



THE INSTITUTE FOR  
**Clinical Social Work**

***Student Handbook***

***2017 –2018 Academic Year***

# Student Handbook

## 2017 - 2018 Academic Year

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### MISSION

The mission of the Institute for Clinical Social Work, an institution of higher education, is to prepare scholars and practitioners to advance the knowledge and quality of practice in the fields of clinical social work and counseling and to serve diverse communities through professional and academic contributions.

### VISION

As a highly-respected institute, to become well-known for diverse and accessible psychodynamic educational programming.

### VALUES

In keeping with our roots in social work and our commitment to social justice, we develop psychodynamically informed professionals who recognize and celebrate diversity, practice compassionately, and have the knowledge and skills to empower people to lead meaningful lives.

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## Section 1.0

# INTRODUCTION

This Student Handbook is designed to facilitate student progression through The Institute for Clinical Social Work's (ICSW) degree and non-degree programs. It covers organizational and academic structures and leadership. It describes the system for student advisement and summarizes the various components of the degree and non-degree programs. Important policies and procedures affecting students are described. An appendix is included to expand and clarify certain information relevant to student participation in the program.

Please review this handbook to familiarize yourself with its contents and use this academic year version as a reference guide throughout your involvement in the program. The Student Manual is updated yearly.

You are encouraged to ask for assistance from your advisor if you encounter questions and concerns. The Academic Dean, the Dean of Students, the Director of the Master's Program, and the Director of Academic Administration are also able to answer your questions.

## Section 2.0

# ORGANIZATION

## Administrative

### **Michelle Taylor, President**

The President serves as the Chief Executive Officer of ICSW. The President is appointed by, reports to, and is evaluated by the Board of Trustees. She oversees implementing policies established by the Board, managing ICSW's resources, operations, and employees, ensuring compliance with applicable laws and regulations, leading ICSW's development efforts, and managing implementation of the strategic plan. Finally, she is AQIP Liaison and Quality Improvement Team Chair. In this role, she leads the team that designs, implements, and monitors action projects that are integral to ICSW's quality improvement efforts and ongoing accreditation. Michelle can be reached at [mtaylor@icsw.edu](mailto:mtaylor@icsw.edu).

### **Ida Roldan, Acting Academic Dean**

The Academic Dean serves as the Chief Academic Officer of ICSW. The Academic Dean is appointed by the President. She oversees implementing policies established by the Faculty Advisory Committee, managing ICSW's academic resources, operations, insuring compliance with applicable laws and regulations, and sits on the admissions committee. She oversees all aspects of the academic program, appoints and evaluates members of the Faculty, leads Faculty meetings, develops and implements new academic programs, and ensures that all professional and academic accreditation standards are met. She serves on the accreditation team that works with the Higher Learning Commission. Ida can be reached at [iroldan@icsw.edu](mailto:iroldan@icsw.edu).

### **Michael Bauman, Vice President of Finance and Operations**

The VP of Operations is responsible for overall functioning of ICSW and works with the President and Academic Dean to ensure effective and efficient institutional operations. He is responsible for financial management and assisting students with tuition and other financial obligations. He is also available to answer questions or direct students to appropriate resources within ICSW for help. You can reach Michael at [mbauman@icsw.edu](mailto:mbauman@icsw.edu) or 312.935.4242.

### **Karen Bloomberg, PhD, Dean of Students**

The Dean of Students helps to promote students' sense of integration (as individuals and as cohorts) into the ICSW community. In this role, the Dean of students also chairs the Substance Abuse Committee. The Dean of Students is available to support students with academic, personal or interpersonal concerns. In addition, the Dean of Students serves on the Student Progression, and Admissions Committees, and is the student conduit to the writing services offered through the Marcia V. Adler Committee. The Dean of Students also serves as the Disabilities Coordinator for the PhD program. You can reach Karen at 312.504.7772 or at [bloomberg.karen@gmail.com](mailto:bloomberg.karen@gmail.com).



### **Cheryl Meltzer, MSW, Director of the Master's Program**

The Director of the Master's Program reports to the Academic Dean and is responsible for the management and operation of the Master's Program. The Director serves on the Admissions and Curriculum Committees, and the AQIP accreditation team. The Director of the Master's Program also serves as the Disabilities Coordinator for the MA program. You can reach Cheryl at [cmelter@icsw.edu](mailto:cmelter@icsw.edu) or 312.935.4241.

### **Elizabeth Oller, Director of Academic Administration**

The Director of Academic Administration reports to the Academic Dean. Her responsibilities include providing academic advisement, managing student files, monitoring administrative activities associated with the Clinical Practicum, managing academic projects, and supporting policy and procedure development. You can reach Elizabeth at [eoller@icsw.edu](mailto:eoller@icsw.edu) or 312.935.4245.

### **Sebastien Beaudet, Director of Communications and Financial Services**

The Director of Communications and Financial Aid provides support for key operations at ICSW, including Student Information Systems (Blackbaud) management, Financial Aid administration, development, and Board operations. You can reach Sebastien at [sbeaudet@icsw.edu](mailto:sbeaudet@icsw.edu) or 312.935.4234.

## **Faculty Leadership**

### **Frieda Friedman, PhD, Chair, and Bob Feldman, MA, Vice-Chair, Faculty Advisory Committee**

The Chair and Vice-Chair of the Faculty Advisory Committee (FAC) lead the committee that is responsible for representing the Faculty to the President and Academic Dean on issues of academic policy, and for evaluation of Faculty and potential Faculty. This committee develops and recommends policies regarding ethical standards. The FAC Chair and Vice Chair represent the Faculty to the Board of Trustees and have two votes. Freddi can be reached at [ffriedman@icsw.edu](mailto:ffriedman@icsw.edu); Bob can be reached at [bfeldman@icsw.edu](mailto:bfeldman@icsw.edu).

### **Sherwood Faigen, AM, Conceptual Foundations Sequence Chair**

The Chair of the Conceptual Foundations Sequence participates in the Curriculum Committee, is a resource to faculty who teach within the sequence, recommends faculty to teach courses, and chairs the committee of faculty that makes recommendations regarding the conceptual foundations. Woody can be reached at [sfaigen@icsw.edu](mailto:sfaigen@icsw.edu).

### **Paula Ammerman, PhD, Clinical Foundations Sequence Chair**

The Chair of the Clinical Foundations Sequence participates in the Curriculum Committee, is a resource to faculty who teach within the sequence, recommends faculty to teach courses, and chairs the committee of faculty that makes recommendations regarding the clinical foundations. Paula can be reached at [pammerman@icsw.edu](mailto:pammerman@icsw.edu).

### **Jennifer Tolleson, PhD, Research Sequence and Practicum Chair**

The Chair of the Research Sequence participates in the Curriculum Committee, is a resource to faculty who teach within the sequence, recommends faculty to teach courses, and chairs the committee of faculty that makes recommendations regarding the research curriculum. The Research Practicum Chair oversees the Research Practicum and Dissertation Procedures. Jennifer can be reached at [jtolleson@icsw.edu](mailto:jtolleson@icsw.edu).

#### **Joan Servatius, PhD, Clinical Practicum Chair**

The Clinical Practicum Chair is responsible for overseeing the assignment of students' advisors and case presentations. Joan also serves on the Curriculum Committee. Students are encouraged to contact the Clinical Practicum Chair with any concerns about the Clinical Practicum, consultant assignments and selection, or any request for variation from established Clinical Practicum expectations. You can reach Joan at [jservatius@icsw.edu](mailto:jservatius@icsw.edu).

#### **John Ridings, PhD, Chair, Institutional Review Board (IRB) and Institutional Researcher**

The Institutional Review Board (IRB) Chair oversees the committee that reviews all Institute sponsored proposed research activity, including student dissertation proposals and faculty or staff research proposals, and to determine their appropriateness regarding protection of human subjects and compliance with ethical standards in research, utilizing guidelines developed by the American Psychological Association, and adopted by ICSW's faculty. The Institutional Researcher assists in data gathering as well as developing new processes based on data analyses. You can reach John at [jridings@icsw.edu](mailto:jridings@icsw.edu).

## **Faculty Committees**

#### **Academic Leadership Committee**

The purpose of this committee is to provide ICSW's academic leaders an opportunity to meet on a quarterly basis with the Academic Dean to discuss academic issues, problem solve, and function as an "academic think-tank" for ICSW. This group represents the leadership of ICSW's academic programs. Members are appointed by the Academic Dean. For information on this committee, contact the Academic Dean, Ida Roldan, at [iroldan@icsw.edu](mailto:iroldan@icsw.edu)

#### **Admissions Committee**

Processes all applications to the degree and certificate programs, and makes decisions about admittance to these programs. See Admissions Standards for more information.

#### **Curriculum Committee**

Composed of chairs of each of the established sequences and includes at-large Faculty members, and the Clinical Practicum Chair. The committee is chaired by the Academic Dean and is responsible for the development, integration, and coordination of ICSW's curricular offerings and objectives for all academic programs. The committee advises the Academic Dean on policy regarding curriculum, initiates recommendations to the sequence committees, and considers proposals from the sequence committees

for change in the curriculum. All proposed curriculum changes are approved by the whole Faculty. For information on this committee, contact the Academic Dean, Ida Roldan, at [iroldan@icsw.edu](mailto:iroldan@icsw.edu)

### **Faculty Advisory Committee**

The Faculty Advisory Committee is responsible for representing the Faculty to the President and Academic Dean on issues of academic policy, and for evaluation of Faculty and potential Faculty. This committee develops and recommends policies regarding ethical standards. The FAC Chair and Vice Chair represent the Faculty to the Board of Trustees and have two votes. For information on this committee, contact Freddi Friedman at [ffriedman@icsw.edu](mailto:ffriedman@icsw.edu) or Bob Feldman at [bfeldman@icsw.edu](mailto:bfeldman@icsw.edu)

### **Marcia V. Adler Committee**

The Marcia V. Adler Committee works to support students' learning through using a bequest from the late Marcia Adler, a long-time Faculty member and former Dean of Students. Initiatives funded by the Marcia V. Adler Fund include support for high-level writing support and tutoring. Students interested in these services should contact the Dean of Students. For information on this committee, contact the Dean of Students, Karen Bloomberg at [kbloomberg@icsw.edu](mailto:kbloomberg@icsw.edu)

### **Recruitment Committee**

The Recruitment Committee oversees the recruitment efforts at ICSW by: (1) Tracking potential students who have expressed interest in ICSW, (2) Providing personal outreach to potential students who have questions, (3) Recommending fairs, listservs, and other marketing venues to reach ICSW's target populations, (3) Planning and implementing Open Houses, Open Classes, and other events to reach potential students, (4) Providing presenters for In-service requests from the professional community, (5) Implementing the Enrollment Management Plan for ICSW, and (6) Ensure that marketing and recruit materials have accurate information about institutional programming, fees, and academic policies. To participate on this committee, contact the President, Michelle Taylor, at [mtaylor@icsw.edu](mailto:mtaylor@icsw.edu)

### **Scholarship Committee**

The scholarship committee meets annually to review applicants for ICSW scholarships and make decisions about scholarship awards. For information on this committee, contact the President, Michelle Taylor, at [mtaylor@icsw.edu](mailto:mtaylor@icsw.edu)

### **Student Progression Committee**

The Student Progression Committee meets regularly to review all student records and to monitor each student's progression through the program. The committee identifies problems with student performance and may recommend or require remediation or assistance when appropriate. The committee recommends candidacy status and confirms readiness to graduate. See the full Progression policy, starting on pg. 61. For information on this committee, contact the Chair, Amy Eldridge, at [aeldridge@icsw.edu](mailto:aeldridge@icsw.edu)

## Section 3.0

# ADVISEMENT SYSTEM

Several components of the program are organized to provide advisory resources to students as they progress through the program. The central advisory resources include the student's advisor and the Academic Dean.

### Advisor: PhD

A faculty advisor is assigned to all students at the point of matriculation. This person will serve as the central academic advisor for each doctoral student, and is available to the student throughout the program up until the point at which the student has an approved dissertation Chair. The advisor is assigned jointly by the Chair of the Clinical Practicum and the Academic Dean, who are also responsible for making any changes in advisor.

Advisor responsibilities include:

1. Providing the first year clinical consultation
2. Meeting with the student advisee once per semester throughout the program
3. Staying abreast of the most current academic and practicum policies
4. Serving as the point person for academic, practicum or research concerns on the part of the student as well as faculty or administration. If a class instructor has a concern about a student, the advisor may be the first point of contact about that concern.
5. Serving as a support person for the student in cases where the student encounters problems in progression. The advisor, as such, is expected to attend progression meetings where the student's progression is being evaluated.

### Advisor: MA

The Director of the Master's Program serves as the advisor for all Master's Program students. This advisor is ordinarily the first person to contact with any questions, concerns, and problems related to the program. The advisor is the first contact for faculty with concerns about a student. The advisor formally monitors students' progression through the program. In addition, The Director of the Master's Program and the Clinical Practicum Chair work together to assign a Faculty member to each Master's student who serves as a consultant to that student throughout their time in the MA program.

## Learning Outcomes

### *COMMON LEARNING OUTCOMES*

Common Learning Outcomes apply to all degree programs at ICSW.

1. Psychodynamic Theory: Students demonstrate a thorough knowledge of psychodynamic principles.
2. Clinical Practice: Students demonstrate the ability to use the psychodynamic framework in diverse clinical practice settings.

3. Applied Clinical Scholarship: Students demonstrate written and verbal communication skills necessary to prepare clinical reports necessary for presentation, documentation and consultation in the clinical practice community.

## **Doctoral Program**

The Doctoral Program is organized into three broad components: 1) coursework, 2) Clinical Practicum, and 3) Research Practicum.

### **Curriculum**

The Doctoral Program curriculum is organized into Sequences: 1) Conceptual Foundations Sequence, 2) Research Sequence, 3) Clinical Sequence.

#### ***Conceptual Sequence: PROGRAM LEARNING OUTCOMES***

Advance the student's knowledge and capacity for scholarly and critical examination of the theories that inform the psychodynamic tradition of clinical social work practice.

1. Develop and deepen students' knowledge of seminal psychodynamic theory, including Freudian foundations, object relations, self-psychology, and relational theory in both their classic forms and contemporary elaborations.
2. Promote understanding of contemporary models of development and their fit with traditional and contemporary psychoanalytic theories of development.
3. Promote students' abilities to creatively and productively use psychodynamic concepts and developmental concepts to inform their understanding of various clinical and socio-cultural phenomena.
4. Increase student's capacities to reflect on conceptual knowledge as embedded within discrete historical, intellectual, and philosophical contexts and traditions.
5. Promote the development of a scholarly attitude. including intellectual curiosity and rigor, the open and critical examination of ideas, and complexity and independence of thought.

#### ***Clinical Sequence: PROGRAM LEARNING OUTCOMES***

Advance the student's capacity to apply psychodynamic theories and relevant techniques to the practice of clinical social work and the diversity that it encompasses

1. Develop a practice framework derived from a psychoanalytic model of the mind and learn to apply the resulting clinical theories and techniques to address the client's needs as assessed by a diagnostic phase based on an accurate understanding of the client's development, psychodynamics, current life situation, and motivation.
2. Develop the capacity to maintain an attitude of inquiry in the clinical situation about one's self, one's client, and the psychodynamic formulations that inform one's work.
3. Promote ability to use a psychoanalytic model of the mind and its related clinical techniques to engage the client in a meaningful clinical process, the results of which may include symptom relief and structural change.
4. Develop knowledge of the ways in which all dimensions of diversity are present in our culture, and demonstrate the capacity to translate this understanding to the clinical situation.

Qualifying Theory Exam: Students matriculating in the Fall of 2014 and subsequently will be required to complete a qualifying theory examination as the capstone event of the conceptual foundations sequence.

### ***Clinical Practicum: PROGRAM LEARNING OUTCOMES***

Provide students with an opportunity to explore their own cases in real depth, and over time, with their instructors as experts and individual consultants so that the course work and clinical consultation intersect for the student's benefit as a clinician.

1. Promote students' understanding of psychodynamic clinical social work practice.
2. Develop students' abilities to evaluate clients in a psychodynamic framework.
3. Develop students' abilities to conduct psychodynamically based clinical practice.
4. Develop students' abilities to articulate their psychodynamic clinical understanding orally and in writing.
5. Promote the integration of ICSW's Core Clinical Concepts into students' clinical practice, thinking and writing.
6. Develop the ability to describe clearly the client and the process of therapy, both verbally and in writing. Case Presentation: Students are expected to formally present a case to a faculty panel as the capstone event of the clinical sequence.

### ***Research Sequence: PROGRAM LEARNING OUTCOMES***

Develop the student's capacity to rigorously and ethically conceptualize and critically examine problems/issues relevant to clinical social work, and to conduct and defend an original project of scholarly research.

1. Develop knowledge of epistemology, or the philosophy of knowledge, as it shapes human inquiry and its various interpretive perspectives.
2. Develop ability to develop a research question, and to evaluate its location within a broader epistemological context.
3. Understand the role of ethics and embedded values in conducting social work research.
4. Develop differential knowledge of qualitative, quantitative, and integrative approaches to research problems, and uses and analyses of data.
5. Develop a thoughtful analysis of data and discuss the embeddedness of that analysis within the traditions of a particular discourse of social explanation.
6. Understand the rationale, limitations, utilization, and interpretation of selected techniques of social research

### ***Research Practicum: PROGRAM LEARNING OUTCOMES***

Develop and successfully defend a scholarly, original, rigorous, comprehensive, and ethical dissertation that will contribute to clinical social work knowledge and practice.

1. Develop a meaningful research question with the ability to critically examine the issue within an epistemological frame.
2. Develop a rigorous methodology consistent with the research question, and locate the chosen methodology within an epistemological framework.
3. Develop use of media and library resources for shaping research project.
4. Develop research skills and techniques, including: problem formulation, research design, interviewing, data analysis, and writing in APA form.
5. Identify the context of the question and methodology in the corpus of relevant clinical research literature.
6. Develop a rigorous, comprehensive, ethical, dissertation proposal that will contribute to clinical social work knowledge.
7. Write, present and defend a scholarly dissertation.

The Dissertation is the capstone event for the Research Practicum

## **Master's Degree in Clinical Counseling and Psychotherapy**

The core curriculum for ICSW's Master's degree in Clinical Counseling and Psychotherapy requires a total of 60 semester credit hours within three curricular components: Conceptual/Theoretical Foundations Sequence, Clinical Foundations Sequence and Clinical Practicum Sequence.

### ***Conceptual Sequence: PROGRAM LEARNING OUTCOMES***

Demonstrate an understanding of major theories of counseling and core aspects of human development with a specific emphasis on contemporary psychodynamic theory and demonstrate an understanding of counseling research principles, tools and techniques

1. Demonstrate ability to recognize and employ a variety of counseling and psychotherapy theories and techniques
2. Demonstrate ability to understand modern psychodynamic theory, theories around human development and their relevance and application to clinical work. Demonstrate an ability to critically think about contemporary controversies within psychoanalytic theory
3. Demonstrate an understanding of Counseling Research Principles and Techniques

### ***Clinical Sequence: PROGRAM LEARNING OUTCOMES***

Demonstrate an ability to integrate and implement their learning of relevant clinical techniques used in the practice of clinical counseling and psychotherapy with a particular focus on psychodynamic clinical techniques

1. Develop understanding of issues of diversity and culturally sensitive approaches to counseling and psychotherapy
2. Promote an understanding of the different modes of therapeutic action, from a psychodynamic perspective
3. Develop understanding of counseling code of ethics and be able to identify, assess and act appropriately to ethical challenges in practice
4. Demonstrate an ability to use assessment techniques and apply those techniques to their clinical work
5. Demonstrate an ability to understand the diagnostic process from a psychodynamic perspective and apply to clinical work.
6. Demonstrate the ability to implement various therapeutic modalities including group, couple, family therapy and child/adolescent psychotherapy in their clinical work.
7. Understand various approaches to screening, assessment and treatment of substance abuse disorders
8. Demonstrate basic understanding and application of career counseling techniques and the psychological importance of work.

### ***Clinical Practicum Sequence: PROGRAM LEARNING OUTCOMES***

Gain practical experience in the field of clinical counseling and psychotherapy. Promote student's professional identity through consistent consultation, self-reflection and self-awareness in the students' clinical training

1. Develop clinical practice skills that students integrate in their practice
2. Promote clinical thinking through understanding the importance of development, cultural differences, client family history and client behavior patterns through psychodynamic conceptualization of cases
3. Promote professionalism and ethical practice
4. Demonstrate an overall ability to write and verbally present case material, specifically an ability to put together (both verbal and written) a psychodynamic case formulation
5. Promote self-reflection and its importance in clinical work; promote a commitment to professional development; and promote an overall emotional capacity, psychological mindedness and interest in psychodynamic theory

### **The Clinical Practica: Practicum and Advanced Practicum**

ICSW's Master's Degree in Clinical Counseling and Psychotherapy, in addition to coursework, includes a Clinical Practicum. While most counseling master's degree programs require just one academic-year-long clinical placement, ICSW's Master's Degree provides two clinical placements, in which students gain experience doing direct clinical work. This is one way ICSW emphasizes the strength of its clinical focus.

The first phase, the Practicum, takes place during the first year of full-time coursework, and provides opportunities to work directly with clients and receive clinical supervision by a licensed mental health professional. Practicum placements are affiliated with ICSW and many of the clinical supervisors are faculty, alumni, or other ICSW community members.

Practicum activities may include: intake assessments; individual or group counseling; discharge planning; participation in multi-disciplinary meetings; attendance at agency case conferences and in-service trainings; report writing; etc. Based on the students' level of experience, one- or two-day Practicum will be required the first year with a total of 350 hours required. At the same time they're working at a Practicum site, students are also enrolled in Internship/Practicum Seminar I during the Fall Semester and Internship/ Seminar II during the Spring Semester, which serves to supplement the learning and supervision from their placement settings. These additional clinical opportunities will better prepare the students for the Internship during the second year of study.

The second year of the Practicum is the Advanced Practicum. During their Advanced Practicum, students gain a total of 700 required hours of clinical work. Students will spend between 16-24 hours per week during a 9-12 month period at an approved outside counseling and psychotherapy setting. Advanced Practicum students will provide counseling and psychotherapy, receive at least weekly one hour supervision by a licensed mental health professional affiliated with ICSW and be exposed to other activities that a clinical professional counselor would be expected to perform, such as diagnostic and ongoing clinical evaluation, crisis intervention, involvement in clinical case presentations, collaboration with other professionals, etc.). At the same time, Advanced Practicum students also will be enrolled in Advanced Practicum Internship Seminar III during the Fall Semester and Advanced Practicum/Internship Seminar IV during the Spring Semester, which serves to supplement the learning and supervision from the Practicum.



# GENERAL POLICIES

## Section 4.0

### Non-discrimination Policy

The commitment of the Institute for Clinical Social Work to the most fundamental principles of academic freedom, equality of opportunity, and human dignity requires that decisions involving students be based on individual merit and be free from invidious discrimination in all its forms.

It is the policy of the Institute for Clinical Social Work not to engage in discrimination or harassment against any person because of race, color, religion, sex, gender identity, national origin, ancestry, age, marital status, disability, sexual orientation, unfavorable discharge from the military, or status as a veteran or disabled veteran, and to comply with all federal and state nondiscrimination, equal opportunity, and affirmative action laws, orders, and regulations. The Institute's nondiscrimination policy applies to admission, employment, and access to and treatment in the Institute's programs and activities. Complaints of invidious discrimination prohibited by the Institute's policy are to be resolved within existing Institute procedures.

In accordance with the Rehabilitation Act of 1973, Section 504, and the Americans with Disabilities Act of 1990 (amended in 2009), the Institute for Clinical Social Work maintains the following policy statement:

"No person shall, on the basis of handicap, be excluded from participation, in be denied the benefits of, or be subjected to discrimination under any education program or activity conducted by the Institute for Clinical Social Work."

For information about grievance procedures related to this statement, please refer to "ADA and Section 504 of the Rehabilitation Act Grievance Procedures".

### Students with Special Needs

Students with special needs or difficulties in learning and completing courses assignments are strongly encouraged to notify instructors as soon as possible so that appropriate resources and accommodations can be provided. Students are also encouraged to contact the Disability Services Coordinator (Dean of Students or Director of the Master's Program). The Disability Services Coordinator will retain and document all requests made by students for accommodation.

## STUDENTS - GRIEVANCE POLICY

### I. Purpose & Scope

The purpose of this policy is to ensure that students have a means and opportunity for fair resolution of disputes involving individual student complaints of the appropriateness of course grades, accusations of academic dishonesty, and other decisions involving student compliance with conduct expectations.

ICSW also sets forth specific appeal processes for (i) decisions involving requests for education records under the Family Education Records and Privacy Act, and (ii) decisions regarding requests by students

for accommodations, modifications, or auxiliary aids under Section 504 of the Rehabilitation Act and the Americans with Disabilities Act.

This Policy does not address other compliance-related grievances, such as those raised under the *Non-Discrimination Policy* and related *Title IX Policy*, which are separately addressed in other ICSW Policies and posted on the Institute's website for the information of the campus community.

## **II. DEFINITIONS, SCOPE, AND TIME LIMITS GOVERNING THIS POLICY**

The following procedure has been developed and will be applied to cases involving ICSW Student grievances brought under the procedures identified in Section III A through D below. Grievances may only be filed by the person who is himself or herself the aggrieved individual.

