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Rev. 08/18/18
Doctor of Social Work

This program is offered annually on the Aurora Campus. The program is also available on the George Williams College campus on alternating years.

The Doctor of Social Work program offers a clinical doctorate designed for those who want to teach in higher education, particularly clinical theory and practice in BSW and MSW degree programs. The DSW program responds to the real and pressing need for qualified faculty who can teach clinical theory and practice. Graduates are prepared to practice clinical social work at a highly advanced post-graduate level. Given the broad perspective of social work, the DSW program ensures continuing understanding of the micro, mezzo and macro systems, allowing students to serve as leaders in the social work field as well.

Program Options

The School of Social Work offers the DSW program on Saturdays on the Aurora campus, and in a residency format of one weekend per month on the George Williams College campus. The program requires 64 total semester hours including:

- 48 Academic semester hours
- 12 Clinical Preceptorship semester hours
- 4 Dissertation Supervision hours

Admission Requirements

We strive to recruit a diverse group of students who have had relevant and significant work and life experiences, and who can relate to diverse and vulnerable populations. We consider factors relating to the applicant’s academic ability, work, service, and extracurricular experience, especially as it relates to the promotion and development of resilient communities, organizations, groups, families and individuals.

Applicants to the DSW program should:

1. Complete the online application for graduate admission.
2. Have an MSW degree from a program accredited by the Council on Social Work Education (CSWE) or a master’s degree in an equivalent area.
3. Have an overall MSW G.P.A. of 3.0/4.0 scale.
4. Have at least three years of post-masters work experience and/or relevant clinical experience evaluated on a case-by-case basis by the DSW admission committee.
5. Submit two letters of recommendation from former professors, supervisors and other
professionals who have had extensive knowledge or experience with your work.
6. Complete a background check. Link available for Castle Branch during application process.
7. Submit a writing sample in the area of Clinical Social Work Theory and Practice demonstrating initial mastery of theory and practice content and clinical experience using a disguised case example.

Submit all materials via email to AUadmission@aurora.edu

Writing Sample

Your writing sample should consist of no more than 10 pages demonstrating understanding of clinical social work practice. This sample is not a research paper and does not have to be written in APA format or include references or a bibliography. The writing sample should be focused on understanding and experience in clinical social work practice. For example, you may write about a case you have had and how theory informed your work with the client(s). The writing sample will be evaluated for both writing ability and knowledge of clinical social work theory and practice.

Policy for Accepting Credit from Outside Programs

The DSW Program at Aurora University will accept no more than nine hours of credit from programs outside the DSW program for credit toward the doctoral degree. The Aurora University catalog stipulates that each graduate program will determine the maximum amount of credit that may be accepted from programs outside of the graduate degree toward completion of the specified graduate degree at Aurora University. The graduate catalog also stipulates that such credit must be negotiated and approved prior to the graduate student entering into the specific university graduate program.

DSW students wishing to receive credit must submit a request in writing to the Director of the DSW program. That written request should include course descriptions and syllabi if possible, as well as a transcript and for which DSW courses the credit will be given. The DSW Director will review the request and communicate the decision to the DSW student in a timely fashion.

Program Requirements — Doctor of Social Work

Year One

Fall
- SWK 7100 - The History of Psychological Theory and Practice (3 semester hours)
- SWK 7150 - The History of Clinical Social Work Knowledge and Practice (3 semester hours)
Spring
- SWK 7200 - Clinical Seminar I: Individuals (6 semester hours)
- SWK 7250 - History of Social Policy (3 semester hours)

Summer
- SWK 7300 - Clinical Seminar II: Couples (6 semester hours)
- SWK 7350 - Organizational Analysis (3 semester hours)

Year Two
Fall
- SWK 7400 - Clinical Seminar III: Families (6 semester hours)
- SWK 7450 - Teaching Clinical Social Work Theory and Practice (3 semester hours)

Spring
- SWK 7500 - Clinical Seminar IV: Groups (6 semester hours)
- SWK 7810 - DSW Electives: Three 3 credit hour courses (9 semester hours total) – Taken before the completion of the dissertation*

Year Three
Fall
- SWK 8100 - Research Methodology I (3 semester hours)
- SWK 8150 - Data Analysis I (3 semester hours)

Spring
- SWK 8200 - Research Methodology II, Dissertation Planning (3 semester hours)
- SWK 8250 - Data Analysis II (3 semester hours)
- SWK 8800 - Dissertation Supervision (4 semester hours over two semesters) Taken during the dissertation process AND ONE SEMESTER HOUR FOR EACH SUBSEQUENT SEMESTER (INCLUDING SUMMER) UNTIL THE COMPLETION OF THE DISSERTATION*.

Year Four
- Dissertation Supervision*
- Program completed or TBD

Year Five
- Program completed or TBD

Course Descriptions

SWK7100 The History of Psychological Theory and Practice  3 semester hours
This course will provide the doctoral student with a comprehensive overview of the history, development and evolution of psychological theory and clinical practice.
No prerequisites. Co-requisite: SWK7150.
SWK7150 The History of Clinical Social Work Knowledge and Practice  3 semester hours
This course will provide the doctoral student with a comprehensive overview of the history, development and evolution of clinical social work knowledge and practice.
No prerequisites. Co-requisite: SWK7100.

SWK7200 Clinical Seminar One  6 semester hours
This first clinical seminar will provide the doctoral student with a comprehensive overview of the history, development and evolution of clinical social work knowledge and practice with individual clients. The doctoral student will also be involved in a clinical preceptorship that runs concurrently with the academic course.
Prerequisites: SWK7100 and SWK7150. Co-requisite: SWK7250.

SWK7250 History of Social Policy  3 semester hours
This course will provide the doctoral student with a comprehensive overview and critique of the history, development and evolution of social policy as it relates to clinical social work practice.
Prerequisites: SWK7100 and SWK7150. Co-requisite: SWK7200.

SWK7300 Clinical Seminar Two  6 semester hours
This second clinical seminar will provide the doctoral student with a comprehensive overview of the history, development and evolution of clinical social work knowledge and practice with couples. The doctoral student will also be involved in a clinical preceptorship that runs concurrently with the academic course.
Prerequisites: SWK7100, SWK7150, SWK7200 and SWK7250. Co-requisite: SWK7350.

SWK7350 Organizational Analysis  3 semester hours
This course will provide the doctoral student with a comprehensive overview and critique of the history, development and evolution of organizational theory as it relates to the current state of clinical social work practice.
Prerequisites: SWK7100, SWK7150, SWK7200 and SWK7250. Co-requisite: SWK7300.

Year Two
SWK7400 Clinical Seminar Three  6 semester hours
This third clinical seminar will provide the doctoral student with a comprehensive overview of the history, development and evolution of clinical social work knowledge and practice with families. The doctoral student will also be involved in a clinical preceptorship that runs concurrently with the academic course.
Prerequisites: SWK7100, SWK7150, SWK7200, SWK7250, SWK7300 and SWK7350. Co-requisite: SWK7450.

SWK7450 Teaching Clinical Social Work Theory and Practice  3 semester hours
This didactic and experiential course will expose the doctoral student to the theory and techniques necessary to teach advanced clinical social work theory and practice in higher education.
Prerequisites: SWK7100, SWK7150, SWK7200, SWK7250, SWK7300 and SWK7350. Co-requisite: SWK7400.
SWK7500 Clinical Seminar Four   6 semester hours
This fourth clinical seminar will provide the doctoral student with a comprehensive overview of the history, development and evolution of clinical social work knowledge and practice with groups. The doctoral student will also be involved in a clinical preceptorship that runs concurrently with the academic course. In this clinical seminar, the doctoral student will develop the comprehensive paper used in his or her clinical oral. Doctoral students will also use this course to help prepare for the clinical oral through practice presentation in class.
Prerequisites: SWK7100, SWK7150, SWK7200, SWK7250, SWK7300, SWK7350, SWK7400 and SWK7450.

