information. Nonetheless, student claims of ignorance, unintentional error, or personal or academic pressures cannot be excuses for violation of academic integrity. Students are responsible for familiarizing themselves with the standards and behaving accordingly, and UAlbany faculty are responsible for teaching, modeling and upholding them. Anything less undermines the worth and value of our intellectual work, and the reputation and credibility of the University at Albany degree.

Resources for Students

The University Libraries offer important resources for students seeking additional orientation to academic integrity.

Practicing Academic Integrity Site: library.albany.edu/infolit/integrity. This site provides access to concise and engaging educational resources that will help students navigate through the complexities surrounding information use and creation in today's digital environment. Acknowledging the work of others through citation (and its flip side, plagiarism), copyright, the ethics of sharing information in different formats, and the importance of contributing one’s own voice to academic conversations are all highlighted.

Citation Tools: the University Libraries offers a wide variety of citation tools which may be found at libguides.library.albany.edu/citationgenerators. These resources include citation generators and more extensive citation management tools, such as Zotero, Citation generators are websites or mobile apps that automatically format citations and bibliographies. Users select a type of source to be cited, such as a book, enter the book title, and the citation generator retrieves the required data and creates the citation data. Citation generators are useful for undergraduates who need to create bibliographies when writing papers, but it is important to check the resulting citations for errors. Citation management software programs allow students to create and organize a personal library of references and articles, format citations for a bibliography in various citation styles, and sometimes share and collaborate with others. Also available is CitationFox, an extensive resource developed by UAlbany librarians that provides citation guidance and examples for both the MLA and APA style.

Students should consult syllabi, their instructors, and in relevant circumstances their advisors for information about specific policies on academic integrity in courses or other academic exercises such as comprehensive/qualifying examinations, theses, and dissertations.

Graduate students may access additional information on Academic Integrity, Conduct, and Research Regulations via www.albany.edu/graduate/index.php.

Examples of Academic Dishonesty

The following is a list of acts considered to be academically dishonest and therefore unacceptable. Committing such acts is a breach of integrity and is subject to penalty. No such list can, of course, describe all possible types or degrees of academic dishonesty. Therefore this list should be
viewed as a set of examples, rather than as an exhaustive list. Individual faculty members, Deans of Schools and Colleges as appropriate, and Community Standards will continue to judge each breach according to its particular context.

**Plagiarism:** Presenting as one’s own work the work of another person (for example, the words, ideas, information, data, evidence, organizing principles, or style of presentation of someone else). Some examples of plagiarism include copying, paraphrasing, or summarizing without acknowledgment, submission of another student’s work as one’s own, the purchase/use of prepared research or completed papers or projects, and the unacknowledged use of research sources gathered by someone else. Failure to indicate accurately the extent and precise nature of one’s reliance on other sources is also a form of plagiarism. Students are responsible for understanding legitimate use of sources, the appropriate ways of acknowledging academic, scholarly, or creative indebtedness.

Examples of plagiarism include: failure to acknowledge the source(s) of even a few phrases, sentences, or paragraphs; failure to acknowledge a quotation or paraphrase of paragraph-length sections of a paper; failure to acknowledge the source(s) of a major idea or the source(s) for an ordering principle; failure to acknowledge the source (quoted, paraphrased, or summarized) of major sections or passages in the paper or project; the unacknowledged use of several major ideas or extensive reliance on another person’s data, evidence, or critical method; submitting as one’s own work, work borrowed, stolen, or purchased from someone else.

**Cheating on Examinations:** Giving or receiving unauthorized help before, during, or after an examination. Examples of unauthorized help include collaboration of any sort during an examination (unless specifically approved by the instructor); collaboration before an examination (when such collaboration is specifically forbidden by the instructor); the use of notes, books, or other aids during an examination (unless permitted by the instructor); arranging for another person to take an examination in one’s place; looking upon someone else’s examination during the examination period; intentionally allowing another student to look upon one’s exam; unauthorized discussion of exam questions during the examination period; and the passing of any examination information to students who have not yet taken the examination. There can be no conversation while an examination is in progress unless specifically authorized by the instructor.

**Multiple Submission:** Submitting substantial portions of the same work for credit more than once without receiving the prior explicit consent of the instructor to whom the material is being submitted the second or subsequent time.

**Forgery:** Imitating another person’s signature on academic or other official documents, including class material.

**Sabotage:** Willfully destroying, damaging, or stealing of another’s work or working materials (including lab experiments, computer programs, term papers, digital files, or projects).

**Unauthorized Collaboration:** Collaborating on projects, papers, or other academic exercises when this is forbidden by the instructor(s). The default faculty assumption is that work submitted for credit is entirely one’s own. At the same time, standards on appropriate and inappropriate collaboration as well as the need for collaboration vary across courses and disciplines. Therefore, students who want to confer or collaborate with one another on work receiving academic credit should seek the instructor’s permission to collaborate.
**Falsification:** Misrepresenting material or fabricating information in an academic exercise or assignment (for example, the false or misleading citation of sources, the falsification of experimental or computer data, etc.).

**Bribery:** Offering or giving any article of value or service to an instructor in an attempt to receive a grade or other benefits not legitimately earned or not available to other students in the class.

**Theft, Damage, or Misuse of Library or IT Resources:** Removing uncharged library materials from the library, defacing or damaging library materials, intentionally displacing or hoarding materials within the library for one’s unauthorized private use, or other abuse of reserve-book privileges. Any violation of the University’s Responsible Use of Information Technology policy. This includes, but is not limited to, unauthorized use of the University’s or another person’s computer accounts, codes, passwords, or facilities; damaging computer equipment or interfering with the operation of the computing system of the University.

**Penalties and Procedures for Violations of Academic Integrity**

The course instructor is responsible for determining when a student has violated academic integrity in a course. Students engaging in other academic activities such as qualifying or comprehensive examinations, theses, dissertations must also adhere to the standards of academic integrity outlined in this policy. In these cases, academic advisors and department, college, or school officials responsible for a student’s program of study are charged with determining if a student has violated academic integrity.