### **A. GRIEVANCES UNDER THIS POLICY MAY BE BROUGHT BY:**

- 1) Anyone who is currently registered at the Institute
- 2) Anyone who was enrolled in the immediately preceding term
- 3) Anyone on approved educational leave

### **B. WHAT MAY BE GRIEVED; APPLICATION OF POLICIES**

- 1) This procedure is used to resolve any grievances regarding decisions or actions made by employees or agents of the Institute arising in the contexts described in Section III A-D below.
- 2) Certain situations are not encompassed within this Policy: specifically, complaints about institutional compliance with Title IX, allegations of discrimination, harassment, or retaliation (except in the context of ADA accommodations), and other allegations of failure to comply with federal, state, or local law governing higher education may be addressed using other institutional policies or procedures or as directed by ICSW.
- 3) Where a complaint or concern arguably is subject to more than one grievance or appeal procedure – or where questions or ambiguities arise about the applicable or sequencing of particular internal procedures – ICSW's Academic Dean or designate will resolve the ambiguity or address the questions and advise the parties at issue about the appropriate procedure to be used to air a grievance or concern.

### **C. Time Limit for Filing**

- 1) Except in extraordinary circumstances and for good cause shown, all grievances must be filed within 30 days of the decision, action, or events giving rise to the grievance.
- 2) Students may petition the Academic Dean to pursue a grievance that does not meet the time limit set forth in this Section. Any such petition should address why the student believes the situation constitutes an extraordinary circumstance and why there is good cause justifying ICSW's consideration of the grievance. ICSW reserves the right to decline consideration of any grievances that do not in the view of ICSW satisfy the exception set forth in this Section. Copies of all materials filed or generated in connection with a grade grievance, including any resolution, will be placed in a student's file.

## **III. SPECIFIC STUDENT GRIEVANCE PROCEDURES**

### **A. GRADE GRIEVANCE**

A student may appeal a final course or practicum grade if the student has reason to believe that:

- 1) The final grade violated the instructor's or the Institute's written policies; or
- 2) The final grade was assigned on a basis that is arbitrary, capricious, or demonstrably inappropriate in light of the student's performance.

Where a student believes that a course or practicum grade reflects discrimination, harassment, or retaliation on the basis of a protected characteristic, such complaints should be separately filed with the Dean of Students and will be investigated and resolved using ICSW's *Non-Discrimination Policy* and any other applicable ICSW Policy. Where a grade appeal is lodged on more than one basis, including on the basis of discrimination harassment or retaliation, ICSW reserves the right to identify an applicable procedure and sequence that will be used to promptly and thoroughly resolve the student's allegations.

*The Steps involved in pursuing a grade grievance are as follows:*

**Step 1** The student should first discuss her/his concerns directly with the instructor of the course, or the consultant for the case (regarding a Clinical Practicum), or the consultant for the independent study (regarding a Research Practicum). If the issue is resolved, the grievance process will conclude and the resolution will be documented by the instructor or consultant for the student's file.

**Step 2** If the grievant is not satisfied, then within 60 days of having received the grade in question, the student must file a written grade grievance (in email or hard-copy format) with the instructor or consultant, also copying both the student's academic advisor and the Academic Dean. In this written communication, the student should explain her/his concerns about the final grade, present reasons for contending that the final grade is not correct, and ask the instructor or consultant to explain, in writing, her/his reasons for the final grade.

- a. The instructor or consultant of the course should reply within 2 weeks (10 working days) to the student, in full and in writing, copying both the student's academic advisor and the Academic Dean.
- b. If the student is not satisfied with the instructor's written explanation, the student may request a meeting with the instructor and the Academic Dean.
- c. The meeting with the Academic Dean should include the student, the instructor or consultant, plus the student's academic advisor. Well in advance of the meeting, the student should prepare and give copies to her/his academic advisor and the Academic Dean of the following:
  - i. A copy of syllabus from the course in question, from the term in question
  - ii. Copies of submitted assignments, including grades received
  - iii. Copies of written communications with the instructor during the entire grievance process in question.
  - iv. If the student does not have or cannot locate copies of any or all of the above-referenced documentation, he or she should request by email (with copies to the Academic Dean and advisor) that the instructor circulate copies of any such documentation or communication in the possession of the instructor.
- d. The Academic Dean shall review the student's materials, and then meet with the

instructor or consultant, the student and the student's advisor. At that time, the student will have an opportunity to present her/his arguments in favor of the grade grievance. Following this meeting, the Academic Dean will make a decision, which will be considered final and not subject to further grievance.

**Step 3a -- Progression Committee process.** If, at the conclusion of Step 2, the final grade is determined to be a failing grade, ICSW's Progression Committee is then charged with further action as follows:

- a. The Progression Committee's deliberations shall include all of its members, with the exception of those who are not eligible to deliberate because of a conflict and also with the exception of the Academic Dean.
- b. The Progression Committee is charged with decisions concerning further planning and resolution for the student including, but not limited to remediation, probation or expulsion.
- c. If remediation is completed successfully and results in an improved grade, then both grades will appear on the transcript. Upon graduation, the lower grade will be expunged.

**Step 3b -- Alternative Review Procedure.** An alternative procedure is necessary if the grade being grieved has been given in a course taught by the Academic Dean or President.

- a. In this case, a three (3) member Committee will be appointed by the Chair of the Progression Committee to perform the functions of the Academic Dean or President, as the case may be and as described above. The Academic Dean is not eligible for appointment to this Committee.
- b. The appointed members will be chosen by, though not necessarily be composed of members of the Progression Committee. The Alternative Review Committee will have the charge of reaching a decision about the grade. Once the final grade has been decided, the Progression Committee will begin any deliberations necessary concerning further planning and resolution for the student including, but not limited to remediation, probation or expulsion.
- c. If remediation results in an improved grade, then both grades will appear on the transcript. Upon graduation, the lower grade will be expunged.

## **B. GRIEVANCE: NON-GRADE OR ACADEMIC DISHONESTY**

- a. A student with a Non-Grade Grievance of any type (other than those excluded from this Policy under Section II-B-2 above, must file a written grievance with the Academic Dean directly within 30 days of the incident. If the 30-day time limit for filing a grievance is about to expire, the students should contact the Academic Dean and submit a request for an extension showing good cause for an extension request. The grievance filing must include the details of the incident at issue and the relief the student is seeking. In the event that a grievance is deemed untimely, the Academic Dean shall dismiss the grievance and notify the grievant in writing as to the dismissal and the reason for the decision.
- a. If the grievance is filed timely, the Academic Dean may exercise discretion in handling the grievance and may request that the student and/or other witnesses meet with the

Academic Dean to answer questions or to present any new relevant information. In any event, the student will have the right to meet with the Academic Dean. In the event that a student meets with the Academic Dean, the student may elect to be accompanied by an advisor present for assistance. If the student decides to have an advisor present, the student must notify the Academic Dean at least one full business day in advance of the student's appearance before the Academic Dean. Advisors are not advocates or active participants in the process. They serve solely to support and advise the student privately.

- b. The Academic Dean will review the grievance and conduct an investigation of the facts, which may include, but is not limited to, review of documentation and interviews of faculty, staff, students, or others with knowledge. The Academic Dean shall consider all pertinent materials and resolve the grievance. Possible resolutions may include dismissal of the grievance, granting the relief requested by the student, or the creation of another disposition.
- c. The Academic Dean will inform the student in writing of his/her final decision regarding the grievance. The Academic Dean will strive to reach a decision within two (2) weeks (10 working days) of receipt of the grievance, or as soon thereafter as is practicable, and will communicate that decision in writing to the student and Dean of Students. The Academic Dean's decision and/or his/her designee shall be final and unreviewable.

The following alternative procedure will be used if the grievance concerns the President, Academic Dean or Dean of Students:

A three (3) member alternative review committee will be appointed by the Faculty Advisory Committee to perform the functions of the Academic Dean. The appointed members will be chosen by, though not necessarily be members of, the Faculty Advisory Committee and may not include anyone who is party to the dispute. The decision of this alternative review committee shall be conveyed in writing to the President, Academic Dean or Dean of Students. FAC shall also convey the decision to the student in writing. The decision of this committee shall be final and unreviewable.

Copies of materials filed in connection with a non-grade or academic dishonesty grievance, including any resolution, will be placed in a student's file.

### **C. FAMILY EDUCATION RIGHTS AND PRIVACY ACT [FERPA] APPEAL**

ICSW maintains records for all its students and former students and complies with the Family Education Rights and Privacy Act of 1974, 20 U.S.C. §1232g (FERPA), regarding the release of personally identifiable information concerning individual students. Academic transcripts and other information are sent to other institutions only upon the signed request of the student. Student records are available to the student on request for reviewing at ICSW. No materials may be added to, or deleted from, the student records except by the Director of Academic Administration and consistent with applicable law. Written grievances regarding ICSW's production and handling of education records may be filed with the Director of Academic Administration within 14 business days after the decision or incident in question and will be resolved in writing by the Director of Academic Administration or designee. A copy of the Director of Academic Administration's decision will be placed in the student's file.

**D. GRIEVANCE -- DENIAL OF REASONABLE ACCOMMODATION UNDER THE ADA AND SECTION 504 OF THE REHABILITATION ACT**

As stated in the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 *et seq.*, and Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 701, qualified students with disabilities are protected against discrimination and have the right to reasonable accommodations, modifications, and auxiliary aids that will allow them equal access to programs and services offered by ICSW. The Institute for Clinical Social Work is dedicated to supporting individuals with disabilities and has adopted the following accommodation and grievance process to facilitate provision of reasonable accommodations, modifications, and auxiliary aids, as well as resolution of any disputes relating to such requests. The Dean of Students or the Director of the Master's Program are ICSW's Section 504 Coordinators.

Students with disabilities may request accommodations (including modifications and auxiliary aids) by contacting the Dean of Students (for Ph.D. candidates) or the Director of the Master's Program (for Master's program candidates). Documentation will be required to evaluate requests for reasonable accommodation, and ICSW will then engage in an interactive process with the student to determine what, if any, reasonable accommodations are available to assist the student in accessing programs and services. As part of this process, ICSW may consult with the student's licensed professional or treater. Even if ICSW does not agree that a particular requested accommodation is reasonable or feasible to provide, consistent with ICSW's resources and applicable law, ICSW will interact and work with the student in an attempt to select and provide a reasonable accommodation that will be acceptable and helpful to the student.

If a student believes he or she has been subjected to discrimination because of a disability or has been denied a reasonable accommodation, the process and timeline for filing a grievance are as follows:

1. The student grievant is encouraged to express any such concerns directly to the appropriate faculty/staff member involved in the conflict in an informal manner. The Dean of Students or Director of the Master's Program may also be contacted in writing at the same time to clarify rights and procedures for both parties.

The Dean of Students or Director of the Master's Program will keep a written record of interactions and completion of each step of grievance process in order to ensure that the student's request has been fairly addressed. The accommodations process will be fully documented, including notes recorded of pertinent discussions. The Dean of Students or Director of the Master's Program will be involved in such interactive discussions as appropriate and with the goal of identifying a reasonable accommodation or resolution of grievances informally without the need for the student to initiate a formal written grievance (as set forth in Section III-D-2 below).

The Dean of Students or Director of the Master's Program will retain all requests for accommodation, supporting documentation, including the date(s) of the request(s) for academic adjustments or services, the nature of each request, the final determinations and the reason(s)

for any denials in the student's file. These records will be maintained in a file separate from student education records as required by applicable law.

2. If the complaint is unresolved after the informal discussion, the student should file a formal, written complaint with the Academic Dean.

The written complaint should state the basis for the complaint (i.e., the who, what, where, when, and why). ICSW may request additional documentation or an opportunity to speak with the professional who has provided the documentation supporting a request for accommodation. The Academic Dean may exercise discretion in handling the grievance and may request that the student and/or other witnesses meet with the Academic Dean to further discuss the grievance. The student will have the right to appear before the Academic Dean. In the event that a student appears before the Academic Dean, the student shall be allowed to select an advisor or support person for assistance. If the student elects to have an advisor or support person present, the student must notify the Academic Dean at least one full business day in advance of the student's appearance before the Academic Dean. Advisors or support person are not advocates or active participants in the process. They serve solely to support and advise the student.

The Academic Dean shall consider all pertinent materials and determine the disposition of the grievance, which may include dismissal of the grievance, granting the relief requested by the student, or the creation of another disposition.

#### **IV. COMPLAINTS OR CONCERNS INVOLVING DISCRIMINATION, HARASSMENT, OR RETALIATION OR TITLE IX COMPLIANCE:**

Complaints or concerns about discrimination, harassment, or retaliation, other than requests for accommodation, are beyond the scope of this Grievance Policy. Title IX concerns or complaints are also beyond the scope of this Policy. Any such complaints or concerns should be brought to the attention of the Dean of Students or any individual in a leadership role at ICSW. Grievances originally filed under this Policy may ultimately be investigated and resolved using the ICSW's *Sexual Misconduct Policy*, *Anti-Discrimination Policy*, or other compliance policies, if the grievance appears to raise issues properly addressed under those Policies in lieu of, or in addition to, issues covered by Sections III A through D of this Policy.

In the case of an ambiguity, or where a grievance appears to raise issues implicated by the above grievance policy as well as other ICSW policies, the Dean of Students has the discretion to determine which policy shall be used to resolve the concern or grievance and will notify the grievant and other interested parties in writing of the applicable procedure.

#### **Whistleblower Policy**

If any employee, faculty member or student reasonably believes that some policy, practice or activity of ICSW is in violation of law, public policy or accreditation standards, that person should file a written complaint with the President, Academic Dean or the Board Chair. That person is protected from retaliation for bringing such an alleged violation to the attention of the President, Academic Dean or Board Chair.

ICSW will also not retaliate against an employee, faculty member or student who in good faith discloses or threatens to disclose alleged violations of law, public policy or accreditation standards to a public body or an accrediting organization.

### **Respect for Diversity and Inclusion**

Guided by the NASW and ACA Codes of Ethics and the mission of ICSW, students and faculty have a shared responsibility for championing social and economic justice for all members of society. This includes a commitment to eliminate personal and institutional discrimination, ensure access to needed resources and opportunities for all persons, especially those who are disadvantaged or disenfranchised. Prejudicial attitudes and discriminatory practices are examined. Students are expected to be respectful of the opinions of others while at the same time striving to attain the ideals of social justice.

### **Family Educational Rights and Privacy Act (FERPA)**

The following guidance provides eligible students with general information about the Family Educational Rights and Privacy Act (FERPA). This document is a compilation and update of various letters and guidance documents previously issued that respond to a variety of questions about FERPA. While this guidance reflects our best and most current interpretation of applicable FERPA requirements, it does not supersede the statute or regulations. We will attempt to update this document from time to time in response to questions and concerns.

FERPA is a Federal law that is administered by the Family Policy Compliance Office (Office) in the U.S. Department of Education (Department). 20 U.S.C. § 1232g; 34 CFR Part 99. FERPA applies to all educational agencies and institutions (e.g., schools) that receive funding under any program administered by the Department. Parochial and private schools at the elementary and secondary levels generally do not receive such funding and are, therefore, not subject to FERPA. Private postsecondary schools, however, generally do receive such funding and are subject to FERPA.

Once a student reaches 18 years of age or attends a postsecondary institution, he or she becomes an "eligible student," and all rights formerly given to parents under FERPA transfer to the student. The eligible student has the right to have access to his or her education records, the right to seek to have the records amended, the right to have control over the disclosure of personally identifiable information from the records (except in certain circumstances specified in the FERPA regulations, some of which are discussed below), and the right to file a complaint with the Department. The term "education records" is defined as those records that contain information directly related to a student and which are maintained by an educational agency or institution or by a party acting for the agency or institution.

FERPA generally prohibits the improper disclosure of personally identifiable information derived from education records. Thus, information that an official obtained through personal knowledge or observation, or has heard orally from others, is not protected under FERPA. This remains applicable even if education records exist which contain that information, unless the official had an official role in making a determination that generated a protected education record.

Under FERPA, a school is not generally required to maintain particular education records or education records that contain specific information. Rather, a school is required to provide certain privacy protections for those education records that it does maintain. Also, unless there is an outstanding request by an eligible student to inspect and review education records, FERPA permits the school to destroy such records without notice to the student.



## Access to Education Records

Under FERPA, a school must provide an eligible student with an opportunity to inspect and review his or her education records within 45 days following its receipt of a request. A school is required to provide an eligible student with copies of education records, or make other arrangements, if a failure to do so would effectively prevent the student from obtaining access to the records. A case in point would be a situation in which the student does not live within commuting distance of the school.

A school is not generally required by FERPA to provide an eligible student with access to academic calendars, course syllabi, or general notices such as announcements of specific events or extra-curricular activities. That type of information is not generally directly related to an individual student and, therefore, does not meet the definition of an education record.

Under FERPA, a school is not required to provide information that is not maintained or to create education records in response to an eligible student's request. Accordingly, a school is not required to provide an eligible student with updates on his or her progress in a course (including grade reports) or in school unless such information already exists in the form of an education record.

## Amendment of Education Records

Under FERPA, an eligible student has the right to request that inaccurate or misleading information in his or her education records be amended. While a school is not required to amend education records in accordance with an eligible student's request, the school is required to consider the request. If the school decides not to amend a record in accordance with an eligible student's request, the school must inform the student of his or her right to a hearing on the matter. If, as a result of the hearing, the school still decides not to amend the record, the eligible student has the right to insert a statement in the record setting forth his or her views. That statement must remain with the contested part of the eligible student's record for as long as the record is maintained.

However, while the FERPA amendment procedure may be used to challenge facts that are inaccurately recorded, it may not be used to challenge a grade, an opinion, or a substantive decision made by a school about an eligible student. FERPA was intended to require only that schools conform to fair recordkeeping practices and not to override the accepted standards and procedures for making academic assessments, disciplinary rulings, or placement determinations. Thus, while FERPA affords eligible students the right to seek to amend education records which contain inaccurate information, this right cannot be used to challenge a grade or an individual's opinion, or a substantive decision made by a school about a student. Additionally, if FERPA's amendment procedures are not applicable to an eligible student's request for amendment of education records, the school is not required under FERPA to hold a hearing on the matter.

## Disclosure of Education Records

Under FERPA, a school may not generally disclose personally identifiable information from an eligible student's education records to a third party unless the eligible student has provided written consent. However, there are a number of exceptions to FERPA's prohibition against non-consensual disclosure of personally identifiable information from education records. Under these exceptions, schools are permitted to disclose personally identifiable information from education records without consent, though they are not required to do so. Following is general information regarding some of these exceptions.

One of the exceptions to the prior written consent requirement in FERPA allows "school officials," including teachers, within a school to obtain access to personally identifiable information contained in education records provided the school has determined that they have "legitimate educational interest" in the information. Although the term "school official" is not defined in the statute or regulations, this Office generally interprets the term to include parties such as: professors; instructors; administrators; health staff; counselors; attorneys; clerical staff; trustees; members of committees and disciplinary boards; and a contractor, volunteer or other party to whom the school has outsourced institutional services or functions.

A school must inform eligible students of how it defines the terms "school official" and "legitimate educational interest" in its annual notification of FERPA rights. A school official generally has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility. Additional information about the annual notification of rights is found below in this guidance document.

Another exception permits a school to disclose personally identifiable information from an eligible student's education records, without consent, to another school in which the student seeks or intends to enroll. The sending school may make the disclosure if it has included in its annual notification of rights a statement that it forwards education records in such circumstances. Otherwise, the sending school must make a reasonable attempt to notify the student in advance of making the disclosure, unless the student has initiated the disclosure. The school must also provide an eligible student with a copy of the records that were released if requested by the student.

FERPA also permits a school to disclose personally identifiable information from education records without consent when the disclosure is in connection with financial aid for which the student has applied or which the student has received, if the information is necessary for such purposes as to: determine the eligibility for the aid; determine the amount of the aid; determine the conditions for the aid; and/or enforce the terms and conditions of the aid. With respect to this exception, the term "financial aid" means payment of funds provided to an individual (or payment in kind of tangible or intangible property to the individual) that is conditioned on the individual's attendance at a school.

Another exception permits a school to disclose personally identifiable information from education records without consent when the disclosure is to the parents of a "dependent student" as that term is defined in Section 152 of the Internal Revenue Code. Generally, if either parent has claimed the student as a dependent on the parent's most recent year's income tax statement, the school may non-consensually disclose the eligible student's education records to both parents under this exception.

Postsecondary institutions may also disclose personally identifiable information from education records, without consent, to appropriate parties, including parents of an eligible student, in connection with a health or safety emergency. Under this provision, colleges and universities may notify parents when there is a health or safety emergency involving their son or daughter, even if the parents do not claim the student as a dependent.

FERPA also permits a school to disclose personally identifiable information from education records without consent when the disclosure is to the parents of a student at a postsecondary institution regarding the student's violation of any Federal, State, or local law, or of any rule or policy of the institution, governing the use or possession of alcohol or a controlled substance. The school may non-consensually disclose information under this exception if the school determines that the student has committed a disciplinary violation with

respect to that use or possession and the student is under 21 years of age at the time of the disclosure to the parent.

Another exception permits a school to non-consensually disclose personally identifiable information from a student's education records when such information has been appropriately designated as directory information. "Directory information" is defined as information contained in the education records of a student that would not generally be considered harmful or an invasion of privacy if disclosed. Directory information could include information such as the student's name, address, e-mail address, telephone listing, photograph, date and place of birth, major field of study, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees and awards received, the most recent previous educational agency or institution attended, grade level or year (such as freshman or junior), and enrollment status (undergraduate or graduate; full-time or part-time).

A school may disclose directory information without consent if it has given public notice of the types of information it has designated as directory information, the eligible student's right to restrict the disclosure of such information, and the period of time within which an eligible student has to notify the school that he or she does not want any or all of those types of information designated as directory information. Also, FERPA does not require a school to notify eligible students individually of the types of information it has designated as directory information. Rather, the school may provide this notice by any means likely to inform eligible students of the types of information it has designated as directory information.

There are several other exceptions to FERPA's prohibition against non-consensual disclosure of personally identifiable information from education records, some of which are briefly mentioned below. Under certain conditions (specified in the FERPA regulations), a school may non-consensually disclose personally identifiable information from education records:

- to authorized representatives of the Comptroller General of the United States, the Attorney General of the United States, the U.S. Secretary of Education, and State and local educational authorities for audit or evaluation of Federal or State supported education programs, or for the enforcement of or compliance with Federal legal requirements that relate to those programs;
- to organizations conducting studies for or on behalf of the school making the disclosure for the purposes of administering predictive tests, administering student aid programs, or improving instruction;
- to comply with a judicial order or a lawfully issued subpoena;
- to the victim of an alleged perpetrator of a crime of violence or a non-forcible sex offense concerning the final results of a disciplinary hearing with respect to the alleged crime; and
- to any third party the final results of a disciplinary proceeding related to a crime of violence or non-forcible sex offense if the student who is the alleged perpetrator is found to have violated the school's rules or policies. The disclosure of the final results only includes: the name of the alleged perpetrator, the violation committed, and any sanction imposed against the alleged perpetrator. The disclosure must not include the name of any other student, including a victim or witness, without the written consent of that other student.

As stated above, conditions specified in the FERPA regulations at 34 CFR § 99.31 have to be met before a school may non-consensually disclose personally identifiable information from education records in connection with any of the exceptions mentioned above.

## Annual Notification of Rights

Under FERPA, a school must annually notify eligible students in attendance of their rights under FERPA. The annual notification must include information regarding an eligible student's right to inspect and review his or her education records, the right to seek to amend the records, the right to consent to disclosure of personally identifiable information from the records (except in certain circumstances), and the right to file a complaint with the Office regarding an alleged failure by a school to comply with FERPA. It must also inform eligible students of the school's definitions of the terms "school official" and "legitimate educational interest."

FERPA does not require a school to notify eligible students individually of their rights under FERPA. Rather, the school may provide the notice by any means likely to inform eligible students of their rights. Thus, the annual notification may be published by various means, including any of the following: in a schedule of classes; in a student handbook; in a calendar of school events; on the school's website (though this should not be the exclusive means of notification); in the student newspaper; and/or posted in a central location at the school or various locations throughout the school. Additionally, some schools include their directory information notice as part of the annual notice of rights under FERPA.

## Law Enforcement Units and Law Enforcement Unit Records

A "law enforcement unit" means any individual, office, department, division or other component of a school, such as a unit of commissioned police officers or non-commissioned security guards, that is officially authorized or designated by the school to: enforce any local, State, or Federal law, or refer to appropriate authorities a matter for enforcement of any law against any individual or organization; or to maintain the physical security and safety of the school. The law enforcement unit does not lose its status as a law enforcement unit if it also performs other, non-law enforcement functions for the school, including investigation of incidents or conduct that constitutes or leads to a disciplinary proceeding against a student.

"Law enforcement unit records" (i.e., records created by the law enforcement unit, created for a law enforcement purpose, and maintained by the law enforcement unit) are not "education records" subject to the privacy protections of FERPA. As such, the law enforcement unit may refuse to provide an eligible student with an opportunity to inspect and review law enforcement unit records, and it may disclose law enforcement unit records to third parties without the eligible student's prior written consent. However, education records, or personally identifiable information from education records, which the school shares with the law enforcement unit do not lose their protected status as education records because they are shared with the law enforcement unit.

## Complaints of Alleged Failures to Comply with FERPA

FERPA vests the rights it affords in the eligible student. The statute does not provide for these rights to be vested in a third party who has not suffered an alleged violation of their rights under FERPA. Thus, we require that a student have "standing," i.e., have suffered an alleged violation of his or her rights under FERPA, in order to file a complaint.