*SWK8810/8910 Special Topics: D.S.W. Electives Three 3 semester hour courses/9 total semester hours
The remaining three electives will consist of three 3-hour courses in an area of the doctoral student’s choosing. These courses must be approved by the doctoral student’s advisor, and substantially relate to the overall dissertation plan, i.e. be relevant to the course of study and add to the expertise of the doctoral student’s overall educational process. These could include EdD courses from AU, as well as other AU master’s-level courses that can be revised to meet doctoral criteria for content and assignment rigor.
Prerequisites: Approval of Advisor; SWK7100, SWK7150, SWK7200, SWK7250, SWK7300, SWK7350, SWK7400 and SWK7450. Co-requisite: SWK7810.

Year Three
SWK8100 Research Methodology I   3 semester hours
This course will acquaint the doctoral student with the knowledge and application of research methodology in preparation for development of the dissertation proposal.

SWK8150 Data Analysis   3 semester hours
This course will acquaint the doctoral student with the knowledge and application of statistics for the study and research of social work treatment practices in support of the development of evidence-based practice.

SWK8200 Research Methodology II, Dissertation Planning   3 semester hours
In this course, the doctoral student will finalize their Dissertation Committee and develop an initial dissertation proposal, including formulating the research question, literature review, methodology design, data analysis, human subjects protections procedures including consent forms, IRB application, and agency or organizational approvals.
Prerequisites: SWK8100 and SWK8150. Co-requisite: SWK8250.
SWK8250 Data Analysis II  3 semester hours
This course is intended to support the student in developing a competitive level of statistical acumen in preparation for both finalizing the dissertation and engaging in professional practice or academia.
Prerequisites: SWK8100 and SWK8150. Co-requisite: SWK8200.

SWK8800 Dissertation Supervision  2-4 semester hours
Prerequisites: Successful completion of the Clinical Oral and Comprehensive Exam, SWK7500, SWK8200, SWK8250.

IN ADDITION, DOCTORAL STUDENTS THAT DO NOT SUCCESSFULLY COMPLETE THE DISSERTATION BY THE END OF THE FOURTH YEAR IN THE PROGRAM, MUST ENROLL IN A ONE SEMESTER CLASS OF SWK 8800 EACH SEMESTER UNTIL THE DISSERTATION IS COMPLETE.

*An extension petition must be completed with the assistance of the dissertation chair, submitted to the DSW Director and approved by the Registrar should the DSW program extend beyond the allotted five-year time frame. The petition is included in this handbook.

Academic Standards

Academic Performance

The DSW program maintains high academic standards, as do all professional programs, where the well-being of future clients is of concern. In accordance with Aurora University regulations, the School of Social Work reserves the right to maintain academic standards for admission and retention in the social work program at the BSW, MSW and DSW levels, above and beyond compliance with the general academic standards of the University.

Criteria for Academic Performance

In the graduate program, the DSW student must maintain a 3.0 cumulative grade point average. A student whose cumulative grade point average (CGPA) falls below 3.0 is placed on academic probation. Students must raise the CGPA by the end of the following semester. If the CGPA is not raised to 3.0 at the end of the following semester, excluding summer, the CGPA is grounds for suspension or dismissal from the School of Social Work. Students with a CGPA below 3.00 at the end of their final semester will not be allowed to graduate.

A student dismissed from the DSW program may not apply for readmission for one calendar year. If subsequently readmitted, the student must meet all degree requirements in effect at the time of readmission. Any other academic standards required of all graduate students in the University are binding on DSW students in the School of Social Work. Students may refer to the University catalog.
Course Grades and Academic Process

Students must receive a passing grade of a “B” or better in all required DSW coursework. If a failing grade is received in a course, the course/s must be repeated. Students who receive more than one failing grade in required coursework may be suspended or dismissed from the DSW program.

Independent Study Courses

Students may request to complete an independent study course on a selected topic not addressed in a regularly offered elective course. Requests must be made to the DSW Program Director. Approval for Independent Study courses is made by the Director.

Academic Advising/Course Registration

The DSW Program Director, faculty and staff of the School of Social Work provide academic advising to DSW students. The DSW Program Director, faculty and staff help students plan their course of study within the School of Social Work. The DSW Program Director, faculty and staff also provide students with academic information and help them understand university procedures. Students should consult the program structure charts or grids for guidance when scheduling courses. Students are reminded that deviating from the structured program plan may result in a delay in completing the program since courses are usually offered only in the academic terms outlined on the program structure charts. The charts are available at the School of Social Work as well as at the website.

Writing Standard

Professional social workers are often judged by others based upon the quality of their written work. A poorly written professional report may suggest mistakes in other areas of work performance. When the work product of a social worker is devalued the result may be detrimental. Therefore, all written assignments are expected to meet professional standards. Work must be typed and edited. Each assignment must follow the guidelines stipulated by the instructor. The most current edition of APA guidelines will serve as a quality resource for writing and proper formatting.

Class Attendance Policy

Students are expected to attend all classes. Those students unable to attend a scheduled class session are responsible for notifying the instructor in advance by phone or by e-mail explaining the need for absence. Twenty percent (20%) or more of the scheduled class session is considered excessive absence. Excessive absences may result in a reduction of grade for the course.
Personal/Professional Performance Standards

Behavior in Classroom
Students in a professional program should conduct themselves as professionals in relation to the class session and assignments. Students are assessed not only for meeting basic performance criteria on assignments described in course syllabi, but also on their ability to relate to others and their personal and professional behavior.

Professional Conduct
Students in a professional program should conduct themselves as professionals in relation to the class session and assignments. It is not acceptable to be late for classes except in unusual circumstances. Respect for the opinions of others is expected. Opinions expressed should be supported by data or carefully reasoned argument. Asking questions per se, or offering opinions that do not reflect the readings assigned for the class do not constitute “prepared participation.” Any use of consciousness altering substances before, during, or between class sessions obviously impairs learning, and is unacceptable. Frequent lateness or professional unbecoming class conduct are likely to result in a lowered grade.

Dress Code
Students are expected to respect and adhere to the dress code of the classroom. The appropriate dress may range from casual, business attire to business casual.

Procedures for Use in Appealing Allegedly Capricious Term Grades for Students

Introduction

a. The following procedures are available only for review of alleged capricious grading, and not for review of the judgment of an instructor in assessing the quality of a student’s work. Capricious grading, as that term is used herein, is limited to one or more of the following:
   - The assignment of a grade to a particular student on some basis other than performance in the course;
   - The assignment of a grade to a particular student by more exacting or demanding standards than were applied to other students in that course;
   - The assignment of a grade by a substantial departure from the instructor’s standards announced during the first fourth of the term.

b. The assessment of the quality of a student’s academic performance is one of the major professional responsibilities of University faculty members and is solely and properly their responsibility. It is essential for the standards of the academic programs at Aurora University and the integrity of the degrees conferred by this University that the professional judgments of faculty members not be subject to pressures or other interference from any source.

c. It is necessary, however, that any term grade be based on evidence of the student’s performance in a course, that the student have access to the evidence, that the instructor be willing to explain and interpret the evidence to the student,
and that a grade be determined in accordance with announced guidelines. These
guidelines should be announced in and put in writing for each class at the
beginning of each term.

**Appeal Procedures**

a. A student who believes his/her term grade is capricious may seek clarification
and, where appropriate, redress, as follows:

   • The student shall confer with the instructor, informing the instructor of
     questions concerning the grade, and seeking to understand fully the
     grounds and procedures the instructor has used in determining the grade.
     The aim of such a conference is to reach mutual understanding about the
     grade, the process by which it was assigned, and to correct errors, if any,
     in the grade. The student should do this within two weeks of receiving
     his/her final grade.
   • If, after consultation with the instructor, the student believes that a grade is
     capricious, the student shall submit a petition in writing to the DSW
     Program Director, who shall consult and advise with both the instructor
     and student separately or together, in an effort to reach an understanding
     and resolution of the matter.
   • If Steps One or Two do not resolve the problem, the student may submit a
     petition in writing to the Dean of the School of Social Work. This petition
     must be submitted to the Executive Director not later than the end of the
     fourth week of the term following that for which the grade is being
     appealed, excluding the summer term.

b. The student shall request a meeting with the Dean, and shall present evidence
that the grade is capricious as defined above, and shall present the student’s
arguments which substantiate his/her conclusions. The Executive Director shall
refer the petition to the instructor and secure from the instructor a response in
writing, setting forth the instructor’s position on the matter.

c. On the basis of a consideration of the student’s petition and the instructor’s
response, the Dean shall conduct an inquiry which shall include a meeting with
the student and the instructor separately or together and ascertain and consider
relevant facts. The instructor and/or student may bring an advocate if he/she so
chooses. If an advocate is to be present at a meeting, the Dean must be informed
prior to the meeting.