When a faculty member determines that a student has violated academic integrity, he or she will inform the student and impose an appropriate sanction. Faculty members must respond in a manner most appropriate to the particular infraction and the circumstances of the case in question, according to his or her best judgment. Penalties for violations of academic integrity may include, but are not limited to, the following:

1. Warning without further penalty, or with a requirement that an assignment be redone without a breach of academic integrity and resubmitted
2. Lowering of an assignment/exam grade
3. Assigning a failing grade on a paper containing plagiarized material
4. Assigning a failing grade on any examination in which cheating occurred
5. Lowering a course grade
6. Giving a failing grade in a course or other academic exercise

In addition, faculty members encountering a violation of academic integrity in their courses are required to complete and file the *Violation of Academic Integrity Report*. The report should indicate the sanction imposed and a brief description of the incident. Faculty filing a VAIR will submit copies both to the Vice Provost for Undergraduate Education or Graduate Education, as appropriate, and to the student.

If a faculty member informs the student that he or she will receive a failing grade for the course as a whole or for a component of the course as a result of academic dishonesty, the student receiving such a penalty will not be permitted to withdraw from the course, or to change the grading basis of the course from A-E to S/U.
Students who feel they have been erroneously penalized for an academic integrity infraction, or who think that a penalty is inappropriate, may make use of the grievance procedures, beginning with the Department and the College/School where the course was offered. Each College/School of the University has procedures for students who seek to dispute grades assigned or penalties imposed for academic infractions. Copies of the procedures are maintained in the College/School Deans’ Offices or on their respective websites.

If a student is cleared of wrongdoing through the grievance process, the student will not be subject to any penalties and the Violation of Academic Integrity Report associated with the case will be destroyed.

A violation confirmed by admission on the part of the student, by the student’s acceptance of the charges and penalties outlined in the Violation of Academic Integrity Report, or through the grievance process will result in the enforcement of the penalty determined by the faculty member reporting the incident.

Under either of the following two conditions, a violation may be forwarded to Community Standards for further adjudication and, potentially, further sanction:

- The faculty member reporting the incident has determined that the violation is serious enough to merit a failing grade in the course, and would like to have the case formally adjudicated at this higher level
- A faculty member or College/School Dean responsible for the academic program in which the offense has occurred deems it to be a particularly egregious case of academic dishonesty, regardless of the penalty imposed by the instructor, and would like to see the case formally adjudicated at this higher level

In these circumstances, the faculty member or College/School Dean may request that the Office of the Vice Provost for Undergraduate Education or Graduate Education, as appropriate, forward the case to Community Standards.

However, the following circumstance will automatically result in the case being forwarded to Community Standards for adjudication:

- A previous Violation of Academic Integrity Report on the student. When a student violates academic integrity in more than one academic exercise, whether those infractions occurred during the same or different periods of time, or in the same or different courses, the University regards the offense as an especially serious subversion of academic integrity. The matter becomes particularly severe when the student has been confronted with the first infraction before the second is committed. Whenever the Offices of Undergraduate Education or Graduate Education receive a second Violation of Academic Integrity Report on a student, the Vice Provost will request a hearing before Community Standards.

If a case is referred to Community Standards, that office will act in accordance with its standard procedures to determine the final disposition of the case, which may include revoking a student’s scholarship or fellowship, or teaching or research assistantship, as well as or in addition to disciplinary probation, suspension, or expulsion. If a hearing is held and a student is found “not in violation,” no punitive action may be taken against the student and the Violation of Academic Integrity Report associated with the incident will be destroyed.
A copy of the Violation of Academic Integrity Report associated with any incident in which the student is not cleared of wrongdoing (through the grievance process or by Community Standards) will be retained in the Offices of Undergraduate Education or Graduate Education, as appropriate. The Offices of Undergraduate Education or Graduate Education will maintain a copy of such reports for periods in accordance with SUNY student record retention policies: three years beyond the academic year in which the violation occurred, in the case of minor code violations (a single offense resulting in a sanction or sanctions short of a failing grade in the course), and seven years beyond the academic year in which the violation occurred, in the case of major code violations (a failing grade in the course, or any offense referred to and confirmed by Community Standards). A student’s record of violations of academic integrity may be communicated to graduate or professional schools or employers who request such information about applicants who have attended the University at Albany.

The Director of Libraries or Chief Information Officer, upon a finding of theft, damage, misuse of facilities or resources, or a violation of University policies, will forward all such cases to Community Standards for review and disposition, which can include suspension or expulsion from the University. The Director of Libraries or Chief Information Officer may, in individual cases, limit access to the Libraries or IT resources pending action by Community Standards. In all other cases of academic dishonesty by students, which come to the attention of any staff, faculty member, or student, it is expected that the Vice Provost for Undergraduate Education or Graduate Education, as appropriate, will be consulted about such infractions. In addition, University Police may elect to pursue the breaches, consistent with their policies.

Community Standards was established by the governing bodies of the University at Albany and is administratively the responsibility of the Vice President for Student Affairs. Any questions about the procedures of Community Standards may be secured by inquiry to that office.

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**Procedures for Resolving Academic Grievances**

Students who seek to challenge an academic grade or evaluation of their work in a course or seminar, or in research or another educational activity may request a review of the evaluation by filing an academic grievance.

The Graduate Academic Council (GAC) and the Undergraduate Academic Council (UAC), through the work of their respective Committees on Admission and Academic Standing (CAAS) are responsible for insuring that approved procedures exist within the schools, colleges, departments (if applicable) and programs of the University for students to file academic grievances. Copies of established grievance procedures shall be filed by each academic unit with the Offices of the Vice Provost and Dean of Graduate Education and the Vice Provost and Dean for Undergraduate Education and available to students at each school/college dean’s office.

It is expected that the grounds upon which an academic grievance may be based should be clearly identified. Such grounds may include variance from University grading standards/policies, grade calculation inconsistencies with that announced in published course syllabi, procedural abnormalities, or other factors that are alleged to have denied the student a fair evaluation. It is not expected that grievances will propose that the professional obligation of faculty to fairly evaluate academic material within their field of expertise will be supplanted by alternate means without procedural cause.
A student who seeks to dispute a grade or evaluation must initially pursue the matter directly with the faculty member involved. If not satisfactorily resolved directly with the faculty member, a written grievance may be filed with the program/department, or directly with school/college for units that are not departmentalized.

Should the grievance not be satisfactorily resolved at this initial level of review, students may pursue further consideration of the grievance at the next organizational level until such time as the grievance is considered at the University level by the GAC or UAC CAAS, as appropriate. Action on an academic grievance by the appropriate CAAS, upon acceptance by the GAC or UAC, as appropriate, is final and not subject to further formal review within the University. Only at this final level of grievance determination by the CAAS may a grade or other such evaluation be changed against the will of the faculty member(s) involved. In such rare cases, the Chair of the GAC or UAC, or its respective CAAS, as appropriate, may consult at his/her discretion with departmental faculty and/or appropriate scholars to determine an appropriate grade and authorize its recording by the Registrar.