The Office may investigate those timely complaints that contain specific allegations of fact giving reasonable cause to believe that a school has violated FERPA. A timely complaint is defined as one that is submitted to the Office within 180 days of the date that the complainant knew or reasonably should have known of the alleged violation of FERPA. Complaints that do not meet FERPA's threshold requirement for timeliness are not investigated.

If we receive a timely complaint that contains a specific allegation of fact giving reasonable cause to believe that a school has violated FERPA, we may initiate an administrative investigation into the allegation in accordance with procedures outlined in the FERPA regulations. If a determination is made that a school violated FERPA, the school and the complainant are so advised, and the school is informed of the steps it must take to come into compliance with the law. The investigation is closed when voluntary compliance is achieved.

Please note that the eligible student should state his or her allegations as clearly and specifically as possible. To aid us in efficiently processing allegations, we ask that an eligible student only include supporting documentation that is relevant to the allegations provided. Otherwise, we may return the documentation and request clarification. This Office does not have the resources to review voluminous documents and materials to determine whether an allegation of a violation of FERPA is included. An eligible student may obtain a complaint form by calling (202) 260-3887. For administrative and privacy reasons, we do not discuss individual allegations and cases via email. Please mail completed complaint forms to the Office (address below) for review and any appropriate action.

### Complaint Regarding Access

If an eligible student believes that a school has failed to comply with his or her request for access to education records, the student may complete a FERPA complaint form and should include the following specific information: the date of the request for access to the education records; the name of the school official to whom the request was made (a dated copy of any written request to the school should be provided, if possible); the response of the school official, if any; and the specific nature of the information requested.

### Complaint Regarding Amendment

If an eligible student believes that a school has failed to comply with his or her request for amendment of inaccurate information in education records or failed to offer the student an opportunity for a hearing on the matter, the student may complete a FERPA complaint form and should include the following specific information: the date of the request for amendment of the education records; the name of the school official to whom the request was made (a dated copy of any written request to the school should be provided, if possible); the response of the school official, if any; the specific nature of the inaccurate information for which amendment was requested; and evidence provided to the school to support the assertion that such information is inaccurate.

### Complaint Regarding Disclosure

If an eligible student believes that a school has improperly disclosed personally identifiable information from his or her education records to a third party, the student may complete a FERPA complaint form and should include the following specific information: the date or approximate date the alleged disclosure occurred or the date the student learned of the disclosure; the name of the school official who made the disclosure, if that is known; the third party to whom the disclosure was made; and the specific nature of the education records disclosed.

This guidance document is designed to provide eligible students with some general information regarding FERPA and their rights, and to address some of the basic questions most frequently asked by eligible

students. You can review the FERPA regulations, frequently asked questions, significant opinions of the Office, and other information regarding FERPA at our Website as follows:

[www.ed.gov/policy/gen/guid/fpco/index.html](http://www.ed.gov/policy/gen/guid/fpco/index.html)

If, after reading this guidance document, you have questions regarding FERPA which are not addressed here, you may write to the Office at the following address:

Family Policy Compliance Office  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, DC 20202-8520

## Admissions

The Chair of Admissions along with the admissions committee, which includes the Academic Dean and Director of the Master's Program, reviews applications and makes admission decisions. Currently, ICSW has rolling admissions. Applicants are notified of their admissions status shortly after the final phase of the application process.

Minimum admission requirements are listed on the website.

## Transfer Credit Policy

We accept, on an individual basis, transfer of credits from any other accredited Master's or Doctoral Program for courses which are equivalent to courses in the curriculum of ICSW's Master's or Doctoral Program pending approval by the Academic Dean and Director of the Master's Program.

Guidelines:

- Courses from other programs must be evaluated by the Academic Dean and the Director of the Master's Program.
  - The evaluation will include a judgment of the general similarity in content and clock hours.
- We will accept credits totaling no more than twenty percent of the required coursework in any degree program.
- Clinical Practicum and case conference courses may be eligible for transfer of credit consideration.
- Courses may be no less than 5 years old to be eligible for transfer credit.
- Transcripts and syllabi need to be reviewed for content prior to granting transfer credit approval.

ICSW has always had a "test-out" policy for any course. Students must successfully complete the evaluation of student learning activities to demonstrate knowledge of course content.

## False Information

Any applicant to ICSW’s program or a student in the program who fraudulently, or through misrepresentation, makes false statements on his or her application for admission, or falsifies his or her degrees or professional credentials shall be subject to dismissal from the program.

## Student Evaluation and Grades

Classroom instructors grade students on their course work and submit evaluations on the caliber of each student’s work. The purpose of grading is evaluative, as well as to provide a learning tool for students, i.e., to provide feedback on progress, strengths and weaknesses, and issues that need to be addressed. Cumulative grade point average is based on full letter grades, not plus or minus grades. Only letter grades are recorded in the students’ transcript. Instructors are required to submit full letter grades (not pluses or minuses) within two weeks after classes end.

### Grading Standards

Grades are assigned according to the following standard:

A	Superior work	4.0 value
B	Satisfactory work	3.0 value
C	Marginal work	2.0 value
F	Failure	0.0 value
P	Pass	0.0 value, only to be assigned in Case Conference, Electives, Clinical and Research Practicum and Transfer Credits
IP-S	In Progress-Satisfactory	Credit Deferred, Clinical and Research Practicum Only
IP-U	In Progress-Unsatisfactory	Credit Deferred, Clinical and Research Practicum Only
AU	Audit*	0.0 value
INC	Incomplete	0.0 value, awaiting grade

### Assignment of Credit Policy:

The standard course extends over a sixteen-week period including final examinations week. Graduate courses in our Master's Program carry one credit for every sixteen clock hours. For every one hour of class students are expected to do one hour of work outside instructional time. Graduate courses in our PhD Program carry one credit for every eight clock hours. For every hour of class students are expected to do three hours of work outside instructional time. Credit is earned if a student receives an A through C, or P grade. Please note that a grade of F, IP, or Audit does not earn credit.

### Attendance Policy

Students are required to attend class every class session. The intimacy and intensity of our classroom environments make consistent attendance very important. Students who miss more than one class session may see that reflected in their grade. Two or more unexcused absences will result in either a withdrawal from the class or a failing grade. All absences, excused and unexcused, must be reported to the Director of Academic Administration via email within one week of the missed class.



If extenuating circumstances result in ICSW cancelling classes, the classes will be made up at the end of the semester. There is a two-week minimum gap between each semester for this purpose. Instructors are responsible for rescheduling any cancelled classes, regardless of the reason for cancellation.

## **Ethics**

Ethical standards are established regarding academic and professional conduct and regarding protection of human subjects. Students and faculty are governed by the NASW and ACA Codes of Ethics and the mission of ICSW.

### **Ethical Standards of Faculty Relationships with Students**

A primary responsibility of the faculty is to promote the education and welfare of the students in a professional, academically responsible manner. See Sexual Misconduct Policy on pg. 35.

### **Conflict of Interest**

Faculty members should be alert to and avoid conflicts of interest that interfere with the exercise of professional discretion and impartial judgment. Faculty members should inform students when an existing or potential conflict of interest arises and take reasonable steps to resolve the issue in a manner that protects the best interest of the student to the greatest degree possible.

Faculty members should not take advantage of any professional relationship with students to further their personal, professional, or business interests.

## **Sexual Misconduct Policy and Complaint Resolution Procedures**

### **I. Policy Statement**

Sexual misconduct, including sexual discrimination, harassment, non-consensual sexual intercourse and/or contact, exploitation, and interpersonal violence such as stalking, dating violence and/or domestic violence, will not be tolerated at the Institute for Clinical Social Work (ICSW). The Institute cares deeply about the health, safety, and well-being of all members of its community and is committed to fostering a community that promotes prompt reporting of all types of sexual misconduct, the timely and equitable resolution of sexual misconduct complaints, and educational and prevention programming.

This Policy applies to all members of the ICSW community, including students, faculty, staff, administrators, board members, contractors, vendors, and visitors. The Policy applies to on-campus and off-campus conduct, including online or electronic conduct, when the off-campus conduct:

- (i) occurs during an ICSW-sponsored employment or educational activity or program;
- (ii) adversely impacts the education or employment of a member of the ICSW community; or
- (iii) otherwise threatens the health and/or safety of a member of the ICSW community.

Students and employees continue to be subject to city, state, and federal laws while at ICSW, and violations of those laws may also constitute violations of this Policy. In such instances, ICSW may proceed with an investigation under this Policy independently of any criminal proceeding involving the same conduct and may impose sanctions for violation of this Policy even if such criminal proceeding is not yet resolved or is resolved in the Responding party's favor.



For students and ICSW employees, this Policy applies to conduct that takes place from the time a person accepts enrollment as a student or accepts employment and continues until the student graduates or otherwise separates from ICSW or the employee ceases employment.

## **II. NOTICE OF NON-DISCRIMINATION**

ICSW does not discriminate on the basis of sex in its educational programs or services or in the context of employment or admissions. Sexual misconduct, including sexual harassment as defined in this policy, is a form of sex discrimination that unjustly deprives a person of equal treatment. It is prohibited by Title IX of the Education Amendments of 1972, a federal law that provides that:

*No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance.*

This Policy prohibits sexual misconduct against all ICSW community members of any gender or sexual orientation or gender expression. This policy also prohibits harassment based on gender or sexual orientation that does not involve conduct of a sexual nature. ICSW's non-discrimination policy can be accessed at [\(link\)](#).

Further information about Title IX and sex discrimination in education is available from the Office for Civil Rights (U.S. Department of Education, Citigroup Center, 500 Madison St., Suite 1475, Chicago, IL 60661-4544, 312-730-1560, [OCRChicago@ed.gov](mailto:OCRChicago@ed.gov), ed.gov.ocr), or ICSW's Title IX Coordinator as set forth directly below.

## **III. ROLE OF TITLE IX COORDINATOR**

To manage ICSW's compliance with Title IX, ICSW has a designated Title IX Coordinator, Michael Bauman (Vice President, Finance and Operations), trained in the ICSW's policies and procedures, state and federal law and other issues related to addressing sexual misconduct.

Specifically, the Title IX Coordinator may do some or all of the following:

- Oversees the investigation and resolution of all reports of prohibited conduct under this Policy;
- Advises any individual, including a reporting party, a responding party, or a third party, about the courses of action available at ICSW and in the community for resolving cases of sexual misconduct;
- Provides assistance to any "responsible employee" regarding how to appropriately respond to a report of prohibited conduct under this Policy;
- Conducts and/or reviews on-going climate checks, tracking, and monitoring of sexual misconduct allegations on campus;
- Oversees training, education, and prevention efforts; and
- Provides and participates in on-going training designed to assist in implementing these policies and procedures.

The Title IX Coordinator, Michael Bauman, can be reached during regular business hours at 312-935-4242 or [titleixcoordinator@icsw.edu](mailto:titleixcoordinator@icsw.edu)

#### IV. PROHIBITED CONDUCT

ICSW prohibits sexual misconduct. Sexual misconduct is a broad term that, as previously indicated, encompasses sexual harassment, non-consensual sexual intercourse or contact, sexual exploitation, domestic and dating violence, and stalking.

Sexual misconduct can occur between strangers or acquaintances, including people involved in an intimate or sexual relationship. Sexual misconduct can be committed by a person of any gender identity, and can occur between people of the same or different gender identities. Sexual misconduct is a form of sex discrimination prohibited by federal and state discrimination laws. In addition, some forms of sexual misconduct violate the criminal laws of the State of Illinois. The following offenses are considered “sexual misconduct” and prohibited by ICSW.

**A. “Sexual Harassment.”** Sexual harassment is unwelcome conduct of a sexual nature. Sexual Harassment can include unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal or physical conduct of a sexual nature, without regard to whether the parties are of the same or different gender when:

- Submission to such conduct is either explicitly or implicitly a term or condition of an individual’s employment or status in a course, program or ICSW-sponsored activity, or is used as the basis for employment or educational decisions affecting that individual (also referred to as “quid pro quo”); or
- Such conduct has the purpose or effect of unreasonably interfering with an individual’s educational experience or working conditions, i.e. it is sufficiently severe, pervasive, or persistent as to create an intimidating, hostile or offensive environment for working, learning or living on campus under both an objective and subjective standard (also referred to as “hostile environment”).

In considering whether conduct constitutes sexual harassment, ICSW considers the totality of the circumstances. Some examples of sexual harassment may include attempting to coerce an unwilling person into a sexual relationship; repeatedly subjecting a person to egregious, unwelcome sexual attention, innuendos or humor; punishing an individual for refusing to comply with a sexual based request; conditioning a benefit on submission to sexual advances; nonconsensual sexual contact or intercourse; or bullying based on gender or sex.

**A. “Gender-Based Harassment.”** Gender-based harassment includes acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on gender, sex or sex-stereotyping, even if those acts do not involve conduct of a sexual nature. Use of the term “sexual harassment” throughout this policy includes gender-based harassment/misconduct.

**B. “Sexual Orientation-Based/Gender Identity-Based Harassment.”** Sexual orientation-based harassment includes verbal, non-verbal, and physical acts of aggression, intimidation, or hostility based on an individual’s actual or perceived heterosexuality, homosexuality, bisexuality, or transsexuality/gender identity. Use of the term “sexual harassment” throughout this policy includes sexual orientation- based and gender identity-based harassment/misconduct.

- C. **“Non-Consensual Sexual Intercourse (or attempts to commit the same).”** Non- consensual sexual intercourse means any penetration of the sex organs, anus, or mouth of another person, using any part of the body or an object, when consent is not present or force is used.
- D. **“Non-Consensual Sexual Contact (or attempt to commit the same).”** Non- consensual sexual contact is the intentional touching or fondling a person’s genitals, breasts, thighs, groin, or buttocks, or any other contact of a sexual nature (including by bodily fluids), when consent is not present or force is used. This includes contact done directly, through clothing, or with an object. It also includes causing or inducing a person, when consent is not present, to similarly touch, fondle, or contact oneself or someone.
- E. **“Sexual Exploitation.”** Sexual exploitation occurs when a person takes non- consensual or abusive sexual advantage of another for his/her own advantage or benefit, or to benefit or advantage anyone other than the one being exploited, and that behavior does not otherwise constitute one of the other sexual misconduct offenses in this policy. Examples of sexual exploitation include, but are not limited to, invasion of sexual privacy, prostituting another person, non-consensual photographing, video or audio-taping of sexual activity, engaging in voyeurism, knowingly transmitting a sexually transmitted disease (STD) to another without disclosing STD status, exposing one’s genitals in non-consensual circumstances, and inducing another to expose their genitals. Sexually-based stalking and/or bullying may also be forms of sexual exploitation.
- F. **“Dating Violence.”** Dating violence is sexual or physical abuse of an individual, the threat of such abuse, or other violence by another person with whom the individual is or has been in a social relationship of a romantic or intimate nature. The existence of such a relationship shall be determined based on a consideration of the following factors: the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship. Dating violence does not include acts covered under the definition of domestic violence below.
- G. **“Domestic Violence.”** Domestic violence is violence committed by a current or former spouse or intimate partner of the individual, by a someone with whom the individual shares a child in common, by someone who is cohabitating with or has cohabitated with the individual as a spouse or intimate partner, by someone similarly situated to a spouse of the individual under the domestic or family violence laws of the jurisdiction in which the violence occurred, or any other person against an adult or youth who is protected from that person's acts under the domestic or family violence laws of the jurisdiction in which the violence occurred.
- H. **“Stalking.”** Stalking is a course of conduct directed at a specific that would cause a reasonable person to fear for their safety (or the safety of a third person) or suffer substantial emotional distress. For purposes of this definition, “course of conduct” means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device, or means follows, monitors, observes, surveils, threatens, or communicates to or about, a person, or interferes with a person’s property. Examples of stalking

include, but are not limited to:

- following a person;
- being or remaining in close proximity to a person;
- entering or remaining on or near a person's property, residence, or place of employment;
- monitoring, observing or conducting surveillance of a person;
- threatening (directly or indirectly) a person;
- communicating to or about a person;
- giving gifts or objects to, or leaving items for, a person;
- interfering with or damaging a person's property (including pets); or
- engaging in other unwelcome contact.

## V. OTHER IMPORTANT DEFINITIONS

- A. **"Consent"** is: expressed through affirmative, voluntary words or actions mutually understandable to all parties involved; is given for a specific sexual act at a specific time and can be withdrawn at any time; and cannot be coerced or compelled by duress, threat, or force. Consent cannot be given by someone who, for any reason, cannot understand the facts, nature, extent, or implications of the sexual situation occurring, including, but not limited to, those who are under the legal age of consent (17 years in Illinois<sup>1</sup>), asleep, unconscious, or mentally or physically incapacitated through the effects of drugs or alcohol, or mentally impaired due to an intellectual or other disability. In addition, consent cannot be and should not be assumed based on: silence; the absence of verbal or physical resistance; an individual's manner of dress; the existence of a prior or current relationship; or consent to prior sexual activity. Consent for sexual acts cannot be given by a third party, and consent to

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<sup>1</sup> Except in cases of child sexual abuse under the Illinois Abused and Neglected Child Reporting Act, where the law requires that "mandated reporters" inform the Department of Children and Family Services when they have "reasonable cause to believe" that a child known to them in their professional or official capacity may be sexually abused. Under ANCRA, sexual abuse occurs when *a person responsible for the child's welfare* commits sexual penetration, sexual molestation, or sexual exploitation as defined by State law. Under the Illinois Abused and Neglected Child Reporting Act, "child" includes any person under the age of 18. Employees of ICSW are considered mandated reporters.

sexual activity with one individual does not constitute consent to sexual activity with another individual.

- A. **"Coercion"** involves forcing a person to act, where that person fears harm to self or others. Means of coercion may include, but are not limited to, pressure, threats, emotional intimidation, or the use of physical force.
- B. **Determining whether conduct is "unwelcome"** involves determining whether, based on the record as a whole, the reporting party (i) did not solicit or incite the challenged conduct; and (ii) regarded the conduct as undesirable or offensive.

**C. "Incapacitation"** means the physical and/or mental inability to make informed, rational judgments. States of incapacitation may encompass, without limitations, circumstances in which the individual is asleep, blacked out, affected by drugs or alcohol, or intellectually incapable (or incapable due to some disability) of making an informed, rational judgment. Where alcohol or other drugs are involved, one does not have to be legally intoxicated or drunk to be considered incapacitated. Rather, incapacitation is determined by how the alcohol consumed impacts the particular individual's decision-making capacity, awareness of consequences, and ability to make informed judgments. The question for purposes of determining incapacitation is whether the Responding Party knew -- or a sober, reasonable person in the position of the Responding Party would or should have known -- that the Reporting Party was incapacitated. Because incapacitation may be difficult to discern, individuals are strongly encouraged to err on the side of caution. That is to say, when in doubt, one should assume that another person is incapacitated and unable to give consent. Being intoxicated or drunk oneself is never a defense to a complaint of sexual misconduct under this Policy.

## **VI. POLICY AGAINST RETALIATION**

It is also a violation of ICSW policy to retaliate against any person engaging in protected activity under this Policy. Retaliation is defined as a materially adverse action taken against an individual as a result of his or her participation in a protected activity under this Policy.

Protected activity includes, but is not limited to, (a) making a good-faith complaint of sexual misconduct, (b) cooperating in good faith in the investigation of a complaint of sexual misconduct, and/or (c) testifying as a witness to any report of sexual misconduct.

Retaliation should be reported promptly to the Title IX Coordinator, the Dean of Students, the Dean of Faculty, or the Vice President, Finance and Operations. Acts of retaliation may result in disciplinary action independent of the sanction or interim measures imposed in response to the underlying allegations of sexual misconduct -- and may be the basis for discipline or dismissal.

## **VIII. ACADEMIC FREEDOM**

ICSW is committed to the principles of academic freedom. Rigorous discussion and debate are fundamental to ICSW's educational mission, and this policy is not intended to determine or restrict teaching methods, course content, or the processes of intellectual inquiry and debate. The fact that speech or a particular expression is offensive is not necessarily a basis to establish a violation of this policy.

## **REPORTING OPTIONS AND AVAILABLE RESOURCES**

There are various reporting options and resources available to the ICSW community. ICSW encourages those who have experienced sexual misconduct to talk to one or more of the individuals or agencies identified below.

**A. Confidential Sources:** The following resources are available to discuss incidents of sexual misconduct in confidence, and generally they only report to ICSW that an incident occurred without revealing any personally identifying information. Disclosures to these entities will not trigger an ICSW investigation into an incident. Faculty, staff and students wishing to obtain confidential assistance without making a report to ICSW may do so by speaking with one of the following

confidential sources:

- **Rape Victim Advocates** (773-907-1062)

The following off-campus organizations also provide confidential assistance and additional resources:

- **The Chicago Rape Crisis Hotline:** 888-293-2080
- **National Sexual Assault Telephone Hotline:** 800-656-HOPE (4673)

All of the above resources employ professionals specifically trained to work with individuals who report sexual misconduct, and have knowledge about on-and off- campus resources, services, and options. Please note that limitations of confidentiality may exist for individuals under the age of 18.

**A. Reporting to ICSW.** ICSW strongly encourages individuals to report incidents of sexual misconduct to the Title IX Coordinator or other ICSW employee. With the exception of the confidential resources identified directly above, all other ICSW employees who receive a report of sexual misconduct, including faculty members, are required to report details of an incident (including the identities of both the Reporting Party and Responding Party) to the Title IX Coordinator.

The following resources may be contacted to initiate an investigation into an incident of sexual misconduct:

- **The Title IX Coordinator:** Michael Bauman (312-935-4242; [titleixcoordinator@icsw.edu](mailto:titleixcoordinator@icsw.edu))
- **The President of ICSW:** Michelle Taylor (312-935-4234; [mtaylor@icsw.edu](mailto:mtaylor@icsw.edu))
  - Alternative option for filing electronic complaints: Sebastian Beaudet ([sbeaudet@icsw.edu](mailto:sbeaudet@icsw.edu))
- **The Office of Student Affairs:** Elizabeth Oller (312-935-4245; [eoller@icsw.edu](mailto:eoller@icsw.edu))

If you are in immediate danger, **call 911 for the Chicago Police Department. The non-emergency number for the Chicago Police Department is 3-1-1.** The ICSW Title IX Coordinator can also connect you to the Chicago Police Department. See Subsection E below for more information on reporting to law enforcement.

The privacy of all parties involved in a complaint made to ICSW will be respected. Information related to a report of sexual misconduct or harassment will be shared only with those ICSW employees who “need to know” to assist in the investigation and/or resolution of the complaint. All ICSW employees who are involved in the review, investigation, or resolution of a report are required to participate in specific training regarding the safeguarding of private information.

**B. Information Regarding the Rights of Reporting Parties.** Consistent with applicable State and federal law, upon receiving notice of an alleged Sexual Misconduct Policy violation, ICSW shall provide the Reporting Party with a separate written document listing the Reporting Party’s rights and options under this Policy.

**C. Requests for Confidentiality.** If an individual discloses an incident of sexual misconduct to a non-confidential source, but wishes to maintain confidentiality or requests that no investigation into a particular incident be conducted or disciplinary action taken, ICSW must weigh that request against ICSW's obligation to provide a safe, non-discriminatory environment for all members of the ICSW community, including the individual who has experienced sexual misconduct. In rare instances, ICSW's obligation to provide a safe, non-discriminatory learning and working environment may mean that it is not able to honor an individual's request to refrain from investigation or maintain absolute confidentiality.

ICSW has designated the Title IX Coordinator (Michael Bauman) to evaluate requests for confidentiality. When weighing an individual's request for confidentiality or that no investigation or discipline be pursued, the Title IX Coordinator will consider the following range of factors to determine whether there is an increased risk that the alleged perpetrator will commit additional acts of sexual misconduct:

- whether there have been other sexual misconduct complaints about the same alleged perpetrator;
- whether the alleged perpetrator has a history of arrests or records from a prior school indicating a history of violence;
- whether the alleged perpetrator threatened further sexual misconduct or other violence against the victim or others;
- whether the alleged sexual misconduct was committed by multiple perpetrators;
- whether the alleged sexual misconduct was perpetrated with a weapon;
- whether the alleged sexual misconduct was committed against a minor; and/or
- whether the Reporting Party's report reveals a pattern of perpetration (e.g., via illicit use of drugs or alcohol) at a given location or by a particular group.

The presence of one or more of these factors could lead ICSW to investigate and, if appropriate, pursue disciplinary action pursuant to the formal resolution process set forth in this Policy or other ICSW procedures. If ICSW determines that it cannot maintain an individual's confidentiality, ICSW will inform the individual prior to starting an investigation and will, to the extent possible, limit the information shared during the Complaint Resolution Process.

- If none of the above factors is present, ICSW will likely honor the individual's request for confidentiality. If ICSW honors the request for confidentiality, an individual must understand that ICSW's ability to fully investigate the incident and pursue disciplinary action against the alleged perpetrator(s) may be limited.

**D. Reporting Incidents to Law Enforcement.** ICSW encourages Reporting Parties to report to law enforcement any instances of sexual misconduct that could rise to the level of a crime, and ICSW will assist individuals wishing to do so. A police report must be made before a criminal prosecution can be considered by the local State's Attorney's Office. The chances of successful prosecution are greater if the report to the police is timely.

Reporting Parties have the right to request that law enforcement or the judicial system implement emergency protective restraining orders. ICSW shall assist Reporting Parties who wish to do so. Reporting Parties who receive emergency or permanent protective or restraining orders through a criminal or civil process should notify the Title IX Coordinator. ICSW will work with the Reporting Party and the person who is the subject of the restraining order to manage compliance with the order on campus.