**Decision** - The Dean shall make one of these decisions:

a. That the grade was not assigned capriciously and shall stand as assigned.
b. That the grade was assigned capriciously and should be changed. The Executive
   Director shall then, as a result of his/her consideration, assign a grade different
   from the grade decided to be capricious. The Dean shall authorize the Registrar
to make the grade change and such a decision shall be final.
Professional Standards

Professional/Ethical Behavior

Professional social work education requires high standards of academic, personal, and professional conduct. The educational program at both the undergraduate (BSW) and graduate levels (MSW and DSW) requires the development of ethics and values as well as knowledge and skills. Students are expected to exhibit values and behaviors that are compatible with the NASW Code of Ethics which regulates not only professional conduct in relation to clients, but also in relation to colleagues.

The School of Social Work recognizes that professional competencies and conduct are not always measurable by academic achievement. The SSW reserves the right to make decisions regarding admission and retention of student status based on high standards of personal and professional conduct demonstrated both in and out of the classroom. Students are evaluated on standards of personal and professional behavior, adherence to ethical standards, and on the basis of civil and criminal records. Students may be suspended or dismissed from the program if an evaluation outcome does not meet professional standards.

Criteria for Professional/Ethical Behavior

Ethical Behavior
The student is required to know the contents of, and is bound by, the University policies and regulations dealing with conduct presented in the Student Handbook. Students are required to know the contents of, and are bound by, The Code of Ethics of the National Association of Social Workers (NASW). Social Work students are also bound by the School of Social Work’s specific provisions below:

Misrepresentation of Self
Fraud or misrepresentation includes, but is not limited to, false or misleading statements on the application, during the admissions interview, and/or on the financial aid application. Falsifying degrees or professional credentials is also considered fraud or misrepresentation of self. Such behavior shall constitute grounds for dismissal.

Alleged Law Violations
Any student charged with fraud, malpractice, a felony, or misdemeanor, may be refused or revoked registration in classes without prejudice until an official determination has been made by the University.

Conviction for a Felony or Misdemeanor
Any student who has been convicted of a felony or misdemeanor for conduct that may be a threat
to the well-being of others shall not be admitted to classes or activities until there is clear evidence of rehabilitation. Serving a sentence alone does not necessarily constitute evidence of rehabilitation. The faculty of the School of Social Work will be the sole judge of rehabilitation. Following a conviction, the student shall be informed in writing of the criteria that the University will use in determining evidence of rehabilitation.

Some states prohibit licensure in the field of social work if a felony conviction is on record. It remains the student’s responsibility to obtain information regarding the information specific to licensure through the appropriate governing body.

**Inappropriate Behavior that Would Interfere with Performing Professional Duties**

Any student who engages in inappropriate behavior that would interfere with performing professional duties and could potentially threaten the well-being of clients, including violent behavior, behavioral indications of substance abuse, or having indicators of physical or psychiatric disorders shall not be admitted to class. Any behavior which may have been influenced by a student’s mental state (regardless of the ultimate evaluation) or use of drugs or alcoholic beverages will not in any way limit the responsibility of the student for the consequences of his/her actions.

**Statement of Criminal Background Notification**

Aurora University reserves the right to deny admission to its undergraduate, graduate and non-degree programs based on application materials, previous academic record and records of past conduct, including but not limited to the results of a criminal background check or registration of a sex offense.

DSW applicants are required to complete a national background check before beginning the program. The DSW program may deny admission based on the results of a criminal background check. The school may refuse or revoke admission for the following: misrepresentation of self, criminal behavior, results of the national background check, and/or behavior that interferes with performing professional duties.

**Student Confidentiality**

The School of Social Work maintains an academic file on each DSW student. This file contains admissions materials; academic records (transcripts, grades); formal communication between the DSW Program Director, DSW faculty, and the student. The program honors and complies with the Family Educational Rights and Privacy Act 20 USC Sec. 1232g which requires academic institutions to provide access to academic records to the student, and prohibits the release of any information to another party unless a signed authorization has been obtained.

**Confidentiality of Admissions Materials**

Once the School of Social Work has the completed admissions file for a student, no materials within the file will be provided to the student or other parties. Included with this material is the student’s clinical writing sample, official transcripts, and letters of recommendation. Letters of recommendation will not be released to students even with a signed permission from the person who completed the recommendation.
Non-Discrimination and Affirmative Action
A complaint of program non-compliance with the Non-Discrimination and/or Affirmative Action policy should be directed to the DSW Program Director. See Chapter 1 of this handbook for the Non-Discrimination and Affirmative Action policy.

Student Review Policy
On rare occasions, when a serious concern about academic, personal, or professional performance related to any of the program’s standards and/or policies has been identified by a faculty member, at any point in the program, and it is deemed a concern warranting immediate attention, the faculty member reports to the DSW Program Director. The DSW Program Director informs the student that a concern has been identified, seeks information from relevant parties thoughtfully appraises the student’s situation and assesses whether the situation warrants a Student Review.

The purpose of a Student Review is to either design a helping plan for continuance in the DSW program or to make a determination regarding continuance in the program, such as suspension or dismissal from the School of Social Work.

A Student Review is scheduled as needed, and is chaired by the DSW Program Director. A Student Review Committee is formed which consists of the faculty who are current instructors for the student, other faculty members, administrators and University personnel (e.g., Center for Teaching and Learning) deemed relevant to the Student Review process as determined by the DSW Program Director.

The student will be notified in writing of the commencement of the student review, the nature of the student review, giving the date, time, and place, the facts and occurrences that have given rise to concern, the nature of the student review, the student’s right to attend (and bring an advocate or person for support), the student’s right to bring to the committee’s attention relevant information concerning these facts, and occurrences that the student wishes the committee to consider.

In cases where the committee deems it appropriate, the committee may request the student to have his/her physician, psychiatrist, psychologist or other provider of professional services meet with the committee to discuss the student’s capabilities, and/or may request the student to permit an examination by a physician, psychiatrist, psychologist or other provider of professional services selected by the School, whose report and/or opinion concerning the student’s capabilities will be shared with the student. The student may submit additional information in response. If necessary, the Committee shall continue the conference at a later date for the purpose of obtaining additional relevant information.

Once the committee has completed its review, it will notify the student in writing by certified mail of its determination along with a summary of the student review meeting. The determination can take any of the following forms: (1) a written plan establishing the conditions and requirements that the student must meet to continue in the program; (2) a
temporary suspension of the student from the program, and; (3) a determination to discontinue the student from the program.

If the student wishes to challenge the determination of the Student Review Committee, the student has a right to appeal to the Executive Director of the School of Social Work. A written request for the appeal must be submitted to the Executive Director within four weeks of the student review. The written request should identify the student’s grievance(s).

**Program Termination**

Students who are not permitted to continue within the DSW program are informed of such by certified mail. At the time of suspension or dismissal, the student will be administratively dropped from current and future courses in the DSW program.

**Termination Appeals**

Students who have been terminated from the DSW program can appeal such a decision only on the basis of alleged “capriciousness.” The term “capricious” is limited to one or more of the following:

- Termination on the basis other than academic or professional performance;
- Termination on more exacting or demanding standards than were applied to other students in the program;
- A substantial departure from the standards and procedures contained in the DSW Policy Handbook.

Appeals based upon capriciousness are made to the DSW Program Director. The request for appeal must be in writing, identifying the student’s grievance(s). Failing a mutually satisfactory resolution at the level of the DSW Program Director, the student may appeal the determination in writing to the Dean of the School of Social Work.

**Readmission to the DSW Program**

A DSW student who leaves or withdraws from the DSW program; is dropped from the program for poor scholarship or unprofessional behavior; or is terminated for lack of registration or application for a leave of absence, and later decides to complete the program, must apply for readmission to the program. Prior records will be re-evaluated and the student, if readmitted, will be held responsible for completing all current degree requirements.