In reviewing an academic grievance, the CAAS will consider the formal written petition from the student and corresponding written response/comment from the faculty, along with all records of consideration of the matter at prior levels of review. Although rare, the CAAS reserves the right to conduct a hearing with all parties present or it may decide to meet with each party separately. The nature and number of the representatives attending any such meeting will be at the discretion of the CAAS. These procedures adopted are those which the University believes will provide all parties involved the opportunity to present complete and factual information as necessary for the CAAS to render a fair decision.

Syllabus Requirement

The instructor of every section of an undergraduate class at the University at Albany shall provide each student in the section a printed or web-published copy of the syllabus for that section distributed during the first week of the class (preferably on the first regularly scheduled day the section meets). This syllabus must contain at least the information defined below. Each instructor retains the right to modify the syllabus and give notice in class of any modifications in a timely fashion. Students are responsible to apprise themselves of such notices.

Minimum Contents of a Class Syllabus:

- Catalog number and title of the course
- Term and class number of the section
- Location(s) and meeting times of the section
- Instructor’s name and title
- If applicable, name(s) of teaching assistants in the class
- Instructor’s contact information (e.g., e-mail address, office phone number, office location, fax
- Instructor’s office hours
- Course description, overview and objective(s)
- If applicable, General Education category/categories met by the course and how the course fulfills those General Education objectives
- Prerequisites of the course: the instructor should specifically indicate those prerequisites that are critical to success in the class and that are enforceable
- Grading scheme: whether the course is A-E or S/U graded and overall method by which grades will be determined (“weights” of exams, class participation, etc.)
• Instructors who do not intend to use the full A-E grading scale, including plusses and minuses, must include the scale that will be employed on the syllabus.

• Course requirements, including but not limited to: required textbooks; other required materials, purchases; fees when applicable; projected date and time of class exams, papers, projects, midterm, and final; attendance policies for the class; general paper, project, and test requirements; requirement of Internet for course work, when applicable.

• Safety policies, when applicable.

• Absence policies, including where possible a link to the University’s Medical Excuse Policy: http://www.albany.edu/health_center/medicalexcuse.shtml.

• Information about academic integrity*, including where possible a link to the University’s Standards of Academic Integrity: http://www.albany.edu/undergraduate_bulletin/regulations.html.

The course syllabus may also include such additional information as the instructor deems appropriate or necessary.

*Academic integrity: “Every student has the responsibility to become familiar with the standards of academic integrity at the University. Faculty members must specify in their syllabi information about academic integrity, and may refer students to this policy for more information. Nonetheless, student claims of ignorance, unintentional error, or personal or academic pressures cannot be excuses for violation of academic integrity. Students are responsible for familiarizing themselves with the standards and behaving accordingly, and UAlbany faculty are responsible for teaching, modeling and upholding them. Anything less undermines the worth and value of our intellectual work, and the reputation and credibility of the University at Albany degree.” (University’s Standards of Academic Integrity Policy, Fall 2013)

Policy for Freedom of Expression

The University reaffirms its commitment to the principle that the widest possible scope for freedom of expression is the foundation of an institution dedicated to vigorous inquiry, robust debate, and the continuous search for a proper balance between freedom and order. The University seeks to foster an environment in which persons who are on its campus legitimately may express their views as widely and as passionately as possible; at the same time, the University pledges to provide the greatest protection available for controversial, unpopular, dissident, or minority opinions. The University believes that censorship is always suspect, that intimidation is always repugnant, and that attempts to discourage constitutionally protected expression may be antithetical to the University’s essential missions: to discover new knowledge and to educate.

All persons on University-controlled premises are bound by the Rules and Regulations for Maintenance of Public Order, which deal in part with freedom of expression (adopted by the Board of Trustees of the of the State University of New York June 18, 1969; amended 1969, 1980). Members of the University community should familiarize themselves with those rules and regulations. In addition, University faculty are protected by and bound by Article XI, Title 1, Sec. I of the Policies of the Board of Trustees (adopted January 1987), entitled “Academic Freedom.”

University officials or other members of the University community in a position to review posters, publications, speakers, performances, or any other form of expression may establish legitimate time, place, and manner regulations for the maintenance of an orderly educational environment; however,
they may not prohibit expression for any reason related to the content of the expression, except as permitted in those narrow areas of expression devoid of federal or state constitutional protection.

Speakers invited to campus by University groups or individuals, and other speakers who may be legitimately present on campus, will be given the utmost protection to communicate their messages without disruptive harassment or interference. Opponents to those speakers enjoy the same protections for expressing their dissent.

All members of the University community share the duty to support, protect, and extend the commitment to the principle of freedom of expression, and to discuss this commitment with groups or individuals who seek to take part in University life. While all persons may seek to peacefully discourage speech that may be unnecessarily offensive to particular individuals or groups, speech that may be antithetical to the University's values, those persons must support the legal right of free speech.

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**School or College Enrollment**

Most students are advised in the Advisement Services Center during their freshman year. When students have been accepted to a major, they are enrolled in the school or college offering study in the desired major field. These are the College of Arts and Sciences, the College of Computing and Information, the Rockefeller College of Public Affairs and Policy; and the Schools of Business, Criminal Justice, Social Welfare and Public Health. In line with policy developed by the Committee on Academic Standing, a particular department, school or college within the University may permit a student to enroll as a major who has not completed a minimum of 24 graduation credits. Upon approval of the Committee on Academic Standing of the Undergraduate Academic Council additional conditions of initial and continued enrollment as a major may be required by individual departments, schools, or colleges.