Regardless of whether criminal charges are filed, ICSW will investigate and resolve complaints of sexual misconduct under this Policy where appropriate. Because the standards for finding a violation of criminal law are different from the standards for finding a violation of this Policy, criminal investigations or reports are not determinative of whether sexual misconduct, for purposes of this Policy, has occurred. Conduct may constitute sexual misconduct under this Policy even if law enforcement agencies lack sufficient evidence of a crime and therefore decline to investigate or prosecute.

ICSW's investigation of a complaint shall proceed simultaneously with any law enforcement investigation, except that ICSW may, in some circumstances, defer the fact-finding portion of its Title IX investigation temporarily while law enforcement investigates. In such cases, the Title IX Coordinator shall inform the parties of the need to defer its fact-finding, provide regular updates on the status of the investigation, and notify the parties when ICSW's fact-finding resumes. During this period, ICSW will take any additional interim measures necessary to protect the Reporting Party and the ICSW community.

**E. Medical Assistance.** Regardless of whether an individual who has experienced sexual misconduct decides to report an incident to ICSW or law enforcement, individuals are encouraged to seek immediate medical attention from one of the sources listed below in order to treat physical injuries, test for and treat sexually transmitted infections and pregnancy, and access emergency contraception (if requested).

Under Illinois law, medical personnel are required to alert police when it reasonably appears that the individual requesting the treatment has received an injury sustained as a victim of a criminal offense, including sexual violence. However, it is the individual's choice as to whether he or she wants to speak to the police.

Local medical assistance at a facility with trained sexual assault examiners can be obtained at:

- Northwestern Memorial Hospital, 251 E. Huron Street, Chicago, IL 60611 (312-926-2000)

**F. Evidence Collection.** Even if an individual has not been physically injured, a timely medical examination is recommended so that forensic evidence can be collected and preserved. An individual may choose to allow the collection of evidence by medical personnel even if he or she chooses not to make a report to the police. In order to best preserve forensic evidence, it is suggested that an individual not shower, bathe, douche, smoke, or change clothes or bedding before seeking medical attention, and that medical attention be sought as soon as possible. If the individual decides to change clothes, he or she can bring them unwashed to the hospital or medical facility in a paper bag.



- Under Illinois law, forensic medical examinations (i.e., evidence collection) sought subsequent to instances of sexual violence are free of charge to the patient.
- Individuals who have experienced nonconsensual sexual intercourse or contact, domestic or dating violence, and/or stalking are also encouraged to preserve evidence by saving emails, text messages, instant messages, social networking pages, hard-copy communications, pictures, logs, or other relevant materials establishing facts or chronology.

**G. Amnesty for Sexual Misconduct Reporting Parties and Witnesses.** ICSW encourages reporting of sexual misconduct and seeks to remove barriers to an individual making a report. ICSW recognizes that individuals who have been drinking or using drugs at the time of an incident may be hesitant to make a report because of the potential consequences of their own conduct. An individual who reports sexual misconduct, either as a Reporting Party or third-party witness, will not be subject to disciplinary action by ICSW for his or her own personal consumption of alcohol or drugs at or near the time of the incident, provided that any such violations did not or do not place the health or safety of any other person at risk.

**H. False Reporting or Testimony.** Reports of sexual misconduct that are later found to be intentionally false or made maliciously without regard for truth shall constitute a violation of this policy, and subject the Reporting Party violating the Policy to discipline. Likewise, a third-party witness or Responding Party who intentionally provides false or misleading testimony may be subject to disciplinary action under this Policy. This provision does not apply to reports made or information provided in good faith, even if the allegations in the report or information provided are not substantiated by a preponderance of the evidence at the conclusion of the investigation.

### **INSTITUTIONAL CRIME REPORTING**

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (the "Clery Act"), requires institutions of higher education to compile and publish statistics on certain criminal offenses including, sexual assault (i.e., non-consensual sexual intercourse), domestic and dating violence and stalking that occur on or adjacent to school properties.

Although ICSW strongly encourages everyone to report any crime that occurs on or around campus, the Clery Act requires certain crimes reported to a Campus Security Authority (CSA) be included in those annual statistics. Specifically, the Act defines a Campus Security Authority as:

- A campus police or security department;
- Any individual or individuals who have responsibility for campus security but who do not constitute a campus police or security department...such as an individual who is responsible for monitoring entrance into institutional property;
- Any individual or organization specified in an institution's statement of campus security policy as an individual or organization to which students and employees should report criminal offenses; or
- An official of an institution who has significant responsibility for student and campus activities, including, but not limited to, student housing, student discipline, and campus judicial proceedings.

All crimes reported and documented under the Clery Act will be recorded in an anonymous manner that neither identifies the specifics of the crime or the identity of the Reporting Party.

ICSW is also obligated to issue timely warnings of Clery Act crimes occurring within relevant geography that represent a serious or continuing threat to students and employees (subject to exceptions when potentially compromising law enforcement efforts and when the warning itself could potentially identify the victim/survivor). A Reporting Party under this Policy will never be identified in a timely warning.

### **EDUCATIONAL PROGRAMMING**

ICSW is committed to offering educational programs to promote awareness of sexual, gender and sexual orientation discrimination, including sexual harassment, non-consensual sexual contact and intercourse, domestic and dating violence, sexual exploitation, stalking and retaliation. Educational programs will include an overview of ICSW's policies and procedures; relevant definitions including prohibited conduct; discussion of the impact of alcohol and illegal drug use; consent; safe and positive options for bystander intervention; review of resources and reporting options available for students, faculty and staff; and information about risk reduction.

Incoming students and new employees will receive primary prevention and awareness programming as part of their orientation. Returning students and employees will also have ongoing opportunities for training and education.

### **SEXUAL MISCONDUCT COMPLAINT RESOLUTION PROCEDURES**

ICSW provides a prompt, fair, and impartial institutional resolution to reported allegations of sexual misconduct. ICSW's process is completely separate from the police and courts. Upon receipt of a report or complaint of a violation of ICSW's Sexual Misconduct Policy, the Title IX Coordinator shall review the allegations and determine an appropriate course of

action. Options include:

- Resolving the report or complaint through an informal resolution process (if applicable and subject to the parties' agreement);
- Investigating and resolving the report or complaint through ICSW's formal resolution processes; or
- Determining that the facts of the complaint or report, even if true, would not constitute a violation of ICSW's Policy, and closing the case.

**Resolution Time Frame.** ICSW aims to bring all allegations to a resolution, including the appeals process, within a sixty (60) calendar day time period. This time period can be extended as necessary for good cause by the Title IX Coordinator or other ICSW official upon written notice to the parties of the extension and an explanation of the reason for the extension. The parties are regularly notified by the Title IX Coordinator of the status of the proceedings throughout their duration.

**Title IX Initial Review and Assessment.** Upon receipt of a complaint alleging a violation of ICSW's Sexual Misconduct Policy, the Title IX Coordinator will assess the nature of the report, the safety of the

involved individuals and of the campus community, the Reporting Party's expressed preference for resolution and/or request for confidentiality, and the necessity for any interim measures or modifications to maintain the safety of the Reporting Party or the community. If, during this assessment, it is determined that the alleged conduct, even if true, does not constitute a violation of ICSW's Sexual Misconduct Policy, the complaint will be closed and no further action may be taken. Where there is reasonable cause to believe that a violation has occurred, ICSW will proceed as set forth below. In such cases, the Title IX Coordinator shall provide both parties with a written statement of their rights and options under this Policy.

**Interim Measures and Resources.** Upon receipt of a complaint of alleged sexual misconduct, the Title IX Coordinator will take prompt and appropriate interim measures and/or provide appropriate interim resources to support and protect the Reporting Party and Responding Party and prevent any further acts of misconduct, harassment, or retaliation prior to the final resolution of the complaint. Interim measures may be imposed regardless of whether formal resolution or interim measures are sought by the Reporting Party or ICSW.

Interim measures and resources may include, but are not limited to:

- Referral to counseling and health services;
- Referral to the Employee Assistance Program (employees only);
- Alteration of Responding Party's (and/or Reporting Party's, if he or she desires) class assignments, academic program, or other academic arrangements;
- Modification of work arrangements and/or scheduling;
- Campus escorts and/or changes to campus transportation arrangements;
- "No Contact Orders";
- Orders barring responding parties from campus or facilities or from use of the institutional server; and/or
- Assistance with seeking medical care, seeking civil protective orders, or filing reports with law enforcement.

Different procedures, interim measures, and interim resources may be utilized and appropriate depending upon the constituency (student, staff, or faculty) of the alleged Responding Party. For instance, where the alleged Responding Party is a student or student organization and considered a threat to persons or property, the Dean of Students may impose interim measures such as suspension and/or loss/cancellation of other privileges prior to or during an investigation and determination. Similarly, where the Responding Party is a staff or faculty member, ICSW may impose interim measures such as temporary suspension from employment or paid or unpaid leave.

Interim measures will be kept confidential to the extent that maintaining such confidentiality would not impair the ability of ICSW to provide the interim measures. ICSW will provide written notification to students and employees about existing counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, student financial aid, and other services available for victims by ICSW and in the community. Students and employees also will be provided with written information about options for requesting changes to academic, living, transportation, and working situations or protective measures, as well as a copy of ICSW's sexual misconduct policy and complaint resolution procedures. They will also be informed that ICSW shall make such accommodations or provide such

protective measures if the victim requests them and if the accommodations are reasonably available, regardless of whether the victim chooses to report the crime to campus police or local law enforcement.

Violation(s) of a directive and/or protective action issued as an interim measure may result in disciplinary action separate from any sanctions issued for a determination of sexual misconduct and may form the basis for discipline, including dismissal from the Institute or non-renewal of a faculty contract.

- **Advisors.** The Reporting Party and Responding Party are both entitled to bring an advisor of their choice, at their expense, to any meeting or interview in connection with a complaint of sexual misconduct. The advisor may be a friend, professor, mentor, family member, attorney, or any other supporter a party chooses to advise them, except that individuals who will be serving as witnesses may not serve as advisors.
- ICSW cannot guarantee equal advisory rights, meaning that if one party selects an attorney as an advisor, but the other party does not, or cannot afford an attorney, ICSW is not obligated to provide one. However, the role of the advisor is for support only and therefore, non-participatory. In other words, the advisor may not speak for the Reporting Party or Responding Party nor draft any statements on their behalf. An advisor who disrupts or otherwise fails to observe the limits of the advisor role will be asked to leave the meeting, and the meeting will continue without the advisor present. Subsequently, the Title IX Coordinator will determine whether the advisor may be reinstated or replaced.
- Both parties shall receive timely written notification of meetings at which they are required to be present. Therefore, ICSW reserves the right to proceed with a pre-arranged meeting or interview regardless of the advisor's availability. Advisors are expected to maintain the privacy of any records shared with them during the process. Such records may not be shared with third parties, disclosed publicly, or used for purposes not explicitly authorized by ICSW. ICSW may seek to restrict the role of any advisor who fails to abide by these privacy expectations.

### **Informal Resolution**

Where appropriate, ICSW will work to informally resolve complaints by taking immediate and corrective action to stop the sexual misconduct, address its effects, and prevent recurrence without a formal investigation and determination of Policy violation. Informal resolution may include the range of interim measures set forth above, as well as targeted and/or broad-based training and educational programming for relevant individuals and groups, and/or any other remedy that will achieve the goals of this Policy. In some circumstances, mediation or joint conflict resolution may be appropriate; however, mediation or face to face meetings will not be used to resolve allegations of non-consensual intercourse or contact or other sexual violence. Participation in informal resolution is entirely voluntary and either party can request to end informal resolution and initiate the formal resolution process at any time.

### **Formal Resolution**

**1. Investigation.** When a complaint cannot be resolved through the informal resolution process, a formal resolution will be initiated. Formal resolution includes a prompt, thorough, impartial and fair investigation:

- In most instances, the investigation shall be conducted by the Title IX Coordinator and takes between 20-40 calendar days. Should the Title IX Coordinator have a conflict or it is otherwise determined appropriate, the investigation will be assigned (by the Dean of Students, in the case

of a complaint against a student, or by the President, in the case of a complaint against a faculty or staff member) to an appropriate alternate investigator who has received training regarding the investigation of, and other issues relevant to, non-consensual sexual intercourse and contact, sexual exploitation, domestic and dating violence, stalking, and other misconduct covered by this Policy, including on how to conduct an investigation that protects the safety of victims and promotes accountability, and who does not have a conflict of interest or bias. Parties will be notified, in writing, should the time line need to be extended to accommodate the investigation.

- Investigations may include one or more interviews with the Reporting Party, Responding Party, and any other witnesses deemed by the Title IX Coordinator (or other investigator) to have potentially relevant information. Investigations may also include the gathering of physical, documentary and/or other relevant evidence. Additionally, Reporting Parties and Responding Parties may provide written statements, identify and/or present statements from fact witnesses, or submit any other evidence that the Title IX Coordinator (or other Investigator) deems relevant. Reporting and Responding Parties may have advisors present when interviewed and at any other meetings with the investigator or ICSW that occur during the investigation. Timely notice shall be provided to Reporting Parties and Responding Parties of all meetings at which they may be present, and both parties will be provided with timely and equal access to information.
- If at any point during the investigation it is determined there is no reasonable cause to believe that ICSW policy has been violated, the Title IX Coordinator has authority to terminate the investigation and close the case with no further action.

**2. Prior Sexual History.** In general, a Party's prior sexual history is not relevant and will not be admitted as evidence during an investigation. However, where there is a current or ongoing relationship between the Reporting Party and the Responding Party, and the Responding Party alleges that consent was given, the prior sexual history between the parties may be relevant to assess the manner and nature of communications between the parties. As noted in this Policy, however, the mere fact of a current or previous dating or sexual relationship, by itself, is insufficient to constitute consent. Any prior sexual history of the Reporting Party with other individuals is typically not relevant and will not be permitted except under very limited exceptions.

- In gathering the facts, the Title IX Coordinator (or other Investigator) may consider prior or subsequent allegations of, or findings of responsibility for, similar conduct by the Responding Party only to the extent such information is relevant.

**3. Investigative Report.** After the investigation has been completed, the Title IX Coordinator (or other Investigator) will prepare a final Investigative Report:

- The report will summarize the evidence collected and analyze the relevant facts determined through the Investigation, referencing any supporting documentation or statements. The final Investigative Report will include summaries of interviews with the Reporting Party, Responding Party, third-party witnesses, and any other individuals with relevant information and will also

include credibility assessments as appropriate. Additionally, if such information is available and relevant, the Investigative Report shall include photographs, physical evidence, electronic records, and/or forensic evidence.

- Before the report is finalized and a determination of responsibility has been made, the Title IX Coordinator shall forward to each party a summary of the party's own interview(s) for review. The Reporting Party and Responding Party may submit any additional comments, evidence, or suggested factual correction to the Title IX Coordinator (or other Investigator) within three (3) business days of the date on which they were provided with their interview summaries. Both Parties will also be provided an opportunity to comment in writing on the investigator's preliminary findings prior to final action upon an investigation report.
- Upon receipt of any additional information or written comments by the Reporting Party and/or Responding Party, or after the three (3) day period has lapsed without comment, the Title IX Coordinator (or other Investigator) will incorporate any additional information and make one or more findings, incorporated into the final Investigation Report, as to whether there is sufficient information to substantiate by a preponderance of the evidence that a Policy violation has occurred. The final Investigative Report will include the determination of responsibility and the rationale for such determination, and these findings shall be reported to the Reporting Party and Responding Party simultaneously. If a finding of Policy violation is made, the report shall also be forwarded to the designated Institute sanctioning official, as set forth in subsection G below, for further proceedings or issuance of sanctions.

**4. Standard of Proof.** The Investigator will determine whether the Responding Party committed a violation of this Policy by a preponderance of the evidence standard. A preponderance of the evidence means whether the information provided during the investigation supports a finding that it is "more likely than not" that the Responding Party violated this Policy.

**G. Sanctions and Remedies.** If the Investigator finds, based on a preponderance of the evidence, that the Responding Party violated this Policy, the final Investigative Report will be forwarded to the appropriate sanctioning official for determination of sanction or further proceedings as set forth below. Each designated sanctioning official shall receive annual training regarding issues related to sexual misconduct as defined in this Policy, as well as sanctioning guidelines consistent with relevant federal law and regulation.

- When the Responding Party is a student, the Dean of Students or designate will determine the appropriate sanction and any other corrective actions.
- When the Responding Party is a faculty member, the Dean of Academic Affairs or designate will determine the appropriate sanction and any other corrective actions.
- When the Responding Party is a staff member, the appropriate sanction and any other corrective actions will be determined by the Vice President, Finance and Operations.

The disciplinary sanctions for sexual misconduct include:

- verbal or written warning

- mandatory educational programming
- community service
- probation
- “no-contact” orders; orders barring individual from trespassing upon buildings or ICSW’s server or facilities
- removal from programs/activities/leadership positions
- reduction in salary or rank
- suspension from school or employment (with or without pay, in the case of employees)
- dismissal, non-renewal, or other separation from studies or employment at ICSW

Additional corrective actions may also include those accommodations set forth in the Interim Measures Section (Subsection C above) and other broad-based remedial action.

Not all forms of sexual misconduct are equally serious offenses. Therefore, the designated sanctioning official may impose whatever sanction from the above list he or she believes is fair and proportionate to the finding of sexual misconduct, and may consider any record of past violations of this Policy, as well as the nature and severity of such past violation(s), when making a determination of sanctions. The sanctioning official shall also determine whether the sanction shall be implemented immediately or will be stayed if a party appeals the determination.

Within five (5) days after receiving the Investigative Report, the sanctioning official will notify both parties simultaneously, in writing, the sanctions issued, the date the sanctions shall be implemented, and relevant information regarding the appeals process. The sanctioning official will also provide a copy of the sanction notice to the Title IX Coordinator.

**H. Withdrawal or Resignation While Charges Are Pending.** Student/Responding Parties with cases pending under this Policy may not withdraw during a proceeding and remain in good standing with ICSW. Rather, should a Student/Responding Party decide to withdraw from ICSW and not participate in the investigation and other portions of the procedures set forth herein, the investigation process will nonetheless proceed in the Student/Responding Party’s absence, an adverse inference may be drawn from the Party’s non-cooperation, and the Student/Responding Party will not be permitted to return to ICSW or regain good standing until any sanctions issued and other appropriate conditions have been satisfied. Likewise, should an employee or faculty member resign during an investigation into his or her conduct and decline to cooperate, the investigation process will be completed nonetheless, an adverse inference may be drawn, and the employee may be barred from further ICSW employment or from the premises pending resolution of the investigation and satisfaction of any sanctions and other appropriate conditions.

**I. Responding Party Failure to Complete Sanctions.** Student-Responding Parties who fail to complete assigned sanctions may be placed on academic hold and prohibited from registering for classes, acquiring transcripts, accessing student accounts, and obtaining grade reviews. Employees who fail to complete sanctions are subject to additional discipline, up to and including separation from employment or non-renewal of faculty position.

**J. Appeals.** Either party may appeal the final Investigative Report determination and/or the sanctions issued by the designated sanctioning official by submitted a written request for appeal, with supporting documentation, to the President of ICSW, Michelle Taylor (contact information: 312-935-4240; [mtaylor@icsw.edu](mailto:mtaylor@icsw.edu)), within five (5) calendar days of the date of the appealing party's receipt of the final Investigative Report or Notice of Sanctions, whichever is later. Appeals will only be considered on the following three grounds:

- *The existence of procedural error(s) significant enough to alter the outcome;*
- *Existence of new and significant evidence which was not reasonably available at the time of the initial investigation and would likely alter the outcome; and/or*
- *The sanctions imposed are substantially disproportionate to the violation.*

Mere disagreement with the investigation findings is not a basis for appeal.

Within three (3) calendar days of receiving a request for appeal, the President or designate will notify the parties in writing about the filing of the appeal and also about whether the notice provides adequate grounds for appeal under this Policy.

If the President or designate decides to consider the appeal, the party who did not initiate the appeal will have five (5) calendar days from the date of notification to submit a written response (and relevant supporting documentation) to the appeal. The President or designate may request other information from the parties and may also consider other information or materials. If the President or designate considers anything that may affect the outcome of the appeal but to which the parties have not had access, the parties will first be provided access and an opportunity to comment in writing upon the additional information.

In any request for an appeal, the burden to demonstrate procedural error, new evidence or disproportionate sanctions lies with the party requesting the appeal. The President or designate may resolve a request for appeal as follows:

- *Deny consideration of the appeal because the reason for appeal does not fall within the three stated grounds for appeal;*
- *Uphold the original finding and/or sanction;*
- *Remand the case to the original investigator for consideration of new evidence and issuance of a new determination;*
- *Appoint a new investigator where significant procedural error may have occurred during the course of the original investigation; or*
- *Refer the case back to the sanctioning official for reconsideration of the sanction (with or without recommendations).*

The President or designate will make a determination on appeal within ten (10) calendar days of receipt of the appeal materials, including the response of the non-appealing Party and will notify the parties simultaneously in writing of the outcome of the appeal within three (3) calendar days of the date of that determination. In extraordinary circumstances, the timelines set forth in this appeal subsection may be extended by the Title IX Coordinator for good cause. Appeal decisions are final.



Those ICSW personnel involved directly in the investigation and appeal process shall receive training regarding issues related to sexual misconduct as defined by this Policy and guidance for conducting investigations and appeals in a way that protects the rights of all parties and promotes institutional accountability.

**K. Conflict of Interest.** ICSW requires employees participating in the investigation, sanctioning, or appeal processes to disclose any potential or actual conflict of interest. If a Reporting Party or Responding Party believes that any individual involved in the process has a conflict of interest and should not participate, he or she should communicate this concern in writing to the Title IX Coordinator (or, if the Title IX Coordinator is the individual believed to have a conflict, to the Dean of Students or Vice President, Finance and Operations). Where a party believes that the party believes that the sanctioning official has a conflict of interest, a written request to replace the sanctioning official shall be made to the President of ICSW.

In all cases, requests to replace an individual due to conflict of interest must be submitted within three days (3) of a party's notice of the conflicted individual's participation. The written request must include a description of the conflict. If it is determined that a conflict of interest exists, ICSW will address the conflict to ensure an impartial process.

**L. Non-Disclosure Agreements.** ICSW will not require nondisclosure agreements, in writing or otherwise, that would prevent Parties from re-disclosing information related to the outcome of the proceeding or from reporting concerns to an external agency. ICSW will, however, take all reasonable steps to ensure that the Institute itself maintains appropriate confidentiality of investigations and appeals, which ICSW believes to be most conducive to prompt and equitable resolution of complaints and therefore in the best interests of the ICSW campus community.

# ADMINISTRATIVE POLICIES & PROCEDURES

## Section 5.0

### Collection Policy

Balances on student accounts must be paid in full one week after financial aid has been disbursed; financial aid is typically disbursed on a Monday two weeks into the semester so all accounts should be settled or put onto a payment plan by that Friday. The below highlights ICSW's escalation processes for obtaining funds due on accounts that have not met institutional policies:

- 1) Account must be paid off before graduation
- 2) Payment plans can fall on a 10-month or 12-month basis and must be paid in full by June 30 of the given academic year

Any student that has an outstanding balance with ICSW, or is delinquent in making payments per a previously agreed upon payment plan, cannot do any of the following:

- Register for classes or for CEUs
- Register for consultation in the Clinical Practicum
- Register for consultation in the Research Practicum
- Schedule or hold a Case Presentation
- Schedule or hold a dissertation proposal defense
- Schedule or hold a dissertation defense
- Receive copies of transcripts
- Graduate

### Registration

Each student is required to register a minimum of two weeks before the first day of classes of each semester for coursework. Full time students must register for all of the classes in their course schedule, including clinical practicum. Part-time students must register through the Director of Academic Administration. **All students must register and track their own meetings for clinical consultation in the Time2Track system.**

Once registered, it is the student's responsibility to confirm their schedule is correct. All corrections and concerns should be directed to the Director of Academic Administration.

### Tuition Refunds for Withdrawal

Refunds of tuition are authorized after a student has officially withdrawn from the program. Withdrawal requires written notification to the Dean or the Director of the Master's Program by the student.

Refunds of tuition are determined as follows:

- Withdrawal on the first day of the semester - 100% refund
- Withdrawal after the second class has met - 50% refund
- There is no refund following the third class

If a student drops a class but intends to continue with the program, these same rules apply; however, instead of a refund, the student will receive credit towards a future class.

In addition, if you have borrowed student loans for the semester in which the withdrawal takes place, a percentage of your loans will be returned to the lender. For more information regarding the return of Title IV loans, please go to the admissions section of the website and view the Financial Aid Policies and Procedures manual.

### Audit of a Class

ICSW students and alumni are eligible to audit any class that is offered within their program, with the instructor's permission. Charges for auditing depend on the status of the person making the request.

Status	Charge
Student	Free
Advanced Student	\$250
Alumni	\$500
Faculty	Free
Other	\$750

Students in a different program may audit any class that is offered with both the Dean's consent and with the instructor's permission. The charge for auditing will be \$750 per class.

### Status Changes

#### Leave of Absence

A student may request a leave of absence from the program when circumstances prohibit continued enrollment. Such requests are submitted in writing to the Academic Dean or the Director of the Master's Program explaining the reason for the request. The maximum time for approved leave status is one year.<sup>1</sup> If a student on-leave does not return after their leave is over, or does not apply and receive permission for an extension, they risk being listed as "withdrawn" from their program. Students considering asking for a Leave of Absence should know, if they are receiving Federal financial aid, that Federal guidelines may require the beginning of repaying outstanding loans during the Leave.