**Handbook Terms of Issue**

Every attempt is made to permit students to graduate under the degree requirements in effect when they entered Aurora University and the School of Social Work provided that enrollment is continuous from time of matriculation until graduation. However, the School of Social Work reserves the right to modify academic requirements, curricula, and/or course offerings at any time without prior notice and without incurring obligation. At the same time, the program attempts to enable students to participate in formulating and modifying policies affecting academic affairs.
Aurora University Academic & Professional Standards
Please refer to the University Student Handbook for all University policies related to academic and professional standards, including (but not limited to):

- Academic and Social Expectations
- Statement of Academic Integrity
- Zero Tolerance Policy
- Statement of Discrimination and Sexual Harassment
- Learning Disabilities Policy
- Privacy Act of 1974 as Amended
- Policy for Grade Appeals
- Graduate Grading System

The University Student Handbook is located online at: www.aurora.edu/academics/resources/abook

Clinical Seminar Summary and Clinical Preceptor Responsibilities

In the fall semester of the first year, the doctoral student will consult with the DSW Program Director to secure a clinical preceptorship. The preceptorship will begin in the spring semester of the first year in the doctoral program and run for four consecutive semesters. In addition to a four-course clinical seminar sequence, the doctoral student is required to concurrently spend eight hours a week in preceptorship, including one hour of weekly academic clinical consultation with an approved Clinical Preceptor. With the approval of the DSW Program Director, the doctoral student may use a current place of employment for the preceptorship. The Clinical Preceptor will be chosen in discussion with and approval by the Director of the Doctoral Program. The Clinical Preceptor must have at least a master’s degree and clinical experience and expertise relevant to the doctoral student’s clinical practice. The Clinical Preceptor is not a direct supervisor, but a Clinical Academic Consultant who will help guide the doctoral student through the Clinical Oral process, including the paper and oral presentation preparation. This includes one hour weekly discussions with the student (in person or by phone) to help them explore and examine their clinical work as it relates to the Doctor of Social Work curriculum, especially the Clinical Seminars. This four semester experience culminates in the Clinical Oral Presentation. The Clinical Preceptor will have periodic contact with the DSW Program Director and the student’s current Clinical Seminar Instructor as needed in order to maintain a positive preceptorship experience. This communication will serve to keep the DSW Program Director and Clinical Seminar Professors abreast of the doctoral student’s progress. The Clinical Preceptor will be part of the Clinical Oral Committee and a voting member in the process.

At the end of the four-course sequence, the doctoral student will construct a short paper describing the client being presented in the clinical oral examination. This paper will be distributed to the clinical oral committee consisting of the doctoral student's Clinical Internship
Preceptor, the DSW Program Director, and a Social Work faculty member or outside Clinical Practitioner chosen by the student and approved by the DSW Program Director. The doctoral student will present a clinical case to the committee, demonstrating mastery of a particular clinical theory and its application in clinical practice. The committee will cast a vote of pass or fail at the completion of the clinical oral and discussion. The doctoral student will need at least two out of three favorable votes to pass.
DSW Preceptorship Agreement Form

DSW Student: ____________________________________________________________
                        Signature  Date

DSW Student: ____________________________________________________________
                        Print Name

DSW Preceptorship Site: _________________________________________________

Address and Phone Number: _____________________________________________
                                                                

DSW Preceptor: _________________________________________________________
                        Signature  Date

DSW Preceptor: _________________________________________________________
                        Print Name

Director of the Doctor of Social Work Program: _____________________________
                        Signature  Date

Director of the Doctor of Social Work Program: _____________________________
                        Print Name
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<td>Term: _________________________________</td>
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<th>4 - Advanced</th>
<th>3 - Proficient</th>
<th>2 - Developing</th>
<th>1 - Emerging</th>
<th>0 - No Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning</td>
<td>Identifies circumstances when learning occurred independently. Able to point out learning resources available within and outside the organization. Integrates and applies theoretical constructs to a variety of populations/organizations.</td>
<td>Identifies opportunities to learn independently. Able to point out learning resources available within and outside the organization. Applies theoretical constructs to a population/organization.</td>
<td>Identifies opportunities to learn independently. Benefits from direction in discovering learning resources within the organization. Benefits from discussions related to theoretical constructs.</td>
<td>Seeks guidance regarding the learning process of being a preceptee.</td>
<td></td>
</tr>
<tr>
<td>Engagement</td>
<td>Engages preceptor, organization and/or clientele through identification of both needs and strengths while partnering with organization staff/clients to create improved outcomes. Engages with organization/clients in their own environments as a primary form of engagement.</td>
<td>Engages preceptor, organization and/or clientele through identification of both needs and strengths while partnering with organization staff/clients to create better outcomes.</td>
<td>Engages preceptor, organization and/or clientele through identification of both needs and strengths.</td>
<td>Seeks guidance regarding the process of engagement.</td>
<td></td>
</tr>
<tr>
<td>Assessment</td>
<td>Relates ongoing findings to potential complications; modifies plans and clinical interventions accordingly. Classifies relative importance of multiple assessment findings over time.</td>
<td>Recognizes changes in normative and non-normative assessment with guidance/prompts.</td>
<td>Distinguishes between normative and non-normative assessment findings.</td>
<td>Performs simple, basic client care/organizational care with prompts.</td>
<td>Seeks guidance regarding the process of assessment.</td>
</tr>
<tr>
<td>Intervention</td>
<td>Modifies clinical care by synthesizing evidence-based knowledge into practice; utilizes and/or conducts research.</td>
<td>Implements appropriate intervention plan and evaluates effect in timely manner.</td>
<td>Identifies active client concern(s), but needs help on selecting intervention(s)</td>
<td>Performs client assessment with guidance/prompts.</td>
<td>Seeks guidance regarding interventions.</td>
</tr>
<tr>
<td>Evaluation of Application/Integration</td>
<td>Readily applies multiple theoretical concepts to a specific case/organization while evaluating engagement, assessment and intervention.</td>
<td>Evaluates four or more concepts from a theoretical approach appropriate for engagement, assessment, and intervention to a specific case or organization.</td>
<td>Applies and explains one to three concepts from a theoretical approach appropriate for application to the specific case or organization.</td>
<td>Seeks guidance regarding theoretical approaches appropriate for engagement, assessment, application and intervention.</td>
<td></td>
</tr>
<tr>
<td>Communication and/or Documentation</td>
<td>Synthesizes available information and possible outcomes</td>
<td>Draws conclusions based on available information during</td>
<td>Prioritizes available information for discussion and</td>
<td>Summarizes available information during discussion with</td>
<td>Seeks guidance about the means of communication/documentation.</td>
</tr>
<tr>
<td>Preceptee demonstrates articulate communication and well-developed documentation.</td>
<td>during articulate discussion with preceptor and shares well-developed reporting.</td>
<td>discussion with preceptor; and develops standardized form for reporting.</td>
<td>documentation with preceptor.</td>
<td>preceptor and develops documentation when prompted.</td>
<td>Lacks knowledge of diversity and biases.</td>
</tr>
<tr>
<td>---</td>
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</tr>
</tbody>
</table>

**Diversity**

Preceptee demonstrates knowledge of diverse populations and utilizes knowledge of diverse populations in a responsive manner that demonstrates empathy and humility.

| Articulates knowledge and understanding of various types of diversity, as well as biases. Takes leadership in the creation of systems change to reduce the impact of risk factors for vulnerable populations. Helps colleagues and stakeholders understand how to work with diverse populations in a culturally responsive manner. | Demonstrates knowledge and understanding of risk factors and advocates for system change to reduce the impact of the risk factors. Demonstrates knowledge and understanding of culturally responsiveness. | Demonstrates basic knowledge of risk factors and knowledge of various culture and biases. Advocates for historically marginalized populations for social and economic justice to reduce barriers. | Demonstrates knowledge and understanding of risk factors and advocates for system change to reduce the impact of the risk factors. Demonstrates knowledge and understanding of culturally responsiveness. | Lacks knowledge of diversity and biases. Lacks understanding of disproportionately poor outcomes for many historically marginalized populations. Lacks knowledge of risk factors. Lacks knowledge of culturally responsive practices. |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |

**Human Rights**

Preceptee demonstrates knowledge of human rights.