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**Class Standing**

Students are classified by the Registrar's Office on the basis of graduation credits, as follows:

<table>
<thead>
<tr>
<th>Class</th>
<th>Credits Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Freshmen</td>
<td>Fewer than 24 credits</td>
</tr>
<tr>
<td>Sophomore</td>
<td>24-55 credits</td>
</tr>
<tr>
<td>Junior</td>
<td>56-87 credits</td>
</tr>
<tr>
<td>Senior</td>
<td>88 or more credits</td>
</tr>
</tbody>
</table>

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**Attendance and Timely Compliance with Course Requirements**

Students are expected to attend all classes and all examinations and to complete all course requirements on time. Faculty have the prerogative of developing an attendance policy whereby attendance and/or participation is part of the grade. As noted in the following section, "Syllabus
Requirement,” instructors are obliged to announce and interpret all course requirements, including specific attendance policies, to their classes at the beginning of the term; an instructor may modify this or other requirements in the syllabus but “must give notice in class of any modification” and must do so “in a timely fashion.” This policy also applies to courses that are less than a standard semester in length. In courses that are less than a standard semester in length, the appropriateness of the duration of the excused absence will be determined on a prorated basis consistent with the length of the course in question.

Students will not be excused from a class or an examination or completion of an assignment by the stated deadline except for emergencies, required appointments or other comparable situations. Students who miss a class period, a final or other examination, or other obligations for a course (fieldwork, required attendance at a concert, etc.) must notify the instructor or the Office of the Vice Provost for Undergraduate Education of the reason for their absence and must do so in a timely fashion.

The Office of the Vice Provost for Undergraduate Education will only provide letters to instructors asking that students with compelling reasons be granted consideration in completing their work when students have missed an exam or assignment deadline or when the absence exceeds one calendar week. Faculty are expected to use their best judgment when students have appropriate documentation for legitimate absences and not rely on the Office of the Vice Provost for Undergraduate Education for substantiation when it is not necessary.

If the student foresees a time conflict in advance that will prevent attendance at a class or examination or completion of an assignment, the student is expected to bring this to the attention of the instructor or the Office of the Vice Provost for Undergraduate Education as soon as the conflict is noted. In the case of an unforeseen event, the student is expected to notify the instructor or the Office of the Vice Provost for Undergraduate Education within one week of the requested period of absence. This timeliness is important since if the reason cited by the student is not considered a sufficient excuse, the student will need to know this as soon as possible. Even if the reason warrants granting the excuse, a student’s delay in contacting the instructor or the Office of the Vice Provost for Undergraduate Education may make it more difficult for the University to assist the student with acceptable options for making up the work that was missed.

Although University officials will consider each student’s request on its own merits and not attempt to define ahead of time the validity of all the possible reasons a student might give for missing a class or an examination, there are three types of reasons for which excuses will generally be granted: (a) illness, tragedy, or other personal emergency; (b) foreseeable time conflicts resulting from required appointments; and (c) religious observance. It shall be the student’s responsibility to provide sufficient documentation to support any request. (In this context, it should be noted that fraudulent excuses are considered violations of academic integrity and are grounds for academic or disciplinary penalties.)

a. Illness, Tragedy and Emergencies: If the cause is documented hospitalization or other significant medical reason, a tragic or traumatic experience, or other personal emergency, the student should contact his or her professor or the Office of the Vice Provost for Undergraduate Education (LC 30) as soon as the student is able to do so. In general, students are expected to provide appropriate documentation. In cases where absences exceed one calendar week, the Office of the Vice Provost for Undergraduate Education will review the documentation and, if appropriate, notify the instructor(s) involved of this fact and of the date(s) for which the student has been excused. An instructor in this case may not penalize the student academically for the absence and is expected to provide reasonable
assistance to the student concerning instruction and assignments that were missed. If an examination was missed, the instructor must administer a make-up examination or offer an alternative mutually agreeable to the instructor and the student. Any conflicts between student and faculty in accepting the alternative may be presented for resolution to the Chair of the department in which the course is offered.

Written notes from the University Health Center will only be provided to students in instances where absence due to documentable illness exceeds one calendar week in duration. There will be no provision for notes in instances where an illness-related absence is one calendar week or less in duration, except in cases where the student has missed an exam or significant course deadline due to their absence. In these situations the UAlbany Health center Medical Excuse policy will be strictly adhered to. In cases where the student has an illness-related absence extending beyond two calendar weeks in duration, the absence must be reviewed and approved by the University Health Center, then brought to the Office of the Vice Provost for Undergraduate Education. The Office of the Vice Provost for Undergraduate Education will not accept requests for absence notes submitted more than one calendar week after the requested period of absence.

b. Compelling Time Conflicts: If the cause of the absence is a major academic conference at which the student has a significant participation, a field trip in another course, or some other compelling time conflict, the student must notify the professor involved as soon as possible, providing verification of the conflict. When a student clearly would have been able to notify the instructor well in advance of the conflict, the student is required to do so. If an excuse is granted, the instructor is expected to provide, if at all possible, an alternative by which the student will not be penalized as a result of the conflict. Any conflicts between student and faculty in accepting the alternative may be presented for resolution to the Chair of the department in which the course is offered. The Office of the Vice Provost for Undergraduate Education will not accept requests for absence notes submitted more than one calendar week after the requested period of absence.

c. Athletic Events: If the cause of the absence is a varsity athletic contest, i.e., a University-sponsored team competition (excluding practice sessions and intra-squad games), the student should provide the instructor with a note from the Office of Student Athlete Support Services (Department of Athletics and Recreation) listing all scheduled competitions by the last day to add a course. If a student-athlete has provided this documentation in a timely manner, the instructor may not penalize the student academically for these absences and is expected to provide reasonable assistance to the student concerning instruction and assignments that were missed. It is the responsibility of the student to notify instructors of changes to such schedules prior to the date of the event; such changes will be supported with appropriate documentation from the Office of Student Athlete Support Services. If an examination was missed, the instructor must administer a make-up examination or offer an alternative mutually agreeable to the instructor and the student. Any conflicts between student and faculty in accepting the alternative may be presented for resolution to the Chair of the department in which the course is offered.

d. Religious Observance: Absences for religious observance are covered by Section 224-a. of the Education Law: “Students unable because of religious beliefs to register or attend classes on certain days.”

1. No person shall be expelled from or be refused admission as a student to an institution of higher education for the reason that he or she is unable, because of his or her religious beliefs, to register or attend classes or to participate in any examination, study, or work requirement on a particular day or days.
2. Any student in an institution of higher education who is unable, because of his or her religious beliefs, to attend classes on a particular day or days shall, because of such absence on the particular day or days, be excused from any examination or any study or work requirements.

3. It shall be the responsibility of the faculty and of the administrative officials of each institution of higher education to make available to each student who is absent from school, because of his religious beliefs, an equivalent opportunity to register for classes or make up any examination, study, or work requirements which he or she may have missed because of such absence on any particular day or days. No fees of any kind shall be charged by the institution for making available to the said student such equivalent opportunity.