Tuition paid prior to an approved leave of absence, and not yet utilized, will be held and credited to the student's tuition when he/she returns to the program. During a leave of absence, the student may not continue to receive clinical, independent study, or dissertation consultation begun and paid for prior to the beginning of the leave. The student may not initiate any new consultation or independent studies while on leave.

Advanced students in the Doctoral Program are not ordinarily eligible for leave. Under extreme conditions, a leave may be granted by the Dean, in consultation with the Dean; however, the student will not be able to continue in any activities related to the program until the student returns to active status.

### Changes between Programs

#### Change to/from Distance/Onsite or Full-Time/Part-Time Status

Students wishing to change from the modality or status of their program must obtain the written permission of the Academic Dean or Director of the Master's Program, plus complete a "Change of Status" form and submit it to the Director of Academic Administration prior to registration. Written support may be requested from the student's advisor, instructors or clinical consultants.

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<sup>1</sup> Leave status does not extend the maximum length of time a student may remain in the program from the time he/she first enrolls.

## Returning Students

Students who have taken a Leave of Absence or who have changed their status to Inactive and who wish to complete any academic program may be considered for Active Status by taking the following steps:

- The student must first contact their program director discuss his/her desire to complete the program
- A file review will be conducted with the student to determine outstanding course or Practicum work
- A progression committee meeting may be scheduled to discuss the student's request
- The student may be required take additional courses or retake key courses depending on the amount of time lapsed and evidence of capacity as reflected in prior and recent work. This includes clinical and research practica.
- The student may be readmitted under a Probationary Status and/or be given timelines for task completion
- All financial obligations to ICSW must be paid in full prior to reactivation of student status
- The Academic Dean or Director of the Master's Program must approve the petition to return
- Once approved, students must fill out a "Change of Status" form and submit it to the Director of Academic Administration and the Director of Communications and Financial Services prior to re-enrolling.

## Academic Probation

Academic probation will be invoked if:

- a. A student's cumulative grade point average falls below 3.0
- b. A student receives 2 C's
  - i. Upon review by the Progression Committee (which determines academic probation), the student may be required to retake one of the courses in which the student received
  - ii. This is to be sure the student has had the chance to learn and more fully master the course material. If the student remains on probation after one course has been retaken, the other C course may also need to be retaken.
- c. A student demonstrates unsuitability for the program, including but not limited to: ethical violations; academic integrity violations; evidence of difficulties in formulating clinical thinking or in treating clients; failure to demonstrate adequate complexity or depth of thought; unprofessional behavior, etc.
- d. A student is unable over a semester to improve the circumstances that led to that student's going through a process of Remediation, as specified under Student Progression policies.
- e. A student cannot remain on probation longer than one year. If probationary conditions remain, the student will be referred to progression.

Students on academic probation must work out a plan, submitted to the Dean, to remedy the problem. Students on academic probation may not defend a dissertation proposal or make their case presentations. Students on academic probation must meet with the Director of Academic Administration and receive the Dean's written permission to register for any courses until they are no longer on academic probation.

## Dismissal from the Program

Any student who receives one failing grade for academic coursework will be referred immediately for progression review and may be dismissed from the program. Failing grades in the research or clinical practica will be referred to the Progression Committee for a hearing.

Students have two chances to pass both the Case Presentation and the Qualifying Theory Exam. Failure to pass both will result in dismissal from the program.

Students may be dismissed from the program for violations of ethics or for extreme or un-remediated, unsuitable conduct. Students may also be dismissed if they fail to meet the conditions imposed to lift Academic Probation within one year of being placed on probationary status.

Prior to dismissal, on any grounds, the concerns may be brought to the Progression Committee for discussion and recommendations.

## Academic and Professional Conduct Violations

### Plagiarism Policy

Plagiarism is unacceptable at any time and constitutes a severe academic violation. When plagiarism is suspected, students may be asked to submit their papers electronically to a third-party plagiarism detection service. If a student is asked to submit the paper and refuses to do so, the student must provide proof that all work is correctly cited and/or original. Papers that are determined to contain plagiarism will receive a failing grade, and the student will be referred to the Progression Committee and the Academic Dean.

*Plagiarism Defined:* "Plagiarism takes many forms but falls into three main categories: using a source's language without quoting, using information from a source without attribution, and paraphrasing a source in a form that stays too close to the original" (Yale Writing Center, 2014). If a student has any question about what constitutes plagiarism, please contact the Academic Dean.

*Reusing Your Own Work:* Cutting and pasting from or resubmitting a paper written for an earlier purpose or class is a form of academic dishonesty commonly referred to as "self-plagiarism." It is allowable to quote from your own earlier work, but the material is subject to the same rules of citation that govern all academic writing.

In addition, students may not use the same assignment content to fulfill different course requirements. If a paper is submitted to a course that is closely related to a paper submitted for another course, it is suggested that the student cite the paper. (Example: paper submitted for SOWK 000, Instructor: Sherwood Faigen, Semester: Spring 2012)

### Academic Dishonesty

In classroom work, Practicum, Independent Studies, and/or dissertation, the following will be considered incidents of academic dishonesty:

- Representing any work of another person, including materials from the professional literature, as one's own product and achievement
- Misrepresenting interactions with clients in written or oral presentations, representing interactions with clients that did not, in fact, happen, or presentation of any untrue statements in such materials, with the exception of disguising confidential information for the purpose of protecting the client's privacy

- Failing to adhere to the guidelines set forth by the committee on Human Subjects Research in projects conducted in connection with work at ICSW

### **Procedures for Handling Incidents of Academic Dishonesty/Plagiarism**

- The faculty member who suspects academic dishonesty must immediately notify the Dean.
- An assessment of the grounds for suspicion will be made by both the Dean and faculty member.
- If there are substantial grounds, the student's advisor will be notified.
- The student will be informed of the suspicion in a private, in-person discussion between the faculty member and the student as soon as it can be arranged.
- After the discussion, the faculty member, the Academic Dean and the advisor determine if further steps need to be taken to evaluate the suspicion (such as submitting the paper to a third-party plagiarism detection service) or if the suspicion is unfounded.
- If the suspicion is unfounded, the faculty member will inform the student of the determination by phone or in person.
- The Dean must approve any steps to be taken to evaluate the suspicion.
- The student will be informed of the steps to be taken and the results of the steps by the Dean.
- If the suspicion is confirmed, the faculty member, advisor and Director will discuss the possible consequences.
- If academic dishonesty is confirmed, the assignment will receive a failing grade.
- Possible consequences for academic dishonesty include failing the course, expulsion and suspension.
- The Progression Committee is responsible for recommending any further consequences to the Dean, who must approve them. The committee will determine who will inform the student of the consequences in person.

All steps taken, results, committee proceedings, and meetings with the student will be documented by the Academic Dean and placed in the student's file. The student will be informed of the steps to be taken, the results and the consequences in writing.

### **Progression Policy**

The following outlines the policies and procedures for ICSW's progressive response with regard to issues and concerns about students' academic and clinical performance. This response is primarily the responsibility of the Progression Committee, whose members include the Academic Dean, Director of the Master's Program, Dean of Students, and the Director of Academic Administration.

#### Semester-end Review

After the end of each semester, the Director of Academic Administration will review all students' files and transcripts. Students who move into probationary status, or who show lack of progress in the clinical practicum will be notified by email.

#### Protocol for Referring to the Progression Committee

If a member of the faculty becomes concerned about a student's performance (whether in the role of instructor, consultant, dissertation chair, or dissertation committee member), that faculty member is required to contact the Academic Dean in writing.

Upon receipt of the referral, the Academic Dean shall determine how to respond. All responses will be documented and placed in the student's permanent file. Performance concerns may include issues such as: concerns about the student's classroom behavior; interpersonal difficulties among cohort members or between instructors and students; decreased attendance or frequent late attendance; dropping grades or consistently poor grades; difficulty either in understanding or communicating clinical or academic material, etc.

Issues that automatically trigger both academic probation status (see "Academic Probation," p. 42) and students' referral to the Progression Committee are:

- Cumulative grade point average falls below 3.0
- More than one "C" letter grade
- Failing a course
- Failing a Practicum requirement
- Demonstrated unsuitability for the program, including but not limited to: ethical violations; academic integrity violations; evidence of difficulties in formulating clinical thinking or in treating clients; failure to demonstrate adequate complexity or depth of thought; unprofessional behavior, etc.

After receiving the referral in writing, the Academic Dean will consult with the referred student's academic adviser and/or FCC and (In the event that the Dean is also the student's adviser or FCC, the Academic Dean and/or adviser/FCC will serve in the remedial role.) Next the Academic Dean will meet with the referred student about the issues and concerns expressed. Depending on the level of the concern, in the role of Progression Committee Chair, the Dean may follow one of two models of progressive intervention:

#### 1. *Remediation*

- The Dean will meet with the student and present the concerns/issues that have been identified, and will ask the student for her/his perspective.
- Then the Dean shall then draft a plan comprising the steps that the student must take, how those steps will be monitored, and who has responsibility for completing each step.
- The student shall sign the plan, which will be placed in his/her file. The Student has the right to appeal this plan to the Progression Committee.
- The Dean may be in contact with the student twice during each semester to review progress, obtain input from the students' instructors about the student's progress twice during each semester, and may require additional meetings with or other forms of communication with the student to monitor the student's progress. All contacts will be documented and kept in the student's file.
- The student's failure to follow through on this plan will result in the student's being moved to the next level of Progression, which is the holding of a Student Progression Hearing.
- Regardless of whether or not the student follows the plan, the student will be moved to the next level of Progression should the specified concerns fail to be remedied.

#### 2. *Student Progression Hearing*

If the student's performance in the program is deemed deficient (including, but not limited to, having received more than one C as a course grade, etc.), including circumstances in which either or both levels of student progression monitoring have been unsuccessful in helping the student to remedy the

identified deficiencies, the Dean will refer the case to the Progression Committee, which shall hold a Progression Hearing, to be chaired by the Dean. The hearing will require the attendance of the student in question, plus either that student's academic adviser (if the issue relates to coursework) or the student's adviser or (FCC) (if the issue relates to the Clinical Practicum), plus the Dean, the Director of the program involved, and Dean of Students. The student may invite any relevant party to the Progression Hearing. At least one week in advance of this hearing, the student shall write a response to the referral, outlining the student's view of the difficulty and provide documentation for these assertions. The goal of this hearing will be to present the administration's concerns, and determine whether the concerns can be remedied, or, if it deems that no reasonable remedy is possible, whether the student's enrollment status shall be changed.

The outcome of the Student Progression Hearing may fall into one of two categories:

1. *Consultation and Remediation*: the Progression Committee shall assess the student's performance, and, if it determines that remediation is possible and desirable, the Progression Committee shall develop a remediation plan. The plan shall be presented to the student, her/his academic adviser or FCC, and the Chair of the Progression Committee for signature. All parties must sign this plan with 10 days of the date specified on the plan. The Progression Committee shall determine, as part of the hearing's outcome, a date by which to evaluate the student's progress remedying the deficiencies that have been identified.
2. *Status Disposition*: The student's performance and remedial actions shall be formally assessed by the Progression Committee, which shall determine the student's status at ICSW. The outcome of the hearing shall include: extending, altering and monitoring academic probation, intermittence from the program, or dismissal from the program. Please see the "Academic Probation" and "Dismissal from the Program" sections in this manual.

The student has the right to appeal the decision of the Progression Committee to the Academic Dean for the following reasons:

1. The student has documented reason to believe that the progression process outlined above has not been followed.
2. The process itself was conducted in a prejudicial or unfairly biased manner.
3. The process was based upon factual errors.

The student must appeal the decision of the Progression Committee by the end of the semester following the Committee's decision.

The Academic Dean shall review the student's file and then meet with the student, who at that time will present her/his case. The decision of the Academic Dean shall be considered final.

### **Violation of Ethics Codes**

Any doctoral student found guilty of a violation of the National or State Association of Social Workers or Illinois Society of Clinical Social Workers Codes of Ethics by the appropriate professional body or of any conduct which violates any commonly recognized or generally accepted professional standard of the profession, shall be subject to dismissal from ICSW's program. The same will be true of any master's student found guilty of a violation of the American Counseling Association Code of Ethics, or of any conduct which violates any commonly recognized or generally accepted professional standard of the profession.



## Violations of Laws

Any student charged with fraud or malpractice under local, state, or federal laws for conduct related to social work employment or practice (or charged with a felony or more serious offense) may be given a leave of absence without prejudice until there is an official ruling on the charges.

## Violations Procedures

The following procedures will take effect whenever a student is charged with the violation of any of the areas of professional conduct:

- The student will first discuss the matter directly with the person(s) involved and attempt a resolution. The student's advisor and the Dean must be notified of any charges.
- The matter will be referred to the Progression Committee for review and recommendations. The student, the student's advisor, and the Academic Dean must be notified in writing of the recommendations.
- Should the matter still not be resolved, the student may request a review by the Dean. The Dean will meet with all parties involved and will make a recommendation. These meetings shall be recorded for future reference. Copies of these recordings will be forwarded to all parties involved.
- Should the matter not be satisfactorily resolved, the student may file a grievance with the Dean.  
*Grievance procedures:*
  - Upon receipt of a written statement indicating the grounds for a grievance, the Dean will, within 30 days, appoint a three-person panel to hear the complaint. The composition of this panel shall be as follows: One person will be selected by the Dean, one person by the student, and the third, who is to chair the panel, will be named by the other two members of the panel. The members of the panel will be selected from within the faculty and/or student body of ICSW. The panel will review all relevant documents and minutes of prior meetings on the matter and will then conduct a hearing. The first hearing is to be held no later than 45 days from the time the panel has been fully constituted. Hearings shall be recorded.
  - The student shall have the right to appear before the panel and to present his/her case.
  - At the conclusion of the hearing(s), the committee will prepare a written statement with its recommendation to be submitted to the Dean within 30 calendar days from the conclusion of the hearings. The recommendations of the panel shall be binding on the parties involved.
  - Upon receipt of the recommendation, the Dean will notify the student in a timely fashion of the panel's action.

# ACADEMIC POLICIES AND PROCEDURES

## Section 6.0

### **Commitment to Free Expression and The Free Exchange of Ideas at ICSW**

The purpose of this policy is to protect and enhance the free exchange of ideas, the right to free expression at ICSW, subject to limitations on unlawful/unprotected speech and to clearly stated, reasonable, and nondiscriminatory rules regarding time, place, and manner. All persons on the ICSW campus, including members of the ICSW community and visitors or guests, are protected by and subject to freedom of speech laws and this policy. In permitting the exercise of free speech, ICSW does not sponsor or sanction the messages stated or the methods of speech used, unless expressly stated otherwise.

#### **I. ICSW General Policy and Scope of the Policy**

Free expression and the free exchange of ideas are central to the goals of a teaching institution, and certainly central to ICSW's core mission. As such, ICSW is committed to protecting and enhancing the free exchange of ideas, including artistic expression, subject to limitations on unlawful/unprotected speech and also to clearly stated, reasonable, and nondiscriminatory rules regarding time, place, and manner (as described in Section II below). All persons on the ICSW campus, including members of the ICSW community and visitors or guests, are protected by and subject to this policy as further set forth below. In permitting the exercise of free expression, ICSW does not sponsor or sanction the messages stated or the methods of speech used, unless expressly stated otherwise.

This policy applies to the free exchange of ideas in the classroom. Discussion and expression of all views relevant to the subject matter of a class, even if those views are unpopular, are recognized as central to the educational process. Faculty will evaluate students solely on academic bases reasonably related to legitimate pedagogical concerns, and not on student opinions or conduct unrelated to the academic standards of a course. A faculty member also enjoys the right to exercise free expression in his or her capacity as a citizen, and ICSW will not review such expressions of ideas or viewpoints except in the rare circumstance in which such communications seriously undermine the faculty member's fitness to serve the ICSW community.

#### **II. Limitations**

Nothing in this policy shall be construed as protecting, authorizing, or condoning the following unlawful or otherwise unprotected speech: (a) obscenity; (b) child pornography; (c) defamation; (d) speech that by its very utterance tends to incite an immediate breach of the peace by the hearer; (e) speech that incites or produces imminent lawless action and that is likely to incite or produce such action; (f) speech that creates a hostile environment within the meaning of Title IX of the Educational Amendments of 1972, Title VII of the Civil Rights Act of 1964, or other applicable civil or human rights laws; (g) speech that substantially disrupts, obstructs, or interferes with classes, teaching, the use of offices, or other

activities related to teaching, administration, or operations of ICSW; (h) speech that damages ICSW or the private property of any other entity or individual; or (i) speech that discloses the confidential, private, or proprietary information of ICSW or others without appropriate authorization.

In addition, faculty members have the right to limit classroom discussion and topics of discussion to those deemed reasonably related to the subject matter of the class. Student rights to free expression do not include impinging on the ability of instructors to teach or the rights of other students to learn, and neither faculty members nor ICSW will permit interference with or disruption of classes.

Students or employees who violate this policy or its referenced procedures are subject to ICSW discipline, up to and including dismissal from the institution or employment. All persons who violate this policy may also be directed to leave campus, may be barred from campus, and may be subject to criminal trespass laws in the event of failure to comply.

### **III. Relationship of Free Expression to Academic Freedom.**

In addition to promoting free expression, ICSW recognizes the distinct right to academic freedom enjoyed by ICSW faculty. Academic freedom describes a set of rights relating to teaching, research, and speech undertaken as a private citizen. The parameters of ICSW's Academic Freedom Policy are described in the Articles of Academic Governance.

For purposes of this Policy, it is important to note that a faculty member enjoys a broad freedom to exercise free expression in his or her capacity as a citizen. ICSW will not review such expressions of ideas or viewpoints except in the rare circumstance in which such expressions or viewpoints seriously undermine the faculty member's fitness to serve the ICSW community. In such circumstances, any such review will be conducted pursuant to, and discipline will be preceded by, appropriate faculty review processes set forth in the Articles of Academic Governance.

### **IV. Speakers**

Speakers invited or sponsored by ICSW shall be permitted free expression of their opinions and viewpoints to the fullest extent consistent with the Limitations set forth in Section II above. ICSW also deeply values and models respectful and collegial treatment of such presenters, even those who take positions that may be controversial or challenging to the ICSW community. The ability of presenters to speak, and of audiences to hear a presenter speak free from undue disruption and interference, shall therefore be protected.

ICSW reserves the right to determine who will be invited to speak on campus and must approve all invitations to speak at faculty, staff, or student events that occur on campus or under the auspices of ICSW. ICSW also reserves the right to revoke prior invitations, cancel speaking events, remove presenters, or terminate presentations where ICSW has a reasonable concern that the Limitations set forth above will not be observed or that safety and order cannot be maintained.

### **V. Gatherings, Protests, and Demonstrations**

To facilitate robust debate and the free exchange of ideas, ICSW recognizes that peaceful gatherings, protests and demonstrations are legitimate means of expression and are permitted subject to the following limitations. Specifically, no such gathering, protest, or demonstration:

- 1) May take place in indoor rooms/areas where quiet or reflection may be expected by those using these rooms/areas;
- 2) Will be permitted if it is violent or if it threatens to turn violent or threatening to the safety and security of ICSW or individuals, in the reasonable opinion of ICSW administrators or law enforcement;
- 3) May disrupt the function of ICSW, interfere with the rights of other members of the ICSW community, or damage ICSW or private property.
- 4) May violate campus or legal limitations regarding unlawful/unprotected speech, as set forth in Section II above;
- 5) May be undertaken without being scheduled in advance and subject to reasonable time, place, and manner restrictions, which prior scheduling is required to ensure lack of disruption of teaching, meetings, or ICSW operations; or
- 6) May be permitted if it does or may violate City ordinances or procedures for outdoor street gatherings.

#### **VI. Posting of Signs, Notices, Posters, and Banners; Leafletting and Commercial Solicitations**

Unless expressly designated for broader use, bulletin boards, easels, and computers maintained by ICSW, and all walls, doors, whiteboards, chalkboards, windows, and other areas within classrooms, are reserved exclusively for official ICSW communications and are not available for posting of general information or speech. Likewise, the ICSW website is reserved for official ICSW communications; except in designated portions of the website or electronic communications that invite comments or interaction, ICSW's website may not be used to post information or engage in speech that does not represent official communications of ICSW.

Messages or slogans of any kind shall not be painted, hung, distributed, or otherwise written on buildings, windows, sidewalks, walls, or other structures or surfaces, or on the personal property of others. Leaflets and commercial solicitations or appeals may only be circulated or distributed, whether in hard-copy form within the Building or through use of ICSW's email system, upon prior written approval by the Dean of Students or Academic Dean.

#### **VII. Appeals**

Any person seeking to appeal decisions made as a result of this policy, may do so by submitting a written appeal to ICSW within 10 business days of the adverse decision. The appeals committee will be comprised of the President of ICSW, Dean of Academics, and Chief Financial Officer. The written appeal must include the specific reasons for the appeal request. The decision of the Appeals Committee shall be final.

#### **VIII. Revisions and Updates to this Policy**

ICSW reserves the right to revise or update this Policy to address the changing educational, operational, or compliance needs of ICSW and its campus community. The President in consultation with the faculty

will recommend to the Board of Directors changes to the Policy. Any such revisions or updates will take effect as of the date adopted by the Board of Directors, unless otherwise stated by the Board.

## PhD program

### Clinical Practicum

***Administrative Oversight: The Chair of the Clinical Practicum shall oversee the Clinical Practicum for all students.***

The Clinical Practicum, along with classroom learning, is intended to enhance students' competence in thinking about and doing psychodynamic work. The Practicum provides an experience-near learning context which allows concepts and ideas learned in the classroom setting to come alive, with the help of faculty consultants. It is important that students' learning is cross-fertilized between the Practicum and the classroom. Students are therefore encouraged to raise questions with their clinical consultants about ideas learned in the classroom, and vice-versa. To make maximum use of this process, students must keep pace in the Practicum with the suggested sequence and timing of academic coursework.

The Clinical Practicum is designed as a course, and runs September through August, with write ups, evaluations, and grades due by the end of September of each year for the prior year's consultations. A failing grade in any practicum consultation will, like a failing grade in a course, result in a referral to the student progression committee, and may eventuate in dismissal from the program.

Students should understand that all consultants work differently, and this may be reflected in different styles, expectations, and theoretical/clinical perspectives. This is a strength of the Practicum, and an opportunity for varied learning experiences.

Students are expected to have a caseload upon matriculation. If at any point during the program a student loses their caseload, or is unable to carry cases conducive to learning, the student will be referred to the progression committee, and may be placed on academic leave until the situation is remedied.

**IF A STUDENT TERMINATES A CONSULTATION, THE STUDENT MUST CONTACT THE PRACTICUM CHAIR IMMEDIATELY. A terminated consultation may result in a progression review.**

### *Progression through the Clinical Practicum: General Guidelines*

- First Treatment Case/Consultation: The first case consultation is done with the student's assigned advisor.
- A consultation is not considered complete until reports and write-ups are approved by the consultant and turned into the Director of Academic Administration along with an evaluation by the consultant and a grade. Consultations are graded Pass/Fail. If the consultation isn't completed by year's end, the student will receive an Incomplete grade until the end of Fall semester, at which point a grade is due, or the student will automatically fail the consultation.
- Students may not, under any condition, use the same case twice for two treatment consultations. Students should not bring into consultation cases they have explored in depth in case conference classes, or have written up in depth prior to the consultation. Students in

general may not reuse clinical writing. Any exceptions must be discussed with the Clinical Practicum Chair.