| Explicates the complicated relationship between human rights and international responsibilities to end the human rights abuse in an articulate manner. Keenly aware of implications related to human resources as they relate to the organization and/or client. | Describes the complicated relationship between human rights and international responsibilities to end the human rights abuse. Aware of implications related to human resources as they relate to the organization and/or client. | Describes a relationship between human rights and international responsibilities to end the human rights abuse. Briefly describes an awareness of implications related to human resources as they relate to the organization and/or client. | Although the preceptee discusses the relationship between human rights and international responsibilities to end the human rights abuse, the preceptee does not apply the connection to the organization and/or client. Has limited awareness of implications related to human resources as they relate to the organization and/or client. | Does not describe the complicated relationship between human rights and international responsibilities to end the human rights abuse. Does not describe awareness of implications related to human resources as they relate to the organization and/or client. |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |

**Technology**

Preceptee demonstrates knowledge of innovative applications of new digital technology (CSWE, Grand Challenge 8)

| Understands that innovative applications of new digital technology present opportunities for social and human services to reach more people with greater impact on vexing social problems. Expresses an understanding of the importance of deploying technology to strategically target social spending, speed up the development of effective programs, and bring a wider array of help to more individuals and communities. | Demonstrates knowledge of technology and assists others in applying technology. Completes high quality reports and documentation in an accurate, clear, concise, complete and timely manner, reflecting the needs, for seamless monitoring of progress across settings. Shares data with stakeholders, as appropriate, to ensure consistency across all settings. | Demonstrates knowledge of district technology and utilizes technology on a consistent basis. Consistently completes reports and documentation in an accurate, clear, concise, complete and timely manner, reflecting organizational or client needs. Provides documentation that effectively monitors progress and guides adjustment of interventions, when needed. | Demonstrates partial knowledge of technology. Inconsistently completes reports and documentation in an accurate and timely manner. Inconsistently stores reports and documentation in a secure manner. Provides documentation that is minimally sufficient to monitor progress or adjust service. | Lacks knowledge of district technology. Fails to complete reports and documentation in an accurate, complete and timely manner. Fails to provide documentation sufficient to monitor progress or adjust service. |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
Clinical Oral Exam

At the end of their second year in the DSW Program, students are required to successfully pass both a Clinical Oral exam and a Written Comprehensive Exam. These two benchmarks are typically scheduled for late in the spring semester or in May.

The Clinical Oral exam requires the DSW student to identify a client from their four semester long Clinical Preceptorship in consultation with their preceptor and the DSW Program Director. In addition, through this process, the student will also identify one primary Clinical Theory that will be the focus of Clinical Oral. The DSW student will develop a three member DSW Clinical Oral Committee approved and chaired by the Director of the DSW Program. The other two members of the Clinical Oral Committee will consist of the DSW student’s Preceptor and one other experienced clinical professional or DSW faculty member. In the event that the DSW Program Director is also the Preceptor, the student will work with the program Director to find two suitable committee members.

At least two weeks prior to the Clinical Oral, the DSW student will submit a short paper (3 to 5 pages) describing the client(s) to be discussed in the oral presentation. This paper will contain general information about the client(s), i.e. presenting concern and diagnosis. It will not address clinical theory or application.

The Clinical Oral Committee members will have read the DSW student’s paper prior to the oral. The DSW student will have one hour in which to present their Clinical Oral case presentation. In the first 20 minutes of the presentation, the DSW student will present the theory that has been used in working with their client. The DSW student is expected to demonstrate mastery of that theory without applying it to their client. During the Clinical Oral, the DSW student may use note cards, but not any type of audio/visual presentation. The DSW student is also not to read directly from their notes. The notes should serve as a reference point for their presentation. After the theoretical presentation, the DSW student will have 20 minutes to discuss how the theory can or was applied to the case, with a special emphasis on the therapeutic relationship. The final 20 minutes is a question and answer session in which the Clinical Oral Committee members will further explore the DSW student’s understanding and mastery of the case.

Questions from the committee are confined to the last 20 minutes of the presentation only. At the end of the hour, the DSW student will be asked to leave the room. The committee will discuss their evaluation of the DSW student’s performance and grade it on a pass/fail basis. The committee members will use the Clinical Oral Grading Form for this evaluation. The DSW student must receive two out of three passing votes to pass the oral. The student will be given copies of these completed evaluation forms soon after the Clinical Oral has been completed. After the committee has made their decision, the DSW student is asked to come back to the room to hear and discuss the committee’s vote. The DSW student must receive two out of three passing votes to pass the oral. If the student fails the oral, they will arrange a time to meet with the DSW Program Director to discuss preparing for another Clinical Oral sometime in the near future.
Aurora University
Clinical Oral Evaluation Form

Student’s Name: ___________________________   Date: ___________________________

Committee Member: _____________________________

Comments on Initial Paper:

Comments on Theoretical Presentation:

Comments on Theoretical Application to Case:

Final Evaluation (circle one):

PASS   Fail

Comments:

Name ______________________________________

Signature ___________________ Date __________

Rev. 08/18/18
Comprehensive Exam

Once the first two years of required clinical and policy courses have been completed, doctoral students must pass a written comprehensive exam on that material. Once they have passed the exam, they are accepted into doctoral candidacy and may begin their research course sequence and progress toward their dissertation.

The Comprehensive Exam is pass/fail exam. Should a student not pass one or both sections of the exam, they will be permitted to retake the failed portion of the exam one time. The retake must occur within thirty days of the original exam date. Should the student not pass the exam after the retake, the student will be dismissed from the program. Students may not move forward in the DSW program if the oral exam and both written exams are not passed. Readmission may be possible after a minimum of one year.

This exam will be taken in one of the computer labs on either the AU or GWC campuses respectively. There are two parts to the Written Comprehensive Exam; a clinical exam and a policy exam. Students will be allowed two and one half hours for each exam. Both exams will be offered on the same day; one in the morning, and one in the afternoon, with an hour break for lunch. The Comprehensive exam questions will be developed and graded by DSW professors that have taught courses in the DSW program. All questions will be written on the computer, printed and given to the exam proctor at the end of the exam.

The structure of the questions is as follows:

There will be three long answer comprehensive questions. The DSW student must choose only one of these.

There will be six short answer questions. The DSW student must provide written answers to two of these questions.

The long answer questions will typically be six to ten or more pages in length (double-spaced, 12 font) and the short answer questions will run about two or three pages. The comprehensive questions will ask the DSW student to provide an extensive understanding, analysis and critique of complex theory and its application to practice. The short answer questions will require a more general summary of content in the DSW program.

The Comprehensive Exams will be graded pass/fail far more exclusively on content rather than grammar or formatting. References are not used and the exam is not APA style. DSW students will be informed of their pass/fail grade in writing (letter and/or email) within a week of the exam.
Dissertation Process

Once you have successfully completed the clinical internship, and passed the clinical oral and comprehensive exam, you may begin the dissertation process. After the successful completion of your first two research classes in the fall semester of your third year, you will secure a dissertation chair and form a Dissertation Committee that will consist of the dissertation chair and two other committee members who have accepted the committee assignment and been approved by the chair of the DSW program. (See the details on the construction of the Dissertation Committee in the sections below.) You will then embark upon the clinical dissertation. This includes successfully completing the four-course research sequence, developing a successful clinical dissertation proposal, securing university Institutional Review Board approval, gathering and analyzing data, and defending the completed clinical dissertation.

The DSW dissertation must be a Clinical Dissertation involving human subjects. Secondary data analysis, meta-analysis, and other dissertation topics and ideas not involving human subjects are not acceptable forms of study for the DSW program.

Graduation from the DSW Program requires that all students complete a single-authored dissertation that involves the application of research methodology and research literature to an area of interest within the broad domain of “Social Work.” The final dissertation must be approved by a committee and published in the ProQuest database. Additional information regarding ProQuest is provided in this handbook.

You will work closely and under the guidance of your dissertation chair to develop the clinical dissertation proposal, which will ultimately be orally presented to the Dissertation Committee. Once approved, you must secure Institutional Review Board approval for research on human subjects and may proceed to gather data. Once all data has been gathered and analyzed and the clinical dissertation has been written, you will present an oral defense of your study to the committee and public.

You will enroll in four credit hours of dissertation supervision upon the successful completion of the research course sequence. You may take all four credit hours at one time in the summer semester of your third year, or enroll in two credit hours each in the summer and fall semesters of the fourth program year. If you have not successfully completed the dissertation process by the end of the fourth year, you must register for a one semester hour class of SWK 8800, Dissertation Supervision. You may continue the dissertation process by continuing to register for one semester hour classes of SWK 8800 Dissertation in the fall, summer, and spring semesters, but you must complete the dissertation no later than the end of the fifth year in the program.