4. If registration, classes, examinations, study, or work requirements are held on Friday after four o’clock post meridian or on Saturday, similar or makeup classes, examinations, study or work requirements or opportunity to register shall be made available on other days, where it is possible and practicable to do so. No special fees shall be charged for these classes, examinations, study or work requirements or registration held on other days.

5. In effectuating the provisions of this section, it shall be the duty of the faculty and of the administrative officials of each institution of higher education to exercise the fullest measure of good faith. No adverse or prejudicial effects shall result to any student because of his availing himself of the provisions of this section.

6. Any student who is aggrieved by the alleged failure of any faculty or administrative official to comply in good faith with the provisions of this section shall be entitled to maintain an action or proceeding in the supreme court of the county in which such institution of higher education is located for the enforcement of his rights under this section.

6-a. It shall be the responsibility of the administrative officials of each institution of higher education to give written notice to students of their rights under this section, informing them that each student who is absent from school, because of his or her religious beliefs, must be given an equivalent opportunity to register for classes or make up any examination, study or work requirements which he or she may have missed because of such absence on any particular day or days. No fees of any kind shall be charged by the institution for making available to such student such equivalent opportunity.

7. As used in this section, the term “institution of higher education” shall mean any institution of higher education, recognized and approved by the Regents of the University of the State of New York, which provides a course of study leading to the granting of a post-secondary degree or diploma. Such term shall not include any institution which is operated, supervised or controlled by a church or by a religious or denominational organization whose educational programs are principally designed for the purpose of training ministers or other religious functionaries or for the purpose of propagating religious doctrines. As used in this section, the term “religious belief” shall mean beliefs associated with any corporation organized and operated exclusively for religious purposes, which is not disqualified for tax exemption under section 501 of the United States Code.

As amended by Laws of 1992, chapter 278

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**Course Enrollment**

Students ordinarily enroll in courses at the level appropriate to their class.

Individual departments have the authority to require a C or S grade in courses that are prerequisite for advanced courses in that area.
**Senior Enrollment in 100-Level Courses:** Students with senior status (credits completed plus credits in progress equal to or exceeding 88) shall be allowed into courses at the 100 level only during the Program Adjustment period as defined by the University Calendar. This restriction does not apply to Music Performance courses and any summer session courses. Other exceptions may be granted by the Office of the Vice Provost for Undergraduate Education (Lecture Center 30).

**Graduate Courses for Undergraduate Credit:** A senior with a superior academic record may register for a 500-level course for undergraduate credit with the approval of the major department chair and the course instructor. In exceptional circumstances, seniors may be authorized to register for 600-level graduate courses provided they have completed most of the upper division undergraduate and other courses essential to their major and require a graduate course to strengthen it. To qualify for such enrollment the senior must have a superior record, particularly in his or her major field. To register for a 600-level course, students must have the approval of their adviser and obtain the written consent of their department chair and the instructor offering the course. The department chair should arrange for copies of these consents to be distributed to the persons involved and to be filed in the student’s official folder.

**Graduate Courses for Graduate Credit:** Seniors of high academic standing in the University may receive graduate credit for graduate courses taken in excess of undergraduate requirements in the last semester of their senior year provided not more than 6 credits are needed to complete the student’s undergraduate program. Consent of the Dean of Graduate Education is required and must be obtained in advance of registration to receive such credit. Seniors who are permitted to take courses for graduate credit in their last semester also must make formal application for admission to a graduate program and be accepted as a graduate student before registering for study in the final semester.

**Auditing Courses**

**Informal Audit:** This category of audit permits any student or resident of the state to visit any course (except those listed here). The informal auditor visits courses without tuition, fees, examinations, grading, or credit; and no record is maintained. The instructor determines the level of participation of the informal auditor. A student matriculated at Albany confers with the instructor of the course and requests consent to visit the course. An individual not matriculated at this University must first contact the Office of General Studies and then obtain consent of the individual instructor of the course. NOTE: Informal Audit is not allowed during Summer Sessions.

**Formal Audit:** This category of audit allows any student to formally audit any course (except those listed here). The formal auditor pays regular tuition and fees, and the course is entered on the transcript of the student with the grade of N (noncredit) or W (withdrawn) according to 6., as follows.

**Exceptions:** Generally, the following types of courses cannot be formally audited: practica, internships, research and independent study courses, field courses, clinical courses, workshops, and foreign study programs. Students who feel they have an extraordinary need to audit these courses must prepare a written rationale and submit it to the chair of the department in which the course is offered. Formal audit of graduate-level courses is restricted as outlined in 3. below. If a course is filled and has auditors in it, a student wishing to take the course for credit may displace the auditor.

**Formal Audit Policies**

1) The student must register for the courses during the program adjustment period
2) Students must pay the regular tuition and fees based on their academic status. Fees and tuition will be based on the student’s total load, including courses formally audited. Credits taken by formal audit will not count toward full-time status for the purposes of academic retention.

3) Registration for the formally audited course must be approved by the student’s academic adviser (for nonmatriculated students, either the Office of General Studies or the Office of Admissions) and the course instructor. A senior with a superior academic record may formally audit a 500-level course with the approval of the academic adviser, the major department chair, and the course instructor. In exceptional circumstances, a senior may be authorized to formally audit a 600-level graduate course provided the student has completed most of the upper-division undergraduate and other courses essential to the major field. To formally audit a 600-level course, students must have the approval of their adviser and obtain the written consent of their department chair and the instructor offering the course. The department chair will arrange for copies of these consents to be distributed to the persons involved and to be filed in the student’s official folder.

4) A student may not change from credit to audit or from audit to credit after the last day to add a course.

5) The formal audit option is limited to a maximum of two courses per term for each student.

6) An individual who formally audits a course must participate in appropriate ways as determined by the instructor. It will be the responsibility of the student to ascertain from the instructor the degree of participation required. The course will appear at the end of the term on the transcript of the student with a grade of N (noncredit). A formal auditor may withdraw from a course not later than one week after the mid-semester date as stated in the academic calendar and be assigned a W. A student failing to participate satisfactorily will be withdrawn and assigned a W.

7) Although not recommended, formally audited undergraduate courses may be taken for graduation credit at a later date. Formally audited graduate courses may not be taken again for graduate credit.