- Case Presentation: Prior to scheduling their Case Presentations, students must:
  - Complete and pass three years of case consultation (CP I, II, and III).
  - Complete a treatment case write up of no more than 20 pages that is approved by the Chair of the Clinical Practicum. The write up must conform to the outline in the Manual.
  - Have a file that is completely current (all students at this phase should arrange a formal file review with the Director of Academic Administration). The Chair of the Clinical Practicum will check with the Director of Academic Administration the status of the student's file prior to assigning a panel Chair.
- All clients for cases must be seen at least weekly. Students are encouraged to see their clients for extended periods of time (e.g., more than a year). All students are encouraged to have treatment experiences in which clients are seen at a frequency of two or more sessions per week; however, there is flexibility for more varied clinical experiences. The requirement for treatment consultation is organized around the time spent with each consultant rather than the time spent with each case.
- Frequency of consultation is every other week. Hours added to consultation more frequent than every other week will not be counted toward consultation hours.<sup>2</sup>
- Students under the 4-year curriculum need to work with four different consultants: two for one-year consultations, and two for two-year consultations. The expectation is that this total of six years of consultations needs to be completed during four years of coursework.
- Students under the 3-year curriculum need to work with 3 different consultants: one for a one-year consultation, and two for two-year consultations. The expectation is that this total of five years of consultations needs to be completed during three years of coursework.<sup>3</sup>

For students who matriculated prior to 2014, see Appendix for requirements

### Progression through the Clinical Practicum after 2014:

Students will complete the clinical within concurrent with coursework. All consultations must occur every other week. Meeting weekly with a consultation is not permitted. Final evaluations, write ups, and grades are due by the end of September of each year for the prior year's practica. The progression through the Clinical Practicum will occur in the following sequence:

First Year	Consultant A
Second Year	Consultant A, B
Third Year	Consultant B, C
Fourth Year	Consultant D

*4 year curriculum*

First Year	Consultant A
Second Year	Consultant A, B
Third Year	Consultant B, C

*3 year curriculum*

- **First Clinical Practicum:** Students will work with an assigned advisor to complete the 1<sup>st</sup> year of clinical practicum
- **Following Clinical Practicum:** Students will work with ICSW approved consultants (see Consultant Directory available online) to complete the rest of their clinical practicum

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<sup>3</sup> All clinical practicum write-up outlines and evaluation forms are available online

- **Clinical Meetings:** Each clinical consultation will meet from September to August for a total of 22 meetings over that time period. A student will meet with 1 or 2 of their consultants for consultations. Students and consultants will be responsible for determining whether they will meet for 1 or 2 consultations. Meetings will be tracked through Time2Track. Meetings must be approved by consultants.
- **Completion of Consultations:** Students are expected to complete their clinical Consultations within the coursework. If a student is unable to maintain this schedule, they must work with the Consultant D Dean to create an alternate plan before the end of the course work.
- **Case Presentation:** occurs during the third year
- **Issues:** If a student experiences any issues with a consultant approving or turning in paperwork or write-ups, they must contact the Director of Academic Administration immediately. If a consultant experiences any issues with a student missing meetings or otherwise, they must contact the Chair of the Clinical Practicum immediately.
  - All clients for cases must be seen at least weekly. Students are encouraged to see their clients for extended periods of time (e.g., more than a year). All students are encouraged to have treatment experiences in which clients are seen at a frequency of two or more sessions per week; however, there is flexibility for more varied clinical experiences. The requirement for treatment consultation is organized around the time spent with each consultant rather than the time spent with each case.
  - Frequency of consultation is every other week. Hours added to consultation more frequent than every other week will not be counted toward consultation hours.<sup>4</sup>
  - Students need to work with four different consultants: two for one-year consultations, and two for two-year consultations. The expectation is that this total of six years of consultations needs to be completed during four years of coursework. Students who do not complete the Clinical Practicum during four years will risk losing status as full-time students and may need to begin paying back any financial aid loans. Below is the strongly recommended schedule.

### *Source of Cases*

Since all students are expected to be in practice while in the program, clinical cases are taken from the student's own practice setting. When a student is in private practice, that student carries full administrative and clinical responsibility for the case. When a client is seen within an agency setting or clinic, that institution maintains clinical and administrative responsibility for the case while ICSW provides clinical consultation for educational purposes. It is the responsibility of the student to obtain permission from his or her agency to use cases in clinical instruction with ICSW's faculty.

### *Consultants*

All consultants are members of ICSW's full faculty. Students are assigned the initial case consultant, who is the student's advisor, prior to the start of classes. After the first Treatment Consultation assignment, students must choose consultants from the roster of approved consultation faculty (the Approved Faculty and Consultant Directory on our website) unless otherwise indicated by the Student Progression Committee or the Clinical Presentation Panel. If this occurs, the student's advisor will discuss the plan with the student.

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<sup>4</sup> Effective September 15, 2015

### Responsibilities of consultants in consultation

- The consultant's primary responsibility is to help the student integrate psychodynamic concepts and techniques they are learning in the classroom in the student's work with their clients.
- Consultants should focus on whether students address psychodynamic principles and concepts in their write-ups.
- Consultants are responsible for communicating with student's advisor and the Dean of Students if the student is struggling with the integration of psychodynamic principles or concepts.
- Consultants are encouraged to contact their student's prior consultants to share information relevant to the student's learning. Consultants can contact the Director of Academic Administration for a student's prior consultants.
- Consultants should share their evaluations with their students.

### Responsibilities of students in consultation

It is the obligation of students, when working with consultants in the clinical practicum:

- To come to each appointment prepared.
- To maintain a regular meeting schedule.
- To act in accordance with professional ethics.
- To provide appropriate notice of the need to cancel or re-schedule consultations.
- To keep track of all hours and dates of consultation meetings, submitted on Time to Track.
- To submit all write ups and clinical reports during the consultation period
- To be the agent of one's own learning

### Requesting Changes in Practicum Requirements

All requests must be discussed first between the student and the student's advisor. When considering requests for a change from the usual requirements, the consultant will review the student's current standing in the program, learning needs, and professional development and experience up to the time of the request. Upon approval of the change, the student will contact the Clinical Practicum Chair for formal approval. The approved change should be indicated in writing and added to the student's record by the Director of Academic Administration.

### The First Consultation Experience

Students are assigned their first consultant, and that first consultant serves as that student's advisor until the student selects a dissertation chair. Meetings with the advisor/first consultant should begin immediately in the first semester and should occur every other week. At the end of the consultation, the student submits a clinical write-up. The consultant is responsible for completing a full evaluation and signing the student's write-up, plus assigning a final grade of either "Pass" or "Fail."

*Even after no longer working as a consultant with a student, the student's advisor maintains a role with the student as he/she progresses through the program. The advisor monitors the student's learning in the Clinical Practicum by meeting with the student at least each semester to review and to discuss the student's experience. The advisor is also available as a mentor to the student to assist in the many issues that arise during the time that the student is at ICSW. This is meant as a facilitative, supportive relationship experience. Once a student's dissertation proposal is approved, the student's dissertation chair becomes the student's advisor.*

### Consultant Reports



Evaluations are an essential part of the consultative learning process. It is assumed that the student and consultant discuss the progress of the work in detail before the consultant writes and signs an evaluation report. The evaluations should be given to the Director of Academic Administration for filing in the student's record. Progress reports are to be turned into the Director of Academic Administration at the end of each consultative year. Evaluation forms for treatment consultations/cases must be completed in full, with appropriate write-ups, at the end of each year of consultation. Links to all evaluation forms are available in the appendix and can be found on the ICSW website.

## Case Presentation

### Summary:

The purpose of the Case Presentation is to evaluate the student's learning progress in clinical evaluation and treatment and ability to engage in an open discussion with a panel of faculty members. In the Case Presentation, students discuss how their diagnostic and treatment thinking and practice have changed as they have progressed through their clinical education at ICSW, keeping in mind the Clinical Practicum objectives. The student's written evaluations and treatment reports, contained in the Clinical Portfolio, will be reviewed by the panel prior to the Case Presentation. A major part of the Case Presentation is the written and oral discussion of a case, including diagnostic and treatment material, as well as a sample of treatment process. The goal of the presentation is to help students and faculty determine how much the student has learned and what remains to be learned to meet ICSW's clinical practice standards. For a full description of the philosophy of the Case Presentation processes see Case Presentation Outline (available online).

### Definition of "Case" in the ICSW Case Presentation

The Case Presentation is intended to evaluate the student's clinical learning and identify areas of strength and areas in which enhanced work needs to be done. A premium is placed on the ability and willingness of the student to engage in an open, non-defensive discussion with the case presentation panel. Qualities of self-awareness, forthrightness, clarity and complexity of thought, and ability to link psychodynamic concepts with clinical work are stressed.

### Policy:

The Case Presentation takes place before the fourth Treatment Consultation for students matriculating prior to 2014, or during the 3<sup>rd</sup> year of clinical consultation for students matriculating in or after 2014. The case presented must involve a client used to meet Clinical Practicum requirements.<sup>5</sup> The presentation may not take place without a review of the student's file and account to ensure all requirements are met.

The Case Presentation is made to a panel of faculty, including:

- A chair (either the Clinical Practicum Chair or a designate)
- Two members of the full Faculty

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<sup>5</sup> After the completion of a Treatment Consultation or Clinical Practicum, that consultation may be used for a Clinical Case Presentation a maximum of two years later. Requests for exceptions to this policy must be made to the Clinical Practicum Chair.

- The student's consultant

The consultant on the case also attends. The role of the consultant and Advisor in the Case Presentation is to serve as an adviser to the panel. Two of the three panel members must agree on a recommendation. Other students and faculty may be present if the student wishes to invite them. The chair is responsible for arranging a mutually acceptable time for the presentation and for posting this information for ICSW faculty and student body. The panel reviews the student's current Treatment Consultations and may make suggestions regarding the fourth Treatment Consultation.

### *Procedures for Preparing and Conducting a Case Presentation*

The following steps are required prior to the Case Presentation:

- The student should utilize the consultant and, if so desired, other faculty members, for help in preparing for the presentation. The student and his/her case consultant concur that a particular case is appropriate to be used for the Case Presentation and that the write up and accompanying process recording (see Case Presentation Outline in the appendix) are in final draft form and approved by the consultant. The write-up should be no longer than 20 pages long, should conform to the Case Presentation Outline and should be accompanied by a process recording of a session or two.
- The student formally requests a hearing by forwarding the write-up to the Clinical Practicum Chair. **The case must per submitted to the Clinical Practicum Chair for presentation within one year of completion of the consultation.**
- The student must also request a release from the Director of Academic Administration indicating that all records are up to date, requirements are met, and that the student is in good financial standing with ICSW before a hearing can be scheduled. A student who has not completed requisite Clinical Practicum work (including completion or ongoing satisfactory work with two Treatment Consultations) or who is not in good academic standing, may not hold a Case Presentation. The Clinical Practicum Chair is notified about the status of the file.
- The Clinical Practicum Chair approves the case write up for form compliance and basic writing standards. The Clinical Practicum Chair assigns a Case Presentation Chair.
- The Case Presentation Chair then selects a panel, schedules the Case Presentation, and notifies the student, the members of the panel, and the consultant of the date and time of the presentation. If the hearing is to be held at ICSW, a room must be reserved with the Director of Academic Administration two weeks in advance of the hearing and must be held during business hours. The student should expect that it will take up to six weeks to schedule the presentation.
- The student is responsible for delivering the appropriate materials to the panel members at least two weeks prior to the presentation date.

### *Panel Expectations:*

Each student's Case Presentation Panel is staffed by different faculty members; therefore, no two Panels will function in exactly the same way. However, there is uniformity outlined here.

Each Case Presentation will last for an hour and a half to two hours and should include some formal presentation by the student with ample time left for free discussion.

It is the Panel chair's responsibility to structure the meeting, to provide evaluation forms to the Panel members (the student's consultant does not receive one), to notify the appropriate faculty of the outcome of the presentation, and to place the evaluations into the student's folder.

**Process Recording:**

Students are required to include a process recording of either a single session or two parts of successive sessions in the write up of the case. The write up should be written in consultation with the clinical instructor on the case. The process recording should demonstrate a significant piece of work with the client. This process recording may be used during the Case Presentation to provide actual session material for the student and the panel to work with directly.

**Process Presentation:**

Students are expected to demonstrate clinical competence through the presentation of clinical process with the selected case and to participate in a discussion of that treatment process, including a discussion of the learning issues mobilized for the student in his/her work with the case.

**The Case Presentation:**

The Case Presentation is the student's opportunity to report and convey his or her understanding of how his/her clinical learning has progressed in the program and his/her understanding of a case, treatment process, and ability to work with and discuss clinical material. Flexibility is allowed in how these components are conveyed.

However, with respect to case material, the following must be included:

- ✓ identifying data
- ✓ presenting complaint
- ✓ relevant history
- ✓ diagnostic summary
- ✓ psychodynamic formulation
- ✓ overview of the development of the treatment
- ✓ a summary of major clinical issues and manifestations of transference and counter-transference

The student should work closely with the consultant in preparing the documents for the presentation. Thought should be given to the unique characteristics of the case to be presented and how the student can best convey his or her evolving understanding of the client and the treatment process. Following the presentation, the panel discusses the presentation in dialogue with the student.

At the time of the presentation, it is the responsibility of the panel to review the student's treatment cases regarding their representation of a broad diagnostic spectrum, and to recommend specific directions to the student for subsequent cases when indicated. The Clinical Practicum Chair may be consulted regarding any recommendations.

Following the presentation, the student is excused from the proceedings while the faculty panel, along with the student's clinical instructor, discusses and evaluates the presentation. Panel members submit written comments and their vote on the student's readiness to progress in the Practicum. The panel's recommendation must represent a majority of the panel members in attendance. The student's consultant does not vote. The consultant's role is primarily to help the panel in its discussion of the

student's clinical work and clinical thinking. The panel's findings are shared with the student following its discussion.

Recommendations may include:

- Approval of the student's progression in the Clinical Practicum case without conditions
- Approval of the student's progression with conditions
- Deferral of the student's progression with specific requirements for remedial work, which may incur student expense, to be completed prior to returning to the committee for another case presentation. The remedial work may include one or more of the following:
  - A special focus in the next case
  - Assignment of an extra case requirement
  - An independent study in the area needing remediation
  - Consultation with a particular faculty member in a special area of expertise
  - Attention to problems of counter-transference (possibly including a suggestion that the student seek personal treatment)
  - Other appropriate recommendations
- Failure of the student's presentation and referral to the Progression Committee

The decision and recommendations are written and shared with the student and placed in the student's record. Copies are submitted also to the student's advisor and to the Clinical Practicum Chair.

If the recommendations include specific remediation, the chair of the panel may, in consultation with the student's advisor, appoint an appropriate faculty member to work with the student.

If the student is required to make a second Case Presentation, the same procedures apply as in the first presentation. If the student fails to obtain approval for progression following a second presentation, the matter will be referred to the Progression Committee for a review and further action.

### *Standards for Case Presentation:*

- The Panel will examine the development of the student's capacity to function professionally with a client through the effective and creative use of a therapeutically informed and aware self in relationship with the client. This capacity is the educationally expected outcome of the clinical instruction provided to the student within the Clinical Practicum.
- The Panel will examine the student's academic capacity to conceptualize, write about, and discuss the therapeutic process as well as concepts related to development, psychopathology and technique that informed the treatment process.
- Students are free to present their case from whatever perspectives, ideas and models which are clinically useful to them but conceptualizations presented throughout their training within the curriculum will be of particular interest. The Panel aims to revisit the clinical process to better understand the student's comprehension of the client and the impact of the client on the student's professional self-experience. The Panel also aims to understand the critical thinking used by the student in selecting theory and technique chosen to treat the client. Though it is not expected that students will know the answer to every question, it is expected that the student will demonstrate the capacity to enter into reflective consideration and discussion of the points raised.

## *Case Presentation Evaluation*

The following criteria guide the panel in their evaluation of the Case Presentation:

### **Quality of Written Report:**

Does the report convey a picture of the client, his/her relevant history and core dynamics, a picture of the client and therapist at work in therapy, and a brief description (to orient the readers) to the clinical theory or theories selected by the student?  
Does the report meet ICSW writing and style standards?

### **Quality of Clinical Thinking:**

Does the student demonstrate an expectable ability to use psychodynamic concepts to clarify his/her thinking about clinical work?

### **Quality of Discussion with Panel During the Case Presentation:**

Can the student's verbal presentation, in conjunction with the write-up and process notes, lead to a meaningful discussion with the panel?  
Can the student respond openly and thoughtfully to the panel's questions and explore the issues raised by the panel?

### **Use of Consultation:**

Has the student established a productive learning alliance with the consultant?

## **Qualifying Theory Paper**

### **Purpose**

A Qualifying Theory Paper (QTP) will be part of the ICSW assessment of student learning, along with the Dissertation and Case Presentation. Students who matriculated before 2017 will work on the Qualifying Theory Paper during their fourth year and will submit it by the end of Spring semester of that year. Students who matriculated in 2017 and after will work on the Qualifying Theory Paper during their third year and submit it by the end of Summer semester of that year

The QTP provides a measure of each student's ability to meet the standards of academic scholarship that are consistent with the goals of the Conceptual Foundations Sequence and are consistent with the academic discipline of clinical social work.

To submit the Qualifying Theory Paper, students will need to have completed all theory courses, completed the first year of Research Sequence courses, passed their Case Presentations, and have no outstanding financial balance with ICSW.

### **Format**

The qualifying theory document, in the form of a take-home paper, will consist of two essay questions. Students will be asked to respond to these questions within a range of 9-12 pages each. One question asks students to demonstrate their comprehension of basic psychoanalytic concepts and how they relate to one another. A second question will ask students to think more broadly and critically about psychodynamic theory(s) in an epistemologically sound manner. The questions will change each year.

## **Evaluation Process**

An evaluation instrument will be developed by the Conceptual Foundations Chair in consultation with Conceptual Foundations faculty and the Dean. The student must pass the QTP in order to proceed to dissertation proposal hearing. The instrument will evaluate the paper's success at demonstrating that the student has met ICSW's standards for academic scholarship. It will address the degree of conceptual understanding demonstrated, the degree of complexity of thinking, and the quality and clarity of the writing. The dissertation and case presentation evaluation instruments will be guides for developing a consistent instrument for this evaluative process. A panel of faculty will evaluate the papers. The Chair of the Conceptual Foundations Sequence will assign the committee of three members of the sequence.

The student will submit the document to the panel, integrate revisions if necessary, and resubmit until the panel is satisfied. We expect that this process will be iterative and that students will submit the paper more than once. If the student has not passed after the second submission, the Student Progression Committee will be asked to review the student's progress and make recommendations to the Dean regarding the student's future in the program.

## **Student Support**

Each student will be assigned a member of the CF faculty for consultation on and preparation for the QTP. This assignment will occur in the student's first year. It will be the student's responsibility to make use of this consultant as needed through the four years of the program.

In addition, each student will have available a seminar which will meet at least annually that focuses on scholarly writing and presenting.

## **Research Practicum and Dissertation Procedures**

The Research Practicum includes the following activities, designed to facilitate completion of a dissertation:

- Ongoing consultation with a dissertation committee
- A dissertation proposal hearing
- Defense of a final dissertation document

## **Faculty Consultation and Development of the Dissertation Project**

Students are approved to begin consultation on the development of their dissertation projects in the second semester of their third year following successful completion of Methods I, II, and III. At this point students may consult with various faculty who possess expertise in areas of relevance to the student's project ideas. By the end of the fourth year, students should, through the process of these consultations, have selected a Chair who will guide them through the early development of a research project and the selection of a full committee. The student's advisor, research faculty, and the Research Chair may be contacted for advice and recommendations for choosing a dissertation Chair. All Chairs must be approved by ICSW using the appropriate form signed by the Dean, Chair of Research, and Dean. Exceptions to the policy of starting the proposal process in the third year are approved only rarely and require an appeal to the Chair of Research and the Dean.

## Proposal and Dissertation Process

Every student is encouraged to select and develop a dissertation topic by the fourth year of study. The development of the dissertation plan is a continuing process of focus and refinement until a dissertation proposal is developed to the satisfaction of the student and dissertation committee. The student is encouraged to confer with any faculty member during every phase of the process, but should choose a working committee by the end of the fourth year. Opportunities to explore topics and strategies through seminars and other educational experiences, in ICSW and at other educational institutions, will be encouraged.

### Student Responsibilities

Credit for Research Practicum: To receive credit for research consultations, all paperwork, including required write-ups and evaluation forms, must be completed and submitted before the end of the semester following the completion of consultation. It is up to the student and consultant to keep track of submitting the required documents.

- Documents are to be submitted in a timely manner that allows for a thorough review by the Research Practicum Chair, IRB committee, dissertation committee members and readers.
- Follow-through on all recommendations is required by the committee.
- Adhere to guidelines in the Research Manual, Style Manual, and IRB Manual.
- Submit Dissertation Progress Reports each semester when requested.
- Documents are to be legible copies adhering to publication guidelines; drafts or draft quality documents are not acceptable.
- As part of their tuition, a student is permitted a certain amount of contact (to be determined) with members of the Dissertation Committee. After exceeding that total of instruction hours with the committee, the student will be billed for the additional time at the rate of \$50 following approval of the Dean.
- All students conducting dissertation research must become CITI certified.

### *Dissertation Committee*

All students are expected to secure a dissertation chair by the end of their fourth year of classes and no sooner than the end of the third year. All Chairs must be approved; the student must submit a Chair Approval Form to the Director of Academic Administration, as well as a Committee Approval Form once the committee members have been selected.

The student may request that an individual from another equivalent academic institution be approved to serve on the committee when that individual has the expertise necessary for the dissertation work. Such exception requires permissions of the Chair, the Research Coordinator, and the Dean, and will be approved only when equivalent expertise is not available on ICSW's faculty.

The Research Practicum Chair, student's advisor, and research faculty may assist the student to identify faculty members who qualify to serve as dissertation committee members and who have expertise in the particular subject matter or research design areas relevant to the student's topic.

## **Composition of the Dissertation Committee and Member Roles**

The dissertation Committee is comprised of the Chair and two members. The chair and one other member of the committee must have a Ph.D. The Chair must be designated as a Research Faculty (see Consultant's Directory). The committee represents ICSW faculty scholars.

### **The Dissertation Committee**

The student chooses the dissertation committee within the parameters described here. The student chooses one reader, and ICSW designates the second reader based on the research topic, method, and composition of the committee as requested by the student. All dissertation committees must be approved by the Chair of the Research Sequence prior to the proposal hearing, and must be comprised as follows:

1. Two PhD's on core committee
2. At least one designated research faculty (see below), who can serve as Chair
3. At least one member, the Methodologist, who is able to guide and help implement a creditable and established research methodology. The Methodologist can, and is encouraged to be, the Chair.
4. Two readers, who offer a "fresh pair of eyes" on the document. Readers are not part of the ongoing consultations on the student's work, but enter the process to review the final proposal draft and final dissertation draft prior to the hearings. Again, one reader is assigned by ICSW.
5. Entire committee, including readers, must have full faculty status.

All exceptions must be approved by Chair of Research and Dean prior to the proposal hearing, and will only be allowed when a particular needed area of knowledge is unavailable on ICSW's faculty.

### **The Dissertation Chair**

All dissertation committee Chairs must be approved as "designated research faculty." Requirements for this designation are:

1. Must have a PhD
2. Must have participated on a minimum of 3 Committees at ICSW (as full committee member, not reader)
3. Must have at least one professional publication or presentation at a major conference
4. Must have completed CITI training.
5. Must have substantive knowledge of research methodologies
6. Must have full faculty status

ICSW maintains a list of approved research Chairs. Students are free to ask any approved Chair to guide their dissertation work. If a faculty member wishes to apply for approval, he/she should contact the Chair of Research and Dean to make application.

Any exceptions must be approved by the Chair of the Research Sequence and Dean, and will only be allowed when there is no available approved Chair.

The Chair has responsibility for:

- Convening all team meetings of the committee and student
- Confirming acceptance of the proposed research by the IRB review committee prior to proposal hearing



- General overview of the dissertation research process
- Adherence to research plan as accepted by the committee
- Ethical conduct of the research
- Chairing the proposal and dissertation hearing
- Addressing concerns that arise among the committee members and the student
- Assuring that any concerns/changes recommended by committee members are in the final document
- Helping the student work with committee members as concerns/changes are addressed
- Adherence to ICSW policy as outlined in the *Policies and Procedures Manual* and the *IRB Manual*

Members serve as additional resources to the student representing various areas of expertise relevant to the project. The student is to keep members of the committee apprised of progress of the research, consult as needed, and submit drafts of the evolving document as appropriate.

### ***Changes in Committee Composition***

A student may request changes in the composition of the dissertation committee. This should be done in consultation with the committee Chair. A request should be made by both parties to the Chair of the Research Sequence, who will make the final decision in consultation with the Dean and all parties involved. Changes will be approved only after reasonable efforts to resolve problems have been made by all parties.

Only under extreme circumstances may a student request a change in committee Chair. The Chair of the Research Sequence should be consulted about such a request only after the student and committee Chair have exhausted other means to resolve differences. The Chair of the Research Sequence will make the final decision in consultation with the Academic Dean and all parties involved.

### **Institutional Review Board (IRB)**

All research conducted under the auspices of ICSW must first be submitted to and approved by the IRB committee. This includes student dissertation research, any research conducted as part of class instruction, research by faculty or staff and outside submission.

Once the student's final dissertation proposal is complete (usually completed as part of the fourth Independent Study with the selected dissertation chair and reviewed by the dissertation committee), the student must submit a complete application to the Institutional Review Board, which reviews all ICSW sponsored research involving human subjects.

The IRB outline for the proposal and the protocol for submitting it must be followed. The outline and protocol are located on the website under Academic Resources. This should not be done until the proposal document is complete, as the IRB can request to see the entire document. The IRB must approve the proposed research as meeting standards for protection of human subjects prior to proceeding with any dissertation research activity.

### **Dissertation Process**

Committees are comprised of five members (effective June 1, 2015): The Core Committee includes a Chairperson and two formal members. The Full Committee includes the Core Committee plus two readers. The student chooses all core members of the committee and one reader, according to the specification outlined in the Manual for committee selection. The second reader is assigned by ICSW's

Chair of Research. All members of the Full Committee have a vote on the committee. All Chairs and committees must be approved prior to the student's proposal hearing (see requirements for the selection of the Chair). The process as described below was effective June 1, 2015 for all students who had not passed their proposal hearing by that date. The editorial review process will be effective March 1, 2017 for those students who have not yet done their final dissertation defense. Students defending their final projects between March 1, 2016 and March 1, 2017 and who are graduating in June 2017 will be exempt from the editorial requirement.