You must complete the program within five years. In rare circumstances, students may apply for a one-year extension to complete the dissertation in six years. In order to continue in the DSW program, you must register for one hour classes of SWK 8800 Dissertation Supervision every semester.
Anticipated Dissertation Timelines

A. Complete Initial Research Sequence Coursework

The research sequence is customarily initiated in the fall semester of the third year. The fall coursework consists of SWK 8100, Research Methodology I and SWK 8150, Data Analysis I. During the fall semester, the student will develop a draft of the literature review, which is Chapter 2 of the Dissertation. The student may initiate contact during this time with potential Dissertation Committee members to inquire about their availability and interest in serving on the student’s committee. The student may also seek guidance from potential committee members about literature sources pertaining to the student’s topic of interest. The student is not expected to have formalized a planned methodological approach prior to this time and is prohibited from initiating contact with human subjects.

B. Begin Advanced Research Sequence Coursework, Constitute Dissertation Committee

In the spring of the student’s third year, he or she will begin the advanced research sequence, including 8200, Research Methodology II and 8250, Data Analysis II. Once this coursework has begun, the student is able to formally invite participation on the Doctoral Research Committee. A form to formally appoint the Committee should be submitted to the Director of the DSW program prior to development of Chapter 3 of the Dissertation (the Methodology). A copy of the form is included in this handbook. During the spring of the third year of coursework, while taking the advanced research sequence, the student is expected to work with Committee members to develop and document a mutually agreed-upon methodology for defense. The student may not submit to the Institutional Review Board for approval to carry out the doctoral research and may not initiate contact with human subjects at this time.

C. Defense of Dissertation Proposal

The student may schedule the defense of the Dissertation proposal once the Committee has approved Chapters 1 through 3 of the Dissertation Proposal (Chapter 1 may be developed after Chapters 2 and 3). The student should submit a Dissertation Proposal Defense Scheduling Request form (included in this handbook) to the Director of the DSW program. The Dissertation Proposal defense may take place in the summer following the student’s third year of coursework, although the defense can take place in the spring semester in cases where students are prepared and the Committee has approved proceeding to defense. If the student does not defend the proposal by the end of the fourth year, the Chair of the Doctoral Dissertation Committee will be expected to provide, in writing, an indication of whether the student is making substantive progress toward completing the Dissertation Proposal every semester to the Director of the DSW program. If the Chair indicates the student is not making substantive progress, the student will be
dismissed from the DSW program.

D. Submission of Application to Institutional Review Board

All doctoral research protocols will be submitted to the Institutional Review Board, even if only to confirm exemption from review. The submission cannot be made until the Dissertation Proposal Defense hearing has been held, and the Dissertation Proposal has been approved. The submission will include the cover page for the IRB application, Chapters 1 through 3 of the Proposal, a human subject protections training certificate, a curriculum vita, any necessary site approvals, and any necessary consent forms. The submission must be made at least one week in advance of the scheduled IRB meeting. The Chair of the Dissertation Committee must approve the application before it is submitted to the IRB. No contact with human subjects may be made until the IRB has approved the application and the approval letter is in the possession of the student. Any consent forms or instrumentation used must be date stamped by the IRB secretary prior to their utilization.

E. Data Gathering and Analysis, Final Dissertation Development

After the IRB approval is obtained, the student is free to proceed with data collection to support the final Dissertation document. The student should remain in contact with committee members during this time to ensure the project is unfolding in accordance with their expectations. Once the final Dissertation draft has been developed and approved by all committee members, the student may schedule the final Dissertation Defense.

F. Final Dissertation Defense

Once the student is ready to defend the final Dissertation, the student should submit a Dissertation Defense Scheduling Request Form (included with this handbook) and submit it to the DSW program Director. The student must have defended the Dissertation Proposal prior to the first day of the seventh year from matriculation into the program, or the student will be dismissed from the DSW program.

G. ProQuest

After all changes are made to the dissertation, the dissertation is submitted to ProQuest to make the dissertation available online. Bound copies of the dissertation are available for purchase through ProQuest. Additional details of these procedures are provided below.
Constitution of the Doctoral Dissertation Committee

The Doctoral Dissertation Committee is comprised of at least three members, at least two of whom (including the chair) are expected to be Aurora University faculty or affiliates (e.g. adjunct faculty members). The dissertation chair must be a full-time faculty member in Aurora University’s School of Social Work. All committee members must hold doctoral degrees and must be affiliated with accredited institutions of higher education.

The first committee member will be the chair. The chair’s approval is necessary before the proposal can proceed to defense and pass defense. The chair’s approval is also necessary before the final dissertation can proceed to defense and pass defense.

The second committee member will be a methodologist. The student should select a faculty member or affiliate of AU or a different accredited institution of higher learning who is well versed in the student’s anticipated methodology (e.g. quantitative/specific analysis, qualitative, mixed methods).

The third committee member will be a subject matter expert. The student should select a faculty member or affiliate of AU or a different accredited institution of higher learning with extensive knowledge of the topical focus of the student’s dissertation. The third member must have a terminal degree within their profession. Please note, the MSW with an LCSW is considered to the terminal degree in the field of social work.

The constitution of the Doctoral Dissertation Committee must be approved by the Director of the DSW Program using the form attached. In addition, any changes to the committee must also be approved by the Director. Any situation in which a committee member experiences incapacity or inability to fulfill their obligation to the student should be reported to the Director of the DSW Program. However, intellectual disagreement and personality conflict are expected to be resolved within the confines of the established committee and not by way of change in the constitution of the committee.

All committee members must sign the Dissertation Proposal Defense Scheduling Request. A unanimous vote is necessary for the proposal to pass the defense. All committee members must sign the Dissertation Defense Scheduling Request, and a two-thirds vote (with stipulations specified above) is necessary for the Dissertation to pass the final defense.

Committee members will not be compensated for their work by Aurora University except as specified by contract with existing AU employees.
Dissertation Proposal Defense

Once committee members have been consulted and the Dissertation proposal has been written and copy-edited and preliminarily approved by the committee, the Dissertation Proposal Defense can be scheduled. The Dissertation Proposal should not be modified between the time when the chair gives approval for defense and the time when the defense takes place. All members of the committee should be emailed the document proposed for defense prior to the time when the Dissertation Proposal Defense Scheduling Form is submitted. Committee members are responsible for bringing their own paper or electronic copies of the Dissertation Proposal to the defense.

In order to schedule the Dissertation Proposal Defense, please complete the attached form. Several informational items must be gathered:

- Availability of each committee member
- Availability of space on an AU campus

Please consult with committee members to ascertain their availability. Please consult with the Social Work Secretary to request space on campus. The Dissertation Proposal Defense Scheduling Request Form must be submitted to the Director of the DSW program at least one week in advance of when the defense is anticipated to take place. The Dissertation Proposal Defense is expected to require approximately one hour. We request that all members of the committee be physically present at the Dissertation Proposal Defense except for in extreme extenuating circumstances. If any such circumstances arise, approval by the Director of the DSW program will be required one week or more prior to the defense. If any committee members are unable to attend on the day of the scheduled defense, the defense will be rescheduled. The University will not assume costs associated with travel to the defense. If you have visitors from off campus, please provide them with a campus map and information about where they may park their cars.

One person, selected by the student, may accompany the student to the Dissertation Proposal Defense to act as note-taker. The Dissertation Proposal Defense is not open to the public. No one aside from the committee members, the student, and the note-taker may attend.