Adding Courses

All students must drop and add courses on the Web via www.albany.edu/myualbany.

From the first class day through the sixth class day of the semester, enter MyUAlbany on the Web and enter the class number of the course. If the course is closed or restricted, a Permission Number from the instructor is also necessary. From the seventh class day through the tenth class day of the semester, a Permission Number from the instructor is required for all adds. Enter MyUAlbany on the Web, enter the class number and the Permission Number for the course.

Subject to the approval of the Office of the Vice Provost for Undergraduate Education, after the tenth class day of the semester, a Course Permission Number from the instructor must be obtained before the Program Adjustment can be accepted by the Registrar’s Office. After the tenth class day of the semester, all late adds must be done in person at the Registrar’s Office, Campus Center-B52. A fee will be charged for this Program Adjustment.

In the event permission to late add a course after the tenth day of class is denied, a student may appeal that decision for any reason to the Committee on Academic Standing of the Undergraduate Academic Council. A “class day” is here defined to be any day from Monday through Friday in which classes are in
session. The above methods of adding a course apply to quarter (“8 week”) courses and summer session coursework on a prorated basis, determined by the length of the course in question.

**Dropping Courses**

All students must drop and add courses on the Web via www.albany.edu/myualbany.

From the first class day through the tenth class day of the semester, enter MyUAlbany on the Web and enter the class number of the course. During this time, a dropped course will be removed from the student’s record. A “class day” is defined as in “Adding Courses” above.

After the tenth class day through the "last day to drop a course" (as specified in the Academic Calendar), a student may drop a course by entering MyUAlbany on the Web and entering the class number of the course. During this time, a dropped course will remain on the student’s record and an indicator of W will be entered in the grade column. The W will be entered regardless of whether the student has ever attended a class.

If a faculty member announces a failing grade in the course as a possible result of academic dishonesty, the student receiving such a penalty will not be permitted to withdraw from the course unless the grievance or judicial system rules in favor of the student.

A student still enrolled in a class after the “last day to drop” is expected to fulfill the course requirements. The grade recorded for the course shall be determined on this basis. A student who registers for a course but never attends or ceases attendance before the tenth class day, as reported by the instructor, yet does not officially drop the course shall have an indicator of Z listed in the grade column on his/her record. The above methods of dropping a course apply to quarter (“8 week”) courses and summer session course work on a prorated basis, determined by the length of the course in question.

Exceptions to this policy may be granted by the Committee on Academic Standing of the Undergraduate Academic Council.

Note: Students receiving financial assistance through state awards should refer to *Academic Criteria for State Awards* in the Financial Aid and Estimated Costs sections of this bulletin before withdrawing from courses.

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**Policies to Deregister Students**

**Failure to Attend Class**

Beginning on the seventh class day, instructors may deregister students who fail to attend class, explain absence, or officially drop within the first six days of classes of a term unless prior arrangements have been made by the student with the instructor. The policy to deregister students is limited to the add period at the beginning of the semester. For courses that meet only once each week, including laboratory courses, the instructor may deregister students who do not attend the first scheduled class.
The above policy also applies to half-semester ("8 week") courses on a prorated basis, depending on the length of the course in question. A “class day” is defined as in “Adding a Course” above. This policy does not apply to Summer or Winter session courses.

WARNING: Not all faculty exercise this prerogative. The fact that a student didn’t attend doesn’t guarantee that the professor dropped the student from the course. Students must take the responsibility for dropping a course on the Web via www.albany.edu/myualbany if they wish to avoid an E or U in that course.

Lack of Prerequisite(s)

Students may be deregistered who lack the prerequisite(s) of the course at any time within the term or quarter the course is being taught. The Registrar will assign students who have been deregistered after the program adjustment period a grade of W for the course.

Transfer of Credit after Matriculation

Transfer equivalencies for institutions and courses previously approved for transfer credit are available online from the University at Albany’s Transfer Equivalency Databank on the Registrar’s Web page, http://www.albany.edu/registrar/transfer-credits.php. Courses not included in the databank may still be awarded transfer credit but require a course description or syllabus be attached to the transfer credit permission form. Post-matriculation transfer courses may not meet some requirements for the major, minor, and/or liberal arts credit requirements. Also, they cannot meet residency requirements. Students are strongly advised to consult with their advisors and/or the department in question about transfer credits prior to taking courses at other institutions.

Full-Time, Part-Time Defined

A student registered for a minimum of 12 credits within the semester is classified as a full-time student. Students registered for fewer than 12 credits are classified as part-time students for the semester.

Credit Load

A normal semester load is 15 credits. Registration for at least 12 credits is required for a student to be considered full-time. For loads of no more than 19 credits, the number of credits for which a student registers in a semester is an individual matter, determined by the student with the advice of that student's academic advisor. **Except as provided, below, for undergraduates studying abroad, no undergraduate may register for more than 19 credits without prior permission** obtained from the Office of the Vice Provost for Undergraduate Education. Students must present compelling academic justification and have the approval of their academic adviser or major department for a request to exceed 19 credits to be considered by the Office of the Vice Provost.

Undergraduates studying abroad who plan to take more than 19 SUNY credits must apply for permission no later than 4 weeks after the start of classes overseas. Credits earned for pre-session
courses which, when added to the regular semester’s course load, bring the total semester’s enrollment to over 19, do not need such permission.

Repeating Courses

Courses that can be repeated for graduation credit are so indicated within the course descriptions contained in this bulletin.

The following shall apply to students who enroll more than one time in a course that cannot be repeated for credit:

1. Appropriate registrations in the course, as of the last day to add a course in a term as specified in the academic calendar, shall be listed on the student’s Academic Record; all A–E grades for such courses will be computed in the average.
2. The total graduation credit applicable toward the student’s degree shall only be the credit for which that course has been assigned; i.e., graduation credit for the course can only be counted once.

Repeating Courses to Meet Program Admission Requirements

For the purposes of calculating admissions requirements into restricted majors or programs, once a student has received the grade of B- or higher in a course, no future grade in that course or its equivalent will be used in determining the student’s average for admission to that major or program.

An “equivalent” course, for purposes of this policy, is any course for which the student cannot receive credit by virtue of his or her having satisfactorily completed the original course.

Final Examinations

General Policy: In many courses, final examinations are an integral part of the learning and evaluative process. Some courses, by virtue of the structure, material, or style of presentation, do not require a final examination. The following policy in no way requires an instructor to administer a final examination.