The dissertation process unfolds in the following stepwise format:

1. Student chooses a Chair and in conjunction with the Chair chooses the other two members of the Core Committee and one reader. This will typically happen in the fourth year of the student's academic work. Once consolidated the student submits the Dissertation Chair form and the Dissertation Committee form to the Director of Academic Administration for approval. At this point ICSW's Chair of Research will assign a second reader to the committee.
2. Once a full committee has been approved (signed by Dean and Chair of Research) the student and committee (minus readers) will meet as a team to discuss a plan, roles (e.g., literature review, methodology), and ways of proceeding. The Chair of the committee will convene this meeting, and will be responsible for keeping a record of what is decided. The Chair will submit notice (via form sent by email) of this meeting to the Director of Academic Administration.
3. Readers are considered members of the Full Committee, and enter the process on two occasions: 1) prior to the proposal hearing; 2) prior to the final defense. Readers should be considered "a pair of fresh eyes," and though not part of the draft and response system, they are voting members at both the proposal hearing and final defense hearing.
4. The Chair calls the proposal hearing. No hearing should be held without dialogue between the Chair and rest of the team affirming the readiness of the document for a hearing. The proposal hearing must be approved by the Director of Academic Administration prior to scheduling to ensure that all ICSW requirements are met for holding the hearing. It is the student's responsibility to attain written approval from the Director of Academic Administration, after which the Chair may work with the Full Committee to schedule the hearing. It is the responsibility of the Chair to inform the Director of Academic Administration of the date and time of the hearing.
5. In addition to regular meetings/consultations between the student and members of the Core Committee, the student and Core Committee (minus readers) must meet annually (in person or by webcam) following the approval of the proposal and until the final defense. The student must be prepared to provide updates about the research at this time. The Chair is responsible for convening the meeting, and for giving notice (via appropriate form) to the Director of Academic Administration that it has occurred.
6. The final dissertation defense must be held within four years of the proposal approval to prevent the aging of data. If this deadline passes, the student will need to recollect data and possibly resubmit the proposal for another IRB review and hearing. This decision will up to the dissertation committee and Chair of Research.
7. Once the student has a final dissertation draft ready for review, it is sent to the Chair for approval. Students should allow for 3-4 weeks for this review. The Chair must provide feedback during that time frame.
8. Once fully approved by the Chair (as this process is iterative, there is likely to be a back and forth with revisions), the document goes into an editorial review process with someone contracted by ICSW (for style, writing, and organization). It is the student's responsibility to send their document to the assigned editor. The student should allow up to one month for this review.

The reviewer will provide to the student and Chair a written assessment of the document and editorial recommendations. The assessment must be sent to the Director of Academic Administration for the student's file. It is up to the Chair, in conversation with the student, to determine which recommendations to implement. If grammar editing is required by the Chair in response to recommendations by the editor, the student will hire and pay for that editing. Any revisions to the document at this point will add time to the dissertation process.

9. Once the Chair gives final approval to the document, the student sends out the document to the other two core committee members. The student should meet with the committee members for feedback and make appropriate changes under the guidance of the Chair. It is also possible (depending on the Chair's direction) that all feedback from the core committee will be given directly to the Chair.
10. Once all three members of the committee concur that the document is ready for defense, the student sends the document out to the readers. The final document must be copied and loose bound for all members of the hearing, and shipped to the address of their choosing. If a committee member prefers an electronic copy of the document, it will not be necessary to bind and ship in this case. The student should plan for the committee to have the final document for up to one month prior to the final hearing. The committee must provide feedback to the student during that time.
11. The student must receive ICSW approval from the Director of Academic Administration to schedule the hearing. It is the student's responsibility to schedule a meeting with the Director of Academic Administration to go over the student's file. The Director of Academic Administration will let the Chair know when the student is approved for a final hearing.
12. Students should prepare a final abstract to bring to the final hearing.
13. Approval of both research proposals and dissertations require affirmative votes by four out of five Full Committee members.
14. Committee members are required to attend the final defense in person. If an exception must be made this should be done with approval of the Dean. Any committee person who is absent must provide written commentary on the proposal or dissertation to the student and Chair. It is rare that a hearing can take place without all members present. Students must prepare for this in the timing of their final defense.
15. Following the final defense, the student must submit their fully approved dissertation to the ICSW style editor. All dissertations must be written according to ICSW's Style Manual from the beginning; the ICSW editor will simply check the document for style compliance before sending it back to ICSW for uploading to the UMI database.
16. **Students should be aware of the time required for review, editing, and approval processes in relation to dissertation work. A dissertation should be in final draft form to give to the Chair three to four months prior to the final defense (which does not guarantee full committee approval by any particular deadline). The time the process will take after this is variable and will depend on committee feedback, editorial assessment, and the quality of the student's work.**

### *Dissertation Proposal and Defense Hearings*

Proposal Hearings and final Dissertation Defense Hearings can be held on the following conditions:

1. The student has a full file review with the Director of Academic Administration, who indicates that the student's file is complete and prerequisites have been met (details below)
2. The full committee, as indicated by the Chair, approves the student's readiness to have a Hearing

3. The student is current with financial obligations to ICSW. The student must have no outstanding financial obligations prior to final Dissertation defense
4. The student is in good academic standing
5. The project has current IRB approval
6. Citi certification for student
7. The student has passed both the Case Presentation and the QTE
8. All hearings, with rare and approved exception, must be scheduled through the Director of Academic Administration and take place at ICSW

#### File Requirements for Dissertation Proposals:

- 5 of the 6 case studies must be complete
- Case Presentation must be passed
- 4<sup>th</sup> treatment case must be well underway
- 1-3 independent studies must be complete
- Qualifying Theory Examination (when applicable) must be passed
- Forms in file must include Committee/Chair approvals; Initial Committee Planning form (submitted by Chair within 3 months of Committee approval); Annual Meeting form (if committee hasn't met for initial planning within the year, also submitted by Chair)

#### File Requirements for Dissertation Defenses:

- All work in the clinical practicum must be complete
- Annual meeting form (if committee hasn't met since proposal hearing)
- Hearing must occur within four years of proposal hearing (to prevent aging of data)
- Editorial Assessment
- *Students may not have any outstanding financial obligations to ICSW*

The proposal is submitted to the student's assigned Dissertation Committee selected by the student and the Chair. These five faculty members hold a hearing with the student and evaluate the proposal. The committee members, taking into account feedback from the readers, vote to pass, conditionally pass, or fail the proposal. If the proposal is not approved, the student is expected to rewrite it, following the recommendations of the committee, and to present it again at another hearing. If the proposal is conditionally approved, the student is expected to make specific changes recommended and submit them to the committee and readers for approval. If the proposal is approved, the student may proceed with the dissertation. A majority vote of the committee is required for approval. Following approval of a proposal, the Dissertation Committee is responsible for assisting the student in completing the dissertation and for approving or rejecting a completed dissertation.

#### Function of the Proposal and Hearing:

- The proposal document is a blueprint of the research project that demonstrates a knowledge of the relevant literature, a question for study or hypothesis to be tested, a sound research plan, and theoretical framework for interpretation of the findings. This should be in publishable form.
- The document is also a contract between the student and the committee defining the area of inquiry, method and general work plan for the project.

- The hearing is an oral presentation of the proposed research in addition to the previously circulated document. It is a public format where committee members and readers can ask for clarification, raise methodological or epistemological issues and/or general concerns. Any additions or changes delineated by the committee are to be included in a revised proposal document. Depending on the nature of the changes, the document may have to be resubmitted to the committee or the Chair.
- The hearing is an open meeting; however, the student should use discretion when inviting individuals to the hearing.

### *Dissertation Defense Hearing*

An acceptable dissertation is one that contributes to understanding of a particular clinical phenomenon or population and to theoretical knowledge, uses sound principles of inquiry, has empirical grounding, and has relevance to clinical social work practice. Scientific and humanistic orientations to knowledge are valued, and a wide range of research approaches is available and acceptable. The student, the Dissertation Committee members and the same faculty who served as readers for the proposal hearing attend the Dissertation Defense Hearing. The committee members vote to pass with distinction, pass, or fail the completed dissertation and paper. If the dissertation is not approved, the student is expected to rewrite it, following the recommendations of the committee, and to present it again at another hearing. A vote of four (out of five) is required for approval. All documents must be in a final edited format. If the documents are approved, the student may continue to the next steps in completing the dissertation, i.e., obtaining approval for form and making bound copies for the library.

The defense hearing is an open meeting; however, it is a defense of the work and the student should be prepared to answer any relevant question in a thorough, diplomatic, and collegial manner. The student should exercise discretion in inviting guests to the hearing. Members of ICSW may attend; family members are not appropriate guests at the hearing.

#### **Final Steps:**

Following approval of the dissertation, the Chair notifies the Dean of the decision.

The student must submit the approved dissertation for review for form by ICSW's designated dissertation form reviewer and make any required corrections or revisions. The "Institute for Clinical Social Work Style Manual" is available to guide the student in completion of the final form of the dissertation.

When the dissertation is approved for form, the student submits one hardbound copy, and one unbound copy of the dissertation to the ICSW library.

The student also submits one unbound copy with an abstract approved by the Dissertation Committee Chair and the Research Practicum Chair with the completed forms for UMI Dissertation Publishing.

The student is responsible for all expenses involved in preparing these copies.

### **Distance Learning Policies**

The Distance Learning Program is a blended program. Onsite classes are integral to the ICSW approach to distance learning. Online classes are delivered using a live audio video conferencing program. We give equal weight to the student's participation online and onsite. The following policies guide the distance learning program:

- During online classes, all students are expected to be seated, have their cameras on, and demonstrate engagement in class discussions and presentations
- During online classes, intrusions by children, pets, and other family members are to be avoided.
- Attendance policies are guided by the instructor's syllabus; online and onsite classes are given equal weight.
- Non-attendance during onsite weekends is a serious matter: not only does the class lose out on your in-person attendance, but it also results in one-and-a-half missed classes. Instructors may, but are not expected to, record or broadcast the class. Non-attendance of onsite classes is a serious progression issue. Students missing any onsite classes without the approval of the Academic Dean are subject to a progression hearing.
- If an instructor needs to cancel a class session, the instructor should immediately inform the Director of Administration and the Academic Dean, and should make every attempt to contact the students in the class right away. The class session should be re-scheduled within the same semester as soon as possible in conjunction with the students, and the instructor should inform both the Director of Academic Administration and the Dean of the re-scheduled class session.
- There are two onsite weekends per semester; intensive weekend courses are sometimes offered in the summer. Students are expected to attend these summer weekends as appropriate to complete their program of study.
- In the case of weather grossly interfering with air travel, ICSW will notify students via email and an online alert of alternate plans. Students are expected to watch their email for updates. During weather emergencies, students are to log on the entire weekends of classes.

### **For Active Duty and Public Health Service Students:**

Students are expected to inform their command of their participation in the ICSW program and to discuss the need for periodic leaves to attend classes.

- In cases where leave is denied, the student is to provide the paperwork documenting the request for and denial of leave.
- In cases where training interferes with onsite or online classes, students are responsible for contacting instructors and for making up missed work. Evidence of the required training must be submitted to the Dean.
- In the case of deployment and pre-deployment training, the student is to inform the Dean and an accommodation will be devised.
- Students who are deployed may take a leave of absence or continue with clinical consultation and/or courses if means of communication exists.

### **Retention of Data Policy**

Data should be maintained in a secure location, i.e. locked file cabinet for 5 years after graduation. The statistical data and IRB approval forms should be maintained indefinitely. Five years after graduation, raw data i.e. tapes, questionnaires may be destroyed. Once raw data are entered into a data management system and are coded and well protected, the system, too, may be kept indefinitely.

## **Master's Program**

### **Qualifying or Comprehensive Examination Requirements**

During a student's final semester, he/she will complete a Comprehensive Exam. This exam will consist of a long-answer essay question(s) associated with the coursework component of their training specifically

related to both a comprehensive understanding of and the relevance of psychodynamic theory. Students will have 7-10 days to complete the comprehensive exam.

The comprehensive exam will be reviewed by the committee with a detailed rubric. Members of the committee are appointed by the Director of the Master's Program. Students will be notified in writing of either a Pass or Fail designation by the Committee. A student who fails the comprehensive examination may elect to retake the examination a minimum of two months after the notification date. This re-examination must be scheduled with the Dean. A student may attempt the Comprehensive Examination three times. The comprehensive exam is a requirement for graduation but does not receive credit hours.

### **Case Presentation:**

Also during their final semester of classes, students will present a clinical case to a Case Presentation Committee (consisting of 3 faculty members). Students will complete a detailed case report on a client. The report will include: identifying information and reasons for referral, background/historical information, a clinical diagnostic formulation, discussion of the treatment plan and process, and discussion of what was learned from the treatment. Included in the case report will be a process recording of all or part of a session. The student will be evaluated on the integration of clinical conceptualization and techniques along with the quality of the written report, process recording, and verbal presentation. The case presentation is 1 credit hour and graded through formal evaluation forms and is PASS/FAIL.

## **Clinical Practica Guidelines and Procedures**

### **Expectations and Information:**

#### **Overall Objectives Field Placement**

Clinical field education is considered a vital component of the MA in Clinical Counseling and Psychotherapy curriculum. ICSW has adopted a concurrent model of field instruction, meaning students take courses and complete the practicum placement at the same time. In addition, while the State of Illinois requires just one Field Placement (Practicum placement experience) during a counseling master's degree program, ICSW requires an additional Practicum placement, in order to further develop and reinforced students' clinical training. The practicum placement is designed to help students acquire, further develop, and integrate knowledge and practice skills in counseling and psychotherapy. Students will have the opportunity to further enhance and integrate their learning in Field Internship Seminars which meet weekly and are taught by ICSW faculty. Master's students are expected to contribute to their learning through active, constructive participation with peers, staff, and faculty in the field and in the classroom.

#### **Training Requirements**

First-Year training sites for the Practicum will provide a two days a week training experience at an agency or community center setting. The First-Year Practicum/Internship experience may be clinical, or may be a mix of administrative, case management and clinical support functions that undergird the provision of clinical services. **350 hours are required for the first year internship/practicum.** Generally students will be assigned to their First-Year Practicum placements; however, it's likely that they also will be required to interview for these placements.

Second-Year training sites for the Advanced Practicum/Internship will provide a three-days-a-week training experience at an agency or community center setting that will be primarily clinical. **700 hours are required for the second year internship/practicum.** Direct client contact should be more than 50% of the student's total hours each week, leaving the remaining hours for supervision, paperwork, meetings, in-service trainings, and other learning experiences. Generally students will have input into their Second-Year Practicum placements, and they will need to interview for these placements.

**Clinical supervision requirements**

ICSW requests that training settings provide one hour per week of clinically focused supervision. In addition to supervision students receive at their placements, each student is assigned a member of ICSW's Faculty to serve as a clinical consultant to help each student integrate coursework and practicum learning in a way tailored to each student's learning needs; students will meet with their consultants every other week. The student is required to meet with the consultant 8 times during the semester, 16 times during the course of an academic year. **These meetings must be registered for in Blackbaud and Time2Track.** Finally, students will attend a weekly practicum placement seminar at ICSW.

**Credentials of onsite clinical supervisors**

At their practicum/field internship sites, MA students must be supervised by persons holding one of the following licenses: LCSW and LCPC or a staff member who has a PsyD.

**Calendar for 2017-2018 Academic Year**

Practicum Placements Begin	August 2017
Learning Agreements Due	Due within 30 days of placement
First Evaluation	End of first semester-Jan. 19, 2017
Second Evaluation	End of the second semester-June 8, 2018

**Expectations for Students: Holidays and Time off**

Students are expected to attend their practicum placement during the regular operating hours of the agency. All time off must be approved by the field instructor. Lunch and travel to and from the agency is not counted towards your hours.

Students needing days away from their practicum placement for illness or death in the family should immediately notify their Field Instructor and the Director of Clinical Training. Students are responsible for making up any missed hours.

**Liability/Malpractice Insurance**

All students registered for practicum placement are covered by ICSW's malpractice insurance.

**Role & Responsibilities of Field Instructors:**

Field instructors are crucial to student learning in the field; each instructor assumes a major role as onsite instructor and supervisor to the student learner. ICSW, in supporting this important function, offers field instructors active support and continuing education training.



The field instructor is responsible for helping students integrate theory and practice, providing support, monitoring student progress, orienting the student to agency personnel, procedures, documentation requirements, providing constructive feedback, consulting with the ICSW Director of the Master's Program and completing and submitting Learning Agreements and Evaluations.

### **Learning Agreements & Evaluations**

At the beginning of a student's internship, field instructors are responsible for completing the learning agreement. In addition, at the end of every semester, field instructors are responsible for doing evaluations of students' performance at the training site. It is requested that the field instructor and student complete both the learning agreements and evaluations collaboratively. The Learning Agreements are due with 30 days of student starting in the placement. First Field Evaluation is due at the end of the first semester.

### **Performance Issues**

Field instructors will notify immediately the Director of the Master's Program if the student is performing below expectations.

### **Field Instructor Orientation**

ICSW will provide field instructors with an overview of curriculum and descriptions of courses students are taking.

### **Process for Resolving Conflicts in the Field**

At times, problems arise in professional settings that require additional attention to resolve. We ask that field instructors and ICSW master's students follow the process described below when trying to resolve areas of conflict or concern.

1. Field instructor and student should address the concern or conflict in supervision as part of the supervisory process. The student must inform the Director of the Master's Program in advance of any such meeting; ICSW's strong preference is that the Director attend the meeting.
2. If the conflict is not resolved in supervision, either party, the field instructor or student can request a meeting with the Director of the Master's Program. The Director will attempt to clarify problem areas, explore solutions, and work toward a mutually-agreed upon plan toward resolution.
3. If the conflict is not resolved with the Director of the Master's Program, the field instructor or student may request a meeting with ICSW's Dean.
4. At no point are students permitted to decide autonomously to leave a placement or to stop attendance at a placement: doing so violates an agreement that ICSW has made with the training site, and may trigger a Student Progression Committee meeting. All decisions about altering or terminating a placement prematurely must be made in conjunction with the Director of the Master's Program, the practicum site, and ICSW administration.
5. If a student receives a failing grade for a field work evaluation this could result in a Student Progression Committee meeting and possible dismissal from the program. In these cases, the Director of the Master's program will be in touch with the field instructor for a remediation plan and will be in consultation with the other ICSW Administrative staff to discuss options in terms of future plans for the student.

## **Roles & Responsibilities of Students**

Clinical experiences in the field are an essential component of master's students training, providing opportunities for both professional and clinical learning and development. At their practicum placements, students have opportunities to begin applying classroom learning to clinical experiences. Therefore, practicum placement experiences must be top priorities for ICSW students.

### **When at Students' Field Placement:**

#### **Disclosure of Student Status**

Students must disclose their student status to clients as a matter of following ethical practice guidelines. It is advisable for students to seek their field instructor's guidelines on introducing this to clients, including

- how to introduce themselves (trainee, graduate student, counseling student,)
- how to anticipate, think about and respond to questions that clients might raise

#### **Dress**

Students are expected to present themselves in a professional manner, including dress, and to follow the practicum placement's/agency's dress code.

#### **Technology and Electronic Communications** (*Cell phones, Texting, Email, Laptops, Tablets*)

Student must adhere to their practicum placement's policies regarding cell phone use, emailing clients, texting, and personal laptop or tablet use, or playing personal music, such as through a phone. ICSW students are expected to keep their personal cell phone use to a minimum while at their practicum placements.

In order to protect clients' confidentiality and maintain professional boundaries, students must strictly follow agency policies regarding use of electronic communication devices and systems, including personal lap tops or tablets, flash drive, and email. Students must avoid, at all costs, transferring physically or transmitting electronically any client information, in any form, out of a practicum setting. For example, students may not take home any part of a paper file, nor may a student email client data, nor store client data on anything like a thumb-drive for any purpose, including schoolwork.

An important component of students' clinical learning involves writing case assessments and case studies and presenting clients' cases for clinical discussion. Students are expected to follow their practicum placement's policies on use of client material for learning. The general rule is that all client information must be carefully disguised so no one can readily recognize the individual.

#### **Facebook and Other Social Internet Networks**

Students must adhere to agency confidentiality policies and professional ethics regarding the use of technology. Providing information on Facebook or other internet social networking systems about practicum placement agencies, personnel, colleagues, or clients is a serious breach of confidentiality and may constitute a Student Progression issue at ICSW. As developing new professionals, students are advised to be extremely careful about their online profiles and postings, and to remove from any

publicly available profile any personal material that is not consistent with developing a new professional identity as a psychotherapist. It is advisable for students to do online searches of themselves periodically to see what information about them is publicly available – for example, in the case of students’ being looked for by a client or potential client – and to take any necessary steps.

### **Roles & Responsibilities of the Director of the MA Program and ICSW**

The Director of the Master’s Program holds multiple responsibilities to both students and practicum placements. The Director is the first point of contact for questions and concerns about clinical practicum placements from both students and field instructors and questions about the ICSW curriculum from field instructors. The Director also is the point of contact for problems or conflicts between students and field instructors. Although the student is assigned a Faculty consultant, The Director serves as the advisor to all MA students on academic and programmatic issues. The Director can be reached by calling ICSW at 312.935.4241.

### **FIELD LIAISON VISITS**

The Director of the Master’s Program will visit the training site at least once each semester and more frequently if needed.

### **Field Placement Seminar**

Students will attend a weekly practicum placement seminar taught by ICSW faculty. The practicum placement seminar serves a supportive, educational role in helping students integrate their coursework and field experiences, develop self-awareness and insight into clinical work.

### **Clinical Consultants for MA Students**

Each Master’s degree student will be assigned a member of ICSW’s Faculty to be that student’s Clinical Consultant. The student will meet every other week throughout the school year with his or her consultant (*16 total meetings required, 8 per semester*); and the purpose of this ongoing consultation is to support the student’s ability to integrate the experiences from the Practicum and Advanced Practicum with classroom learning. These consultations will be tracked, so regular attendance is important; when possible, missed sessions should be re-scheduled. Consultations do not include required write-ups; however, the consultation should be treated as a pass/fail course. Clinical Consultation with a student’s Faculty consultant is considered a class (CCP 1-4) that is taken every semester that the student is in the MA program. The requirements for this class is to meet at least 8 times a semester (16 times a year) with the faculty consultant. Process recordings (at least 4 a semester) will be a part of this course if a student is not doing process recordings at their internship site. An evaluation must be completed by the consultant at the end of each semester and the consultant submits a PASS/FAIL grade.

### **Student at Large (SAL)**

ICSW's Student-at-Large program is designed for professionals or clinicians who are interested in learning about psychodynamic theories. Our courses are taught by our faculty who are experts in the field of mental health. Students may enroll in any course except for Case Conference courses subject to instructor approval. Students can receive a certificate of completion or CEU credits. No more than four courses may be transferred for credit to our Master's or PhD program. Transfer students will also be expected to fulfill all class requirements to receive full credit and complete the application process for our PhD or Master's programs.

Admissions: Application and Interview with the Academic Dean.

## ADDITIONAL INFO

# Section 7.0

### Library

ICSW has partnered with Robert Morris University to maintain a specialized library for the use of its students. A professional librarian oversees library operations and assists users in learning how to do literature searches and use library resources.

The library collection includes books, periodicals, journals, electronic databases, dissertations, and dissertation proposals in clinical social work, psychotherapy, and related disciplines. There is computer access for student use. Word processing, statistical analysis, and qualitative analysis software is also provided.

Books are loaned from the regular collection for a 3-week period. Books may be renewed up to twice, either in person or over the phone with a Robert Morris librarian. Reference books and periodicals may be used in the library but may not be checked out. ICSW students have access to both ICSW's collection and Robert Morris's collection, including interlibrary loan and I-SHARE books. Any fines or cost of book replacement must be met prior to graduation.

The Robert Morris University Library also has private rooms that ICSW students and faculty may reserve for any academic purpose. Rooms are reserved on a 1<sup>st</sup> come, 1<sup>st</sup> serve basis, and students and faculty must have their ICSW ID to enter.

Electronic texts on the ICSW website are protected by copyright law. These files are made available strictly for individual, educational use and may not be copied or distributed in any way. Distribution of copyrighted material to non-enrolled individuals or ICSW students will be considered an act of Academic Dishonesty and be dealt with accordingly to the policies in this handbook. Federal penalties for copyright infringement may be found at [www.copyright.gov](http://www.copyright.gov).

### Continuing Education Program

The primary goal of the Professional Enrichment Program is to provide educational programs that further the professional development of clinical social workers and other mental health professionals. Programming is sometimes extended to serve the interests of the community at large. In accomplishing this goal, the Professional Enrichment Program also provides a forum in which faculty, students, and graduates can present their professional work and gain teaching experience.

Anyone affiliated with ICSW is welcome to submit a proposal for a program to the chairs of the Professional Enrichment Committee. The proposal should include a brief description of the content, format and intended audience. These proposals are considered when the Committee is organizing the fall, winter, spring and summer program offerings.

The Professional Enrichment Program also offers referrals for cost-sensitive consultation and supervision to mental health professionals in the greater Chicagoland area. ICSW faculty and alumni may request to be included on the roster of available consultants and supervisors by contacting the chairs of the committee.

## Continuing Education Credits

ICSW provides Continuing Education credits that fulfill requirements for social workers and related fields who are licensed in Illinois. Students receive credits based on the actual number of clock hours of programs they attend. Successful completion of classroom courses results in assignment of one credit for each hour attended.

Continuing Education credits are also provided for attendees of ICSW sponsored events. All questions regarding Continuing Education credits should be directed to the Director of Academic Administration.

Faculty, students, and event attendees are responsible for keeping track of the credits they have earned in the case of an audit. This is not the responsibility of ICSW.

**Students should consult their state board for conversion of course credit hours to continuing education units. Faculty should consult their state board for conversion of teaching hours to continuing education units.**

## Section 8.0

# APPENDIX

## Financial Aid Timeline

### October -May

Search and apply for Scholarships

- ICSW offers primarily Stafford Loans provided through the FFEL program. Getting your Ph.D. is a significant financial commitment and ICSW strongly suggests offsetting this financial burden by using private scholarships. You can find a list of external scholarships here:  
<http://www.icsw.edu/admissions/student-financial-services/>

### January 1

The FAFSA becomes available online at <http://www.fafsa.ed.gov/>

### June 15

ICSW FAFSA Deadline

### July 31

ICSW Financial Aid Forms Due

- By this date you must submit:
  - An ICSW Application for Financial Aid
  - A Loan Request form
  - An optional Grad PLUS loan

### August 15

Signed Award Letter Due

- After receiving your financial information from the FAFSA and your other financial aid materials, ICSW will package an award for you and send you a detailed Award Letter regarding the aid you will receive. If you accept this award, you may sign and return the form to the Financial Aid Office.

### September 1 or by 1st day of classes

Signed Master Promissory Note and Entrance Counseling Due

- If you are a first time borrower at ICSW and receiving a Stafford or Grad PLUS loans, the lender will require that you sign a Master Promissory Note (MPN), which is a contract between borrower and lender wherein you as the borrower agree to repay your loans in full after you graduate, withdraw or drop below half-time status. Concurrently, entrance counseling, which gives you all the information you need to know about your loans, is the final step required before your loan can be disbursed.

**May 15**

Exit Counseling

- Once a student is scheduled to graduate, withdraws or drops below half-time status, exit counseling is required. Exit counseling gives you all the information you need to know about repayment options and interest rates on your loans. Failure to complete exit counseling results in ICSW withholding the student's degree, certificate, transcripts and other documents.



### **Progression through the Clinical Practicum prior to 2014:**

- **First Set of Case Studies:** Students must complete the Clinical Practicum Learning Tutorial and receive a passing grade, prior to beginning their first set of Case Studies. The tutorial and the first set of case studies are done with the student's advisor.
- **Additional Case Studies:** Students must complete their first set of Case Studies prior to beginning additional Case Studies. After the first set of case studies is complete, other sets may be completed simultaneously or serially.
- **Registration:** Full-time students will be automatically registered for their practicum in the semester they pay for it, whether the consultation has begun or not. Part-time students must turn in their appropriate paperwork indicating the beginning of practicum to be registered for their clinical practicum.
- **First Treatment Case/Consultation:** Students may begin their first Treatment Case or Treatment Consultation while they are also completing their first set of Case Studies, as long as they have their advisor's written permission. They must register for each Treatment Case/Treatment Consultation.
- **Second Treatment Case/Consultation:** Before beginning a second Treatment case/Treatment Consultation, students must have completed and passed the Clinical Practicum Learning Tutorial and the first set of Case Studies.
- **A case study or treatment case is not considered complete until reports and write-ups are approved by the consultant and turned into the Director of Academic Administration.** All case study and treatment case evaluations and write ups must be turned in by the end of the semester after which the consultation ended. If consultants have not received, approved, and evaluated write ups (and submitted the appropriate grade form) by this time, the student will receive a failing grade or will need to do an additional consultation (case study or treatment case). Students may not turn in write ups to consultants after a full semester has elapsed since the end of the consultation. If a student finds that their consultant is not properly submitting their evaluation forms, the student should contact the Director of Academic Administration.
- **Students may not, under any condition, use the same case twice for two case studies or two treatment cases.** However, a single case may be used as both a case study and a treatment case. **Students should not bring into consultation cases they have explored in depth in case conference classes, or have written up in depth prior to the consultation. Students in general may not reuse clinical writing.** Any exceptions must be discussed with the Clinical Practicum Chair.
- **Case Presentation:** Prior to scheduling their Case Presentations, students must:
  - Complete and pass the Clinical Practicum Learning Tutorial
  - Complete and pass at least three sets of Case Studies
  - Complete and pass at least two Treatment Cases and have a third Treatment Case underway
  - Complete a treatment case write up that is approved by the Chair of the Clinical Practicum
  - Have a file that is completely current (all students at this phase should arrange a formal file review with the Director of Academic Administration). The Chair of the Clinical Practicum will check with the Director of Academic Administration the status of the student's file prior to assigning a panel Chair.
- **Exceptions:** Any exceptions to this progression must be approved in advance of course registration by the Chair of the Clinical Practicum and the Dean.

## Summary of Guidelines

Flexibility is built into the Clinical Practicum in order to be relevant to the practice settings of our diverse student body. The following guidelines are to be followed as students develop their clinical practicum experience

**\*CASE STUDIES:** *Six Case Studies are required (prior to 2014 matriculation)*

**\*\*TREATMENT CONSULTATIONS:** *Four Treatment Consultations are required*

- All clients for cases must be seen at least weekly. Students are encouraged to see their clients for extended periods of time (e.g., more than a year). All students are encouraged to have treatment experiences in which clients are seen at a frequency of two or more sessions per week; however, there is flexibility for more varied clinical experiences. The requirement for treatment consultation is organized around the time spent with each consultant rather than the time spent with each case.
- Students must meet for clinical consultation with two different consultants for 22 consultation sessions (*to count as one year*). The type and number of cases to be focused on during the instruction will be determined by the consultant and the student.
- Students must meet in clinical instruction with two other consultants for 44 consultation sessions (*to count as two years*). The type and number of cases to be focused on during the instruction will be determined by the consultant and the student.
- Frequency of consultation is intended to be every other week. Hours added to consultation more frequent than every other week will not be counted toward consultation hours.<sup>6</sup>
- Students need to work with four different consultants: two for one-year consultations, and two for two-year consultations. The expectation is that this total of six years of consultations needs to be completed during four years of coursework. Students who do not complete the Clinical Practicum during four years will risk losing status as full-time students and may need to begin paying back any financial aid loans. Below is the strongly recommended schedule.
- *It is expected that students should follow this schedule to complete the Clinical Practicum:*
  - *First year of full-time doctoral coursework: begin and complete first one-year Treatment Consultation*
  - *Second year of full-time doctoral coursework: begin two two-year Treatment Consultations*
  - *Third year of full-time doctoral coursework: continue and complete two two-year Treatment Consultations (during the third year of coursework is typically when students do their Case Presentations)*
  - *Fourth year of full-time doctoral coursework: begin and complete second one-year Treatment Consultation*
- Any exceptions to the schedule above for completing the Clinical Practicum must be presented to and approved by the Chair of the Clinical Practicum and the Dean.

## Case Studies

**Credit for Case Studies:** **To receive credit for case study consultations, all paperwork, including required write-ups and evaluation forms, must be completed and submitted before the end of the semester following the completion of consultation. It is up to the student and consultant to keep track of submitting the required documents.**

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<sup>6</sup> Effective September 15, 2015

All clients to be used for case studies must be active in treatment at the time they are presented to consultants. It must be possible for the student, following meetings and discussions with the consultant, to have further interviews with the client. In each set of two case studies, the student is required to bring at least one new case to the consultation. Students are expected to select a wide variety of dysfunctional states and diagnostic categories for evaluation. Cases should include clients of both sexes. Students complete six sets of case studies. Each set requires that students complete two written case studies with one consultant. It is recommended that students complete at least one set of case studies per year.

Consultants are not assigned for the case studies; they are chosen by the student from the current faculty. The student may choose to complete the first set of case studies with his/her initial consultation or may choose to work with another faculty member. If a student is having difficulty finding a consultant, the student should contact his/her academic advisor for assistance.

Once a student has chosen a case to be discussed with the consultant, meetings should be scheduled immediately. Whether a student submits written material in advance of a meeting is up to the consultant.

The number of consultations per individual case depends on the learning needs of the student. Since the focus of consultation is on facilitating the development of the student therapist in relation to his/her work on the case, the actual number of meetings per case should be worked out by agreement between the consultant and student. Students are allowed eight to 12 meetings per set of case studies; a minimum of six meetings is required.

The Case Study Outline (available in the appendix) should be used as a guide when writing each case study. Case studies should be approximately five pages in length. The written case study is submitted to the consultant for approval and placed in the student's Clinical Portfolio.

The Case Study Evaluation Form (link available in the appendix; form is also available on the website) must be completed at the end of each set of case studies. If consultation occurs over the course of different semesters, this evaluation form should be filled out at the end of each semester and marked IPS (In Progress – Satisfactory) or IPU (In Progress – Unsatisfactory) to indicate that the case study is still in progress. A copy of this form should be submitted to the Director of Academic Administration.

**All case study write ups must be completed during the consultation period. A case study or treatment case is not considered complete until reports are approved by the consultant. All case study write ups must be turned in and approved by the end of the semester following the semester (spring, fall, summer) in which the case study consultation was finished. If consultants have not received, approved, and evaluated write ups (and submitted the appropriate grade form) by this time, the student will receive a failing grade or will need to do an additional set of case. Students may not turn in write ups to consultants after a full semester has elapsed since the end of the consultation.**

- **Students may not, under any condition, use the same case twice for a case study or a treatment case. However, a single case may be used as both a case study and a treatment case. Students should not bring into consultation cases they have explored in depth in case conference classes, or have written up in depth prior to the consultation. Students in general may not reuse clinical writing. Any exceptions must be discussed with the Clinical Practicum Chair.**

## **Treatment Consultation/Case Process**

**Credit for Treatment Consultations: To receive credit for treatment consultations, all paperwork, including required write-ups and evaluation forms, must be completed and submitted before the end of the semester following the completion of consultation. It is up to the student and consultant to keep track of submitting the required documents.**

As with case studies, all clients to be used for treatment consultation or as treatment cases must be active in treatment at the time they are presented to consultants. Four long-term treatment consultations or treatment cases are required, each with different consultants.

Cases are selected from the student's own practice setting. At least three cases must be ones in which clients are beginning treatment with the student. One case may be in a modality (couple, family, group) other than individual treatment, if this type of learning experience is consistent with the student's goals. Treatment cases may include both adolescents and adults and represent both genders. Students should have their treatment cases represent a broad spectrum diagnostically, from high functioning to severely disturbed and/or reflect their primary practice setting. All cases should involve at least weekly contact. It is strongly suggested that at least one case involve a contact frequency of two to three times weekly. The general guideline for frequency of treatment consultation contacts is every other week. Variations from this frequency should be determined by the consultant, in discussion with the student, and be consonant with the learning needs of the student and the case. Variations should be discussed with the Clinical Practicum Chair prior to implementation.

If the student wishes, he/she may begin the first treatment consultation with his/her initial case study consultant, once that case study set is completed, or may choose someone else. Students may carry appropriate cases for longer than two years as their remaining consultation hours permit. Students who exhaust their allotted 220 hours will be required to "purchase" additional time, and will be billed for any overage.

A Clinical Treatment Consultation Evaluation Form (link available in the appendix; form is also available on the website) must be completed at the end of each treatment consultation. When consultation occurs over the course of different semesters, this evaluation form should be filled out at the end of each semester and marked IPS (In Progress – Satisfactory) or IPU (In Progress – Unsatisfactory) to indicate that the treatment consultation is still in progress. A copy of this form should be submitted to the Director of Academic Administration.

**All treatment case write ups must be completed during the consultation period. A treatment case is not considered complete until reports are approved by the consultant. All treatment case write ups must be turned in by the end of the semester after which the consultation ended. If consultants have not received, approved, and evaluated write ups (and submitted the appropriate grade form) by this time, the student will receive a failing grade (or will, with approval, need to do an additional consultation) Students may not turn in write ups to consultants after a full semester has elapsed since the end of the consultation.**

**Students may not, under any condition, use the same case twice for a case study or a treatment case. However, a single case may be used as both a case study and a treatment case. Students should not bring into consultation cases they have explored in depth in case conference classes, or have written up in depth prior to the consultation. Students in general may not reuse clinical writing. Any exceptions must be discussed with the Clinical Practicum Chair.<sup>7</sup>**

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<sup>7</sup> All clinical and treatment case write-up guidelines and evaluations are available online

## Core Clinical Concepts

The goal of our clinical training is the acquisition of knowledge and skill in clinical social work practice. Classroom instruction and supervised clinical work are the methods of carrying out this goal. Our educational strategy is intended to promote each student's mastery of psychodynamic theory and technique and their integration with clinical practice. Our primary educational method in the clinical curriculum is to examine psychotherapeutic process, clinical technique, and clinical theory. An important aspect of our mission is to help students apply newly acquired knowledge and skill to the various clinical, supervisory, and administrative settings in which they work.

Classroom teaching emphasizes conceptual understanding of the processes of clinical evaluation and psychotherapy through examining various psychodynamic clinical theories. In addition, we focus on learning clinical technique through readings, class discussions, clinical writing, and student case presentations. Class work fosters an examination of the impact of clinical theories on our functioning as clinical social workers.

In the Practicum, the ideas taught in the clinical courses come to life. Through a series of individualized tutorial experiences, learning occurs through examining actual clinical encounters. Teaching focuses on our students' self-experience in the therapeutic process, including their emotional, cognitive, and interpersonal functioning with clients. Teaching is directed toward helping students integrate what they learn about themselves and their clients in the Practicum, with what they learn in clinical courses.

We encourage students to participate in a course of personal psychotherapy, since we believe that psychotherapy promotes the awareness of, and skills to cope with, unresolved psychological difficulties that interfere with professional functioning. We believe that, with the kind of depth exploration that psychotherapy encourages, students are better able to function effectively with a wide range of clients.

The list of core concepts and assumptions that follows informs our clinical teaching and learning. A formal evaluation of student's progress in understanding and integrating these concepts occurs at the case presentation, where students are provided an opportunity to demonstrate competence in conducting, conceptualizing, writing about, and discussing their clinical work in depth.

### Concepts Related to:

#### *Psychological Functioning*

- Behavior is motivated by:
  - The wish/need to achieve pleasure/gratification
  - The wish/need to avoid pain/anxiety
  - The wish/need to create and maintain object ties
  - Early object ties and the longings and anxieties related to them tend to be enacted throughout life
  - The tensions between maintaining early ties and creating new forms of self/other relations are important throughout life
  - The wish/need to create and maintain self-coherence, a sense of agency, and self esteem
  - The wish/need for mastery
  - The achievement of competence
  - The various forms of turning passive into active
  - The wish/need for repetition; the maintenance of existing forms of object relations, self-organization, and mastery is a primary motive; the past is alive in the present
  - Several aims at once

- Behavior has adaptive, defensive, and developmental functions and meanings
- Unconscious processes are active in mental life
  - Non-awareness of feelings/thoughts/fantasies/behavioral tendencies may be brought about by defensive processes
  - Non-awareness may be the result of a mental process never having achieved symbolic elaboration
  - Unconscious feelings/thoughts/fantasies/behavioral tendencies affect and can organize functioning in everyday life; expressions of unconscious activity include dreams, transference, neurotic symptoms, character traits, etc.
- Character is the organization and integration of the various elements of psychic and interpersonal life, and reflects persistent psychic structure
- Trauma as historical event and subjective experience may organize psychic life
- Memory is organized in declarative and procedural forms

### *Clinical Evaluation*

- Reasons to do an evaluation
- Evaluation leads to a recommendation
- Sources of clinical data; direction of the therapist's perception
- Observing non-verbal behavior in the interview – what the client does
- Listening to the client's word – what the client says about his current life, fantasies, and history, with special attention to transference readiness and transference fantasy
- Monitoring one's own affective/fantasy reactions – what kind of emotional/interpersonal milieu does the client evoke?
- The therapist's subjective experience
- Initial countertransference reactions
- Empathy/vicarious introspection
- Kinds of Data Included in an Evaluation:
  - Current living situation and cultural background
  - Personal history, especially of trauma
  - Personal strengths
  - Relational patterns, capacities, and difficulties
  - Defensive patterns
  - Important identifications
  - Persistent disturbing fantasies and beliefs
  - Range of affect
  - Sources of self esteem
  - Symptoms
  - Mood
  - Physical/neurological problems
  - Formulation: fitting the different kinds of data together
    - Formulating why the client is coming in now
    - Formulating the nature of the client's ongoing emotional difficulties, relational patterns, and character
    - Formulating the link between a and b
  - The relationship between diagnostic evaluation and treatment planning
  - Evaluation is a continuous process

### *Treatment Planning*

- Who is the client who will be treated? If the client is a child, how will the therapist work with the child's caretakers?
- What does the client want?
- What does the client need?
- Fee setting
- Frequency of sessions
- Intensity of the process
- Medication and other ancillary services
- Prognosis
- Making recommendations

### *Therapist's Expectations of the Client*

- Openly communicating
- Paying the fee
- Coming to sessions on time
- The way in which clients play the role of client may vary according to culture, referral context, and mode of treatment

### *The Therapeutic Attitude and Personal Requirements*

- Curiosity
- Authenticity
- Self-awareness/emotional honesty
  - Regarding personal bias
- Cultural attitudes
- Racial attitudes
  - Regarding theoretical bias
  - Regarding sources of personal anxiety
- Objectivity
- Freedom of thought
- Open-mindedness
- The capacity for enduring a wide range of feelings
- The capacity for relatedness with vitality
- Confidence in the therapeutic process

### *Psychotherapy*

- What is psychotherapy and psychotherapeutic process?
- How is psychotherapy different from other interpersonal activities?
- The therapeutic alliance
- Methods
  - Listening stances
    - Empathic listening; being in the client's shoes
    - Listening from the point of view of external observer
    - Listening from within oneself; the enlistment of subjective reactions
  - Types of intervention
    - Empathic statements; therapist as caretaker/mother/provider/selfobject

- Interpretation and confrontation; the therapist as authority and teacher
  - Authentic engagement; the therapist as other subject
- The therapist's resistances/anxiety
- Symptom relief vs. character change
- Resistance and defense
  - Motives
    - Fear of mobilizing anxiety
    - Classical danger situations
    - Re-traumatization
    - Loss of self-cohesion
  - Methods/Mechanisms
    - Following the therapeutic interaction; what are the priority issues in the interaction; what is the evidence for a good therapeutic process?
- Manifest vs. latent content
  - Content which is consciously withheld
  - Content which is repressed
  - Content which is dissociated
  - Content/process which exists in procedural rather than declarative form
- Transference
  - As an intrapsychic process
  - As a distorted view of the therapist
  - As selective attention and perception
  - As a repetition and dramatization of core object relations themes
  - As a pre-reflective set of organizing principles
  - Identifying and understanding transference related material
  - Working within the transference
  - Clarifying and interpreting transference fantasy and defenses against transference recognition
- Countertransference
  - As the therapist's transference; the subjective countertransference
  - As the therapist's reactions to the transference; the objective countertransference
  - Using countertransference reactions as data
  - Using countertransference-derived data for interpretation
- Acting out, action, and enactment
  - By the client
  - By the therapist
  - Verbalization and clarification of mutual enactment
  - Acting out and enactment occur in the absence of conscious thought/verbalization
- Therapeutic impasses
- The view of the client as helpless; deficit and the absence of psychological structure
- The view of the client as active agent; intrapsychic and relational conflict and the presence of pathological psychological structure
- The process of termination



## Master's Case Presentation Write-up

The Case Presentation is designed to evaluate the student's ability to conceptualize a therapy case using the core concepts and themes from the master's program. In conjunction with the Clinical Consultant, the case is chosen from the student's second year practicum experience. The written Case Presentation should be completed and approved by the Clinical Consultant by March 15<sup>th</sup>. Once this is accomplished, the consultant (Along with the Director of the Master's Program) will coordinate arranging a date for the Case Presentation for the Faculty Panel.

Please use the following as a template for your Case Presentation write-ups. Under each category, address as much of the criteria as possible. The write up should be 12-15 pages. Remember to disguise the information so that confidentiality is maintained.

### **Identifying Information**

Include the client's age, marital status, education, living situation, occupation, referral source, fee arrangements and brief description of the client.

### **Presenting Problem**

Reasons for seeking treatment, initial symptoms and difficulties. Brief history of present difficulties, including other previous counseling or therapy experiences.

### **History, Relationships & Current Functioning**

Include outline of family background, childhood, academic and relationship history and significant family history. Try to be brief and include only relevant information. Describe current significant relationships, work and/or school performance. Include any substance use/abuse and history.

### **Course of Treatment**

Describe what has happened in the treatment process thus far. How does the client interact in sessions, what are the themes that have emerged, how have they been processed, and what is your experience with the client.

### **Psychodynamic Formulation**

Develop an initial formulation of the major dynamics of the case. Consider: client's past experiences and relationships and how these might be affecting the client's current level of functioning and overall well-being. Consider client's context: family, employment or school and socio-cultural factors. Apply theories learned in classes.

### **Diagnosis**

What is the working diagnosis? Consider DSM and PDM diagnostic criteria

## MA Case Presentation Outline:

### •Reasons for choosing this case for presentation

- I decided to choose this case because it has been one of my most challenging and stirring cases this year. Whether I have wanted to or not, I have spent a great deal of time thinking about this case whether it be in practicum, consultation, at 2am when I woke up from dreams about him, or my own therapy. I joked with my cohort that this is the case that actually drove me back into therapy, so if that's the measuring stick by which to determine a good case, then this case was a great one for me.

### •Identifying information of the patient

- Mordechai is a 32 year old White, Jewish Orthodox male.
- He's been married to his wife for 4 years now and they have 3 children.
- He recently changed jobs, though he is still working in accounts receivable, he is working for a new company that he says he hates. He left his previous job in order to get a raise in his salary however, he's not sure if it was worth leaving the familiarity and community of his previous job. Interestingly enough he has noted that he is having particular problems with his supervisor who is a woman. When asked what the problems are about, he will change the subject after stating that she is simply not a good supervisor and has unreasonable expectations.
- Mordechai is the oldest of 4 boys in his family; his parents have been divorced since he was 8 years old.

### •Source of referral and identified problem/reason for referral, from the point of view of the referrer and of the client

- Mordechai was referred to me after completing brief couples treatment. He and his wife saw a therapist for 6 months (though he says they frequently missed or cancelled appointments so the actual duration was more like 3 months).
- During couples counseling, it came to be suggested that Mordechai get treatment on his own as opposed to continued couples therapy. It is still not clear to me exactly why that is the case. When pushed on the issue he will just respond with "since my wife is still in love with me, I must be the one with the issues who needs therapy"... so he didn't fight coming to therapy alone.
- For his perspective, the main reason he came in was to determine whether or not he should divorce his wife. He also believes that since his wife is still in love with him, he is the one with a problem.
  - Which as I reflect on this now is interesting, given that he always frames any issues they have in regards to something being wrong with her. But at the beginning of treatment he said to me that he was the problem.... Interesting that that never occurred to me.

### •Background/brief history of referral problem

### •History of previous treatment

- Mordechai has been in treatment off and on since the age of 11 when he his grades plummeted. Though he has had a number of therapists, he remembers each one fondly.
- Before seeing me, he reached out to his previous therapist who he saw before he was married. He recalls having a good relationship with her and would have like to see her but they could not find a time to agree upon. He noted that he was very close with this therapist and even contacted her after he and his wife had their first child so that he could go introduce his infant to her.

### •Relevant personal/family history

- In terms of history, Mordechai's retelling of it generally starts at age 8. Some of his first memories are from the weekend he found out his parents were divorced. From his understanding, everything was fine between his parents, he wasn't aware of any major conflict and then when they returned from a weekend trip out of state, they were divorced. Mordechai recalls being confused by this and didn't understand the secrecy surrounding the whole situation. He remembers living in two houses which he thought was cool in the beginning but then when he never had everything he needed in one place, he remembers being frustrated by that.
- When he was 12 he remembers getting kicked out of his father's home because he and his stepmother and step brothers didn't get along. Mordechai didn't like his stepbrothers and he claims that this is the reason he and his stepmother didn't get a long. He remembers frequent arguments with her and then ultimately getting sent back to live with his mother after an incident in which he took all of his stepmother's bras and hung them around the house for everyone to see.
- In terms of intimate relationships, Mordechai was involved with a 38 year old woman who he says was a family friend, when he was 17 years old. Their relationship ended when she moved out of state. Years later, he learned that this woman was going to court over sexual abuse of a minor accusations. He would not elaborate on how he came to know this information but stated that another boy and his family who were taking her to court got in contact with him to see if he would testify against her in court, which he refused to do because he felt like he consented in their relationship.
- Again, when he was 24 years old he got involved with another 38 year old woman whom he met when his mother invited her and her family over for dinner to welcome them to the community. this woman was married with 5 children but according to Mordechai was ready to leave her husband for him. Their relationship began after a year or two of knowing her and babysitting her children, he admits that he felt like he was "courting her" and that he imagined a good relationship would feel like it did with her. Their relationship eventually evolved into a sexual relationship and continued on until she said she would leave her husband for him. He knew that he could not financially support her and her children which is ultimately what led him to ending the relationship.

•Psychodynamic formulation:

•Discussion of Treatment Process:

- I hesitantly began treatment with Mordechai 8 months ago now. Mordechai was also my first male case which I felt particularly nervous about beginning the treatment process with him.
- In the beginning, we had a lot of issues around our appointment time, he was constantly trying to get me to push it later, from 7pm to 8pm stating that his "other therapists would". He would often cancel, show up late or call before his sessions just to make sure he remembered the time correctly.
- Once we began though it was easy for us to get caught up in enactments. Being with him was exciting and provocative because of the material he would discuss in session. We would often get swept away in talking about the details of his sexual encounters with older women.
- Having had my own experience of dating an older woman when I was 17, I was a prime candidate for being pulled into fantasies and experiences of being with someone you shouldn't be with, pushing boundaries, doing things in "secret" that only the two of you knew about, etc. I quickly got wrapped up in the excitement of the experience and in session would often fantasize about what it would be like for the two of us to be together. I would get swept away into thought about how the two of us could make this work, how perfect it