At the Dissertation Proposal Defense, the student will be asked to give a short presentation summarizing the justification for their proposed study, research questions, expected benefits to be derived from the study, proposed study methods (including design, sample, instrumentation, and analysis), and human subjects considerations. Any costs to the student, subjects, and any participating organizations should be presented and discussed. Signed letters of commitment should be available from authorized representatives of each participating organization or agency.
and included in the Dissertation Proposal, and these should be reviewed during the presentation to demonstrate feasibility of the proposed project. The University will not assume responsibility for costs the student incurs in carrying out the Dissertation research. Audio visual aids (such as Power Point) may be used in the presentation but are not required. Once the presentation is concluded, the committee will ask a set of prepared questions of the student as well as any questions that arose during the presentation. Once the questions have been addressed, the student (and any note taker) will be asked to leave the room. The committee will conduct its deliberation and then invite the student to return to the room. At that time, the student will be told their status with regard to permission to proceed with the Dissertation process. The options are “Accept without Revisions,” “Accept with Revisions,” or “Decline.” If the decision is “Accept with Revisions,” the committee may elect to have the student present the revisions only to the chair for approval before he or she can proceed, or the committee may elect to have more than one member approve revisions. Written evidence of the effect that any required revisions have been made to the satisfaction of the chair and any other committee member to whom the student is required to present revisions must be obtained by the student before he/she can proceed to Institutional Review Board application. A second defense will not be held in cases where the decision is “Accept with Revisions.” Once an “Accept without Revisions” decision has been made or the student has made the revisions that were required, the student can proceed with the Institutional Review Board application.

If the decision is “Decline,” the student has one additional opportunity to present a Dissertation Proposal Defense. The second defense must take place within three months of the first defense. If the student chooses not to present a subsequent Defense or is a second “Decline” decision is made, the student will be dismissed from the DSW program.

Institutional Review Board

All students must file applications with the Institutional Review Board (IRB), even if they believe their proposed methods are exempt from review. If the approved research is exempt, proof of exemption must be obtained from the IRB before the student can proceed. The application for IRB review can be found at:

http://www.aurora.edu/academics/resources/irb/index.html#axzz2czk0anb1

This website can be accessed by visiting the Aurora University home page, going to A-Z Index, selecting “I,” and selecting Institutional Review Board.

The student must complete the Ethics Tutorial (link is on the IRB website) and include the certificate issued following completion with the IRB application. The IRB application should also include: Cover page for the IRB application; Chapters 1 – 3 of the approved Dissertation Proposal; any instrumentation planned for use; relevant letters to subjects or other recruiting materials; consent forms if necessary; any
relevant final site approval confirmations (e.g. letters of commitment from any cooperating agencies or organizations); and the student’s current curriculum vita.

The IRB packet must be submitted to the Chair of the IRB no later than one week ahead of the IRB’s scheduled meeting (commonly the first Monday of each month). The student cannot proceed with the research until the IRB approval letter has been delivered to the student along with date stamped versions of any instrumentation, recruitment materials, and consent forms. If the IRB requires revisions to the dissertation proposal, these revisions must be carried out by the student and checked with the chair and the other committee members before the proposal is re-submitted to the IRB.

If the student finds that he or she must make substantive alterations to the proposed and approved research procedures in order to achieve the purposes of the research, these changes must be approved by the chair and committee members before they are made. In addition, the student must file an amendment to the approved protocol with the IRB. The amendment takes the form of a letter describing the changes that were made and their justification. If any instrumentation, recruitment materials, or consent forms are altered, these must be submitted along with the amendment. A letter from the IRB approving the proposed amendment and date stamped copies of the revised, approved materials must be obtained prior to using the revised procedures and/or materials.

If any unanticipated problems involving risk to research subjects or others or adverse events are experienced by participants in the student’s research, these must be reported in writing both to the Chair of the Dissertation Committee and to the Chair of the IRB.

**DISSERTATION FORMAT**

The format for the dissertation is described below. Sample templates of the dissertation are available in methodology courses and upon request to the student’s dissertation chair.

1. **Number of copies:** Doctoral students must submit copies of the dissertation to the dissertation committee chairperson and each member of the committee prior to the defense. The following must be submitted in the defense-ready document: title page, abstract, table of contents, body of the manuscript, references, and all appendices.

2. **Document Format:**

   **Type Styles:** Times New Roman in 12 point font is required for all dissertations.

   **Margins:** Original manuscripts and copies must have these uniform margins:
   - Left margins must be 1” throughout, including footnotes, appendices, charts, graphs, tables, etc.
   - Right margins must be 1” throughout.
Top Margins: First pages of all chapters must have a 1½” margin at the top. All other pages must have a 1” margin at the top.

Bottom margins must be 1” throughout.

Page numbers must be least ¾” from edge of page.

Spacing: Double-space: abstract, dedication, acknowledgements, table of contents, and body of the manuscript; except for quotations as paragraphs, captions, items in tables, lists, graphs, charts. Single-space: footnotes/endnotes, bibliographic entries, lists in appendices.

Pagination: Use lowercase Roman numerals to number your introductory pages (title page, acknowledgements, dedication, abstract, etc.) with the title page bearing no number but included in the sequence. A table of contents is required, and on it should be listed all introductory pages, chapter headings, references, and appendices (if any). Arabic numerals are to be used to number the remaining pages of the text, including appendices. Page numbers must be centered at the top of the page.

Endnotes: Should be placed at the end of each chapter. Please consult with your dissertation chair about preferences. Endnotes should begin on a separate page at the end of the chapter and be single-spaced, with a double space between each note. Notes should follow the guidelines of the American Psychological Association (APA) Stylebook, Sixth Edition, second or later printing.

References: A list of references must be appended to the dissertation. It must list (alphabetically by author) all references that are cited within the dissertation and must follow APA style guidelines except the references should be single spaced, with a double space between each note. Reference list may only include works cited in the dissertation.

Copyright: If your dissertation is to be copyrighted, indicate as follows: © Copyright [date]. Copyrighting your dissertation is optional, so consult with your dissertation chair. ProQuest can copyright your dissertation if you request that service. The fee is $55, paid at the time of submission to ProQuest.

Condition of copies: The School of Education and Human Performance requires that you assume full responsibility for the correctness of content and form of all copies of your dissertation. All pages must be present and in proper order before submitting copies of the dissertation to the committee.

Title Page: The title page of the original manuscript of the dissertation must contain the title of the dissertation, author, date, and copyright statement (if copyrighted). See example in appendix of this document.

Dissertation Acceptance Page: This page must contain the ink signatures of your committee members after the dissertation has been defended. See example in appendix of this document. This should be inserted into the final PDF document that gets uploaded to ProQuest.
Abstract: When the final manuscript is submitted, an abstract must also be submitted. The abstract is placed after the acceptance page.

Preparing Your Manuscript for Submission (Including Supplemental Files) – Submit as a PDF

When submitting a page-based manuscript of your dissertation or thesis, it must be submitted to ProQuest Dissertation Publishing in Adobe PDF format. When preparing your PDF, be sure to do the following:
- Embed all fonts (further information is provided below related to embedding fonts).
- Make sure there is no password protection on the PDF.
- Ensure that security settings allow printing.
- Format as individual, single pages.

Note: As part of our normal process, ProQuest inserts an extra page in the front of every published manuscript.

Verify Proper Formatting

ProQuest Dissertation Publishing makes no changes to the formatting or content of submitted manuscripts. Therefore, the burden of how the manuscript looks when it is accessed or printed is entirely the responsibility of the author. ProQuest strongly recommends that individual authors take responsibility for reformatting the document into Adobe PDF, for checking the reformatted document for accuracy, and for submitting the PDF document to the graduate school or library for publication.

Manuscript Specifications

Refer to previous formatting guidelines for Aurora University dissertations. MAKE SURE all your fonts are embedded. See the end of this guide for instructions on embedding fonts. Manuscripts without embedded fonts can cause ALL punctuation and formatting to disappear when the document is printed from the digital files, and causes delays in the ProQuest publishing process.

Supplementary Materials

If supplementary materials—such as audio, video, and spreadsheets—are part of your dissertation or thesis, you can submit them as supplementary files during the online submission process. Upload them as part of the submission process, and provide a description of each supplementary file or files in the abstract of your graduate work.
- Do not embed media files in your PDF.
- Upload media files as supplementary files. During online submission, you will be asked to upload any supplementary files.
- Describe files in your abstract. Add a description of each supplementary file in your abstract.

Supporting Documentation for Supplementary Materials

Including supplementary materials with the submission may require additional paper documentation before ProQuest can complete the publishing process. For further information see a Sample Permission Letter for Use of Previously Copyrighted Material.
Reprint Permission Letters: If the candidate will include multimedia material covered under someone else's copyright—an audio or video clip, a digital photograph, etc.—it is the student’s responsibility to provide us with written permission to include it.