Final examinations in semester-long undergraduate courses in the University are to be given only during the scheduled final examination period in accordance with the official schedule of examinations as published by the Registrar’s Office. The term “final examination” as used here shall be defined as any examination of more than one-half hour’s duration that is given in the terminal phase of a course. As defined, “final examinations” may be either comprehensive, covering the majority of the content of a course, or limited to only a portion of the content of a course.

No examinations of more than one-half hour’s duration are to be given during the last five regularly scheduled class days of a semester. Instructors seeking any exceptions to the above policy must submit a written request through their respective department chair to their college dean, or directly to their dean in those schools with no departmental structure. If the dean approves the exceptions, the instructor must notify the class of the new scheduled final examination date at least three weeks
before the last regularly scheduled class day of the semester. At the end of each semester, each college and school dean must submit to the Vice President for Academic Affairs a summary of all exceptions granted to the final examination policy.

The above regulations notwithstanding, the instructor in any course should always retain the freedom to reschedule a final examination for an individual student should such a student present a case of unquestionable hardship in his or her scheduled examinations. Such rescheduling should, however, be done in the final examination period if at all possible.

**Reading Day:** A day reserved for preparation for final exams. It is scheduled after all the regular class lectures and before final exams. As a rule, Reading Day should not be used as a make-up day and activities should not be scheduled that conflict with students’ ability to study for final exams.

**Three Finals on One Day:** If a student has three examinations in one day as a result of a departmental exam or of the official rescheduling of an examination after the initial final examination schedule has been published, then that student has the right to be given a makeup examination for the departmental or rescheduled examination. The request for such an exam must be made to the instructor in the appropriate course no later than two weeks before the last day of classes of the given semester. If possible, the makeup examination should be given within the final examination period.

**Retention of Exams:** Each instructor shall retain the final examination papers in his/her courses for one semester so those students wishing to see their papers may do so. This regulation does not apply in those instances in which the instructor chooses to return the papers to the students at the end of the course.

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**Grading**

The undergraduate grading system for the University will include the following grades: A, A-, B+, B, B-, C+, C, C-, D+, D, D-, E.

The normative grading pattern is A–E. However, students may receive S/U grades in two circumstances:

- In sections and/or courses that have been designated by departments or schools as S/U graded.
- In courses normally graded A–E in which the student selects S*/U* grading.

For students matriculated in the fall 2010 or thereafter, the student is limited to receiving optional grades only twice in their undergraduate academic career. Only courses below the 300 level may be S/U opted. These two courses of S/U may be in addition to all S/U grades received in department or school-designated S/U graded sections of courses. See also “Grading Option Deadline,” below.

A–E grades are defined as follows: A–Excellent, B–Good, C–Fair, D–Poor, and E–Failure. The grade of E is a failing grade and cannot be used to fulfill graduation requirements.

The grade of S is defined as equivalent to the grade of C or higher and is acceptable to fulfill graduation requirements. The grade of U (C- or lower) is unsatisfactory and is not acceptable to fulfill graduation requirements.
Transfer D Grades

1) Students cannot transfer in any grades of D

2) However, except for the University's writing requirements, for which a grade of C or higher or S is required, transfer work graded D in a course that applies to one or more of the University’s General Education requirements may be applied toward fulfilling the requirements, even if the student receives no graduation credit for the course.

Other Grades and Indicators

Additionally, the following grades and indicators may be assigned:

**I:** Incomplete. No graduation credit. A temporary grade requested by the student and assigned by the instructor ONLY when the student has nearly completed the course requirements but because of circumstances beyond the student’s control the work is not completed. The incomplete should only be assigned on the basis of an agreement between the instructor and the student specifying the work to be completed and establishing a general timeline in which the work will be completed. Incompletes may NOT be resolved by auditing or registering again for a subsequent offering of the course. The date for the completion of the work may not be longer than one month before the end of the semester following that in which the incomplete is received. Once the work is completed, the instructor assigns the appropriate academic grade.

The instructor may extend an incomplete for a maximum of one semester beyond the original deadline providing that the student has made contact with the instructor to request the extension. Additional extensions are NOT permitted.

Any grade of I existing after the stated deadline shall be automatically changed to E or U according to whether or not the student is enrolled for A–E or S/U grading. Except for extenuating circumstances approved by the Office of the Vice Provost for Undergraduate Education, these converted grades may not be later changed.

(NO: Students receiving financial assistance through state awards should refer to Academic Criteria for State Awards in the expenses and financial aid section of this bulletin before requesting grades of I.)

**N:** Noncredit.

**W:** An indicator assigned by the appropriate administrative officer indicating a student withdrew from the University, withdrew from an entire course load for a summer session, or dropped a course after the last day to add. For information and completeness, the W is placed on the permanent academic record. The W is not used in any computation of quality point or cumulative average totals.

**Z:** An indicator assigned by the appropriate administrative officer indicating a student enrolled in a course, never attended or failed to attend after the last day to add, and took no official action to drop the course. For information and completeness, the Z is placed on the permanent academic record. The Z is not used in any computation of quality point or cumulative average totals.
Grade Changes

An instructor may not permit students in an undergraduate course to submit additional work or to be reexamined for the purpose of improving their grades after the course has been completed. Also, The Registrar’s Office may not enter a change of grade without the approval of the Office of the Vice Provost for Undergraduate Education, except, of course, for changes of I to a final grade.

A grade of A, A-, B+, B, B-, C+, C, C-, D+, D, D-, E, S, or U may not be changed to a grade of I. On a case-by-case basis and for good cause, the Office of the Vice Provost for Undergraduate Education continues to have the power to allow grade changes for reasons deemed legitimate.

Grading Option Deadline

Students may change their option (A–E or S/U) for courses not departmentally designated for S/U grading until 15 class days after the midterm point. Changes in grading selections cannot be authorized beyond the date specified. The grading option may be changed by filing the appropriate form with The Registrar’s Office by the date specified in the academic calendar. When discussing with an instructor their progress in a course, students should inform the instructor if they are taking the course S/U.

Academic Average

The grades of A, A-, B+, B, B-, C+, C, C-, D+, D, D-, and E shall be the only grades used to determine an average. Grades shall be weighted as follows: A = 4.00, A- = 3.70, B+ =3.30, B = 3.00 B- = 2.70, C+ = 2.30, C = 2.00, C- = 1.70, D+ = 1.30, D = 1.00, D- = 0.70, and E = 0.00. The student’s academic average is the result of the following calculation:

1. The number of credits for courses receiving A–E grades is totaled
2. Each grade’s weight is multiplied by the number of credits for the course receiving that grade
3. The results of these multiplications are totaled to yield a weighted total.
4. The weighted total is divided by the total number of credits receiving A–E grades to yield an academic average.

Student Academic Record

A student’s official progress records are maintained by the Registrar’s Office. Grades for the semester are available to the student via MyUAlbany following the posting of grades by the Registrar.

Academic Retention Standards

Since the University requires that students have a cumulative grade point average of 2.00 and an average of 2.00 in the major and the minor in order to earn a bachelor’s degree, the grade point average is an important indicator of the ability to achieve a bachelor’s degree. Thus, the following policies are in effect for students whose performance indicates that they are in danger of failing to meet the conditions necessary to earn a degree.
**Academic Warning**

A student whose *semester* grade point average falls below a 2.00 (but is a 1.0 or above) will receive an Academic Warning from the Office of the Vice Provost for Undergraduate Education. This action will not subject the student to any further penalty but is intended to remind the student of the University’s policies as well as to inform the student of the resources available to ensure good progress in achieving an undergraduate degree.

**Academic Probation**

1) A student whose *cumulative* grade point average falls below a 2.00 will be placed on Academic Probation for the following semester. A student placed on academic probation will be notified by the Office of the Vice Provost for Undergraduate Education, and will be advised of the resources available to assist students in improving their academic standing.

2) Students on Academic Probation will be expected to improve their academic performance immediately. They must raise the cumulative GPA to at least 2.00 to be removed from academic probation. Students who fail to meet this condition will be placed on Terminal Probation in the following semester.

**Terminal Probation**

1) A student will be placed on Terminal Probation for the following semester if *either* of the following occurs:

   the student’s semester GPA is below 1.00, or

   the student has a cumulative GPA below 2.00 for a second semester

2) Students on Terminal Probation for a semester are *in danger of academic dismissal at the end of that semester*. Therefore, as a condition of continuing their enrollment at Albany, they must complete an “Academic Improvement Plan” (AIP) to improve their academic performance in consultation with their academic adviser, and must file this plan with the Office of the Vice Provost for Undergraduate Education by the date designated on the AIP. (Failure to file this form could result in a hold on the student’s record.)

3) If the student achieves a semester GPA and cumulative GPA of at least 2.00, the student will be removed from Terminal Probation.

4) If the student’s semester GPA is at least a 2.00 but the cumulative GPA remains below 2.00, the student will remain on Terminal Probation and must continue to meet the conditions described in section 2) above. The student must raise the cumulative GPA to at least 2.00 to be removed from Terminal Probation.

5) If the student earns a semester GPA below a 2.00 while on Terminal Probation, the student will be dismissed.
**Academic Dismissal**

Academic dismissal will occur only if a student has been on Terminal Probation and fails to earn a semester GPA of at least 2.00. The student's record will have the notation “Academic Dismissal.” Students who have been academically dismissed have the right to seek reinstatement to the University by submitting a written petition to the Committee on Academic Standing through the Office of the Vice Provost for Undergraduate Education, Lecture Center 30.

**Academic Dismissal Policy: Educational Opportunities Program Students**

Students enrolled at the University through the Educational Opportunities Program will be granted an additional semester on Academic Probation before they are subject to Terminal Probation, even if their cumulative GPA is below a 2.00.

**Good Academic Standing**

The term “in good academic standing” (satisfactory academic standing) means that a student is making satisfactory progress toward a degree and is eligible or has been allowed to register and take academic course work at this campus for the current term. Students placed on “Academic Probation” or “Terminal Academic Probation” are considered to be in good academic standing since they are making satisfactory progress toward a degree and are still authorized to continue studying toward their degrees. Academic Probation only serves as an academic warning that a student is in danger of not meeting minimum academic retention standards and being terminated from the University. Only those students who are officially terminated from the University are considered not to be in good academic standing.

(The above definition should not be confused with the academic standing criteria for eligibility for New York State financial awards as detailed in the Financial Aid section of this publication.)

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**Leave for Approved Study**

1) Students may apply for permission to pursue a Leave for Approved Study with the Office of the Vice Provost for Undergraduate Education, Lecture Center 30, 518-442-3950. That office shall ascertain that the student has been informed of University residency requirements, including major, minor and senior residency minima. Students interested in pursuing an approved leave for a given semester, must submit an application and other necessary paperwork **prior to the mid-term point of the proceeding semester of departure.** Completion of the semester prior to the commencement of the leave is required.

2) Study must be in an approved program at another college or university.

3) A leave for approved study is granted for only one semester and can be granted for a maximum of two semesters. A request for a leave implies an intent to return to the University in the next successive semester after completion of the leave.

4) Adviser approval is necessary for the leave to be approved. If the student was admitted through the EOP program, approval of the EOP director is necessary.

5) A student may pursue part-time or full-time course work during the leave.
6) A student who has satisfied the previous conditions and whose University at Albany cumulative average, as well as the GPA in the major and minor, is at least 2.00 at the time the proposed leave would begin will be granted a Leave for Approved Study.

7) A student who has satisfied the previous conditions and whose University at Albany cumulative average is less than 2.00 at the time the proposed leave would begin has the right to seek prior approval for a Leave for Approved Study by written petition to the Committee on Academic Standing.

8) Disciplinary dismissed or academically dismissed students are not eligible for leaves for approved study.

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**Degrees in Absentia**

Formerly matriculated undergraduates who have almost completed their degree and cannot return here to finish remaining requirements may apply for permission to finish their degree in absentia.

Their cumulative University at Albany grade point average, as well as their GPA in the major and minor, must be at least a 2.00. In addition, a petition for a waiver of residence requirement(s) and departmental support may be necessary.

Disciplinary dismissed or academically dismissed students are not eligible for a degree in absentia.

An application and other necessary forms for this process are available upon request by calling 518-422-3950 or writing the Office of the Vice Provost for Undergraduate Education, Lecture Center 30.

*Taken from University at Albany Undergraduate Bulletin 2017-2018*

[http://www.albany.edu/undergraduate_bulletin/regulations.html](http://www.albany.edu/undergraduate_bulletin/regulations.html)