Third Party Software Licenses (if needed): If the candidate will include third party software with his or her submission, written permission must be provided to distribute it. Note that this is different than including a file generated by a particular program. For example, including a Microsoft Excel file (.xls) does not require including the software license.

Additional paper documentation, when required, can be mailed to ProQuest at the following address:
Dissertations Acquisitions
ProQuest
789 Eisenhower Parkway
P.O. Box 1346
Ann Arbor, MI 48106-1346

Embedding Fonts
This guidance assumes the candidate is writing his or her manuscript in MS Word on a PC. If you are using a Mac, similar guidance can be found at http://www.etdadmin.com/cgi-bin/main/faq?siteId=0#pdf9.

Create the manuscript using a TrueType font—not a scalable font. See below for a list of recommended TrueType fonts and point sizes.

Aurora University requires the following font and size:
*Times New Roman 12pt

*Web font. Designed for easy screen readability. Since many readers are likely to view and/or use the dissertation or thesis onscreen, the candidate may wish to improve the readability of your text by using one of these fonts.

Once you have chosen a True Type font you must embed it:
1. On the Tools menu, click Options, and then click the Save tab.
2. Select the Embed TrueType fonts check box.
3. Save the document.

Alternatively, Adobe Acrobat Professional may be used with the following instructions:
1. Open the document in Microsoft Word.
2. Click on the Adobe PDF tab at top. Select "Change Conversion Settings."
3. Click on Advanced Settings.
4. Click on the Fonts folder on the left side of the new window. In the lower box on the right, delete any fonts that appear in the "Never Embed" box. Then click "OK."
5. If prompted to save these new settings, save them as "Embed all fonts."
6. Now the Change Conversion Settings window should show "embed all fonts" in the Conversion Settings drop down list and it should be selected. Click "OK" again.
7. Click on the Adobe PDF link at the top again. This time select Convert to Adobe PDF. Depending on the size of your document and the speed of your computer, this process can take 1-15 minutes.
8. After the document is converted, select the "File" tab at the top of the page. Then select "Document Properties."
9. Click on the "Fonts" tab. Carefully check all fonts. They should all show "(Embedded Subset)" after the font name.
10. If the message "(Embedded Subset)" appears after all fonts, the embedding process has succeeded.
Appendix
Request for Appointment of Doctoral Dissertation Committee

School of Social Work
Aurora University

Student’s name: ____________________________________________

Date of request: __________________________________________

The student requests the following individuals be appointed Doctoral Dissertation Committee members:

Chair:

_____________________________________________  Degree  Affiliation

Methodologist:

_____________________________________________  Degree  Affiliation

Content Expert:

_____________________________________________  Degree  Affiliation

Response, Director, School of Social Work

☐ Approve  ☐ Deny (reasons: ________________________________________)

________________________________________  ________________
Signature                                      Date

Rev. 08/18/18
The following chart delineates all expected deadlines for the dissertation defense process related to graduation. The deadlines are firm deadlines. No exceptions are permitted.

<table>
<thead>
<tr>
<th>Graduation/Degree Awarded</th>
<th>Request “Graduation Check” from Dept. Chair</th>
<th>Deadline to Complete Pre-Defense Meeting*</th>
<th>Final Draft to Committee*</th>
<th>Deadline for Oral Defense of Dissertation</th>
<th>Deadline for Submission of Final Dissertation (ProQuest)</th>
<th>Graduation Ceremony</th>
</tr>
</thead>
<tbody>
<tr>
<td>December</td>
<td>Summer Semester</td>
<td>September 1</td>
<td>October 1</td>
<td>November 1</td>
<td>December 1</td>
<td>Fall graduates participate in the December ceremony</td>
</tr>
<tr>
<td>May</td>
<td>Fall Semester</td>
<td>January 15</td>
<td>February 15</td>
<td>March 15</td>
<td>April 15</td>
<td>Spring graduates participate in the May ceremony</td>
</tr>
<tr>
<td>August</td>
<td>Spring Semester</td>
<td>May 1</td>
<td>June 1</td>
<td>July 1</td>
<td>August 1</td>
<td>Summer graduates participate in the December ceremony</td>
</tr>
</tbody>
</table>

Rev. 08/18/18
Dissertation Proposal Defense Scheduling Request Form

School of Social Work
Aurora University

Student’s Name: ____________________________________________________________

Title of Dissertation Proposal: _____________________________________________

Date of Submission of Form: ______________________________________________

Date of Requested Dissertation Proposal Defense: ___________________________

Time of Requested Dissertation Proposal Defense: __________________________

Location of Requested Dissertation Proposal Defense: _______________________

Please attach an approved Room and Media Services Equipment Request

We, the undersigned Dissertation Committee members, have approved the scheduling of the defense of the Dissertation Proposal:

Chair: ___________________________ Date: ___________________

Member: ________________________ Date: ___________________

Member: ________________________ Date: ___________________

Approval of Director of the DSW Program:

_____________________________________________ Date: _________________

Copies to: Student, Chair, Members, File
Dissertation Proposal Response Form

School of Social Work
Aurora University

DSW Program Aurora University

Following the Dissertation Proposal Defense by __________________________ in the School of Social Work, Aurora University on __________________________ of the dissertation proposal entitled __________________________ __________________________ __________________________. The undersigned chair and members of the Dissertation Committee have arrived at the following decision concerning the proposal:

☐ Approve Without Revisions

☐ Approve With Revisions – specify:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________ add additional page if necessary,

if so Chair initial here: __________________________

☐ Decline

________________________________________________________________________

Chair

________________________________________________________________________

Member

________________________________________________________________________

Member

Copies to: Student, file

Rev. 08/18/18
Final Dissertation Defense Scheduling Request Form

School of Social Work
Aurora University

Student’s name: ____________________________________________

Title of Dissertation: ________________________________________

Date of Requested Dissertation Defense: ________________________

Time of Requested Dissertation Defense: ________________________

Location of Requested Dissertation Defense: ______________________

Please attach an approved Room and Media Services Equipment Request

We, the undersigned Dissertation Committee members, have approved the scheduling of the final defense of the Dissertation:

Chair: _____________________________________ Date: ________________

Member: _________________________________ Date: ________________

Member: _________________________________ Date: ________________

Approval of Director of the DSW Program:

_________________________________________ Date: ________________

Copies to: Student, Chair, Members, File
Final Dissertation Defense Response Form

School of Social Work
Aurora University

DSW Program Aurora University

Following the Final Dissertation Defense by ___________________________ in the School of Social Work, Aurora University on ________________________ of the dissertation entitled _________________________________.

the undersigned chair and members of the Dissertation Committee have arrived at the following decision:

☐ Approve Without Revisions

☐ Approve With Revisions – specify:

______________________________________________________________

______________________________________________________________

______________________________________________________________ add additional page if necessary, if so Chair initial here: ______________

☐ Decline

Chair

Member

Member

Copies to: Student, file

Rev. 08/18/18
Dissertation Signature Page

School of Social Work
Aurora University

DSW Program Aurora University

Accepted by the faculty of the School of Social Work in partial fulfillment of the requirements for the Doctor of Social Work degree at Aurora University.

[ TITLE OF DISSERTATION ]

By: Candidate’s First Name Last Name

Doctoral Committee:

Chair: ____________________________

Member: __________________________

Member: __________________________

Date: ____________________________

Rev. 08/18/18
School of Social Work Directory

Administration:

Dean, School of Social Work: Dr. Brenda J. Barnwell (bbarnwel@aurora.edu, 630-947-8933)
DSW Program Chair, Aurora Campus: Dr. Brenda J. Barnwell (bbarnwel@aurora.edu, 630-947-8933)
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MSW Program Chair: Dr. Daysi Diaz Strong (dstrong@aurora.edu, 630-947-8930)
BSW Program Chair: Alison Arendt (aarendt@aurora.edu, 630-844-5793)
Director of Field: Allison Schuck (aschuck@aurora.edu, 630-947-8936)
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Attn: School of Social Work
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Aurora, IL 60506
Fax: 630-844-6854

Office Location: (Orchard Center) 2245 Sequoia Drive, 3rd Floor

Office Hours: Academic Year: 8:00 a.m. – 5:00 p.m.
Summer Term: 8:00 a.m. – 4:30 p.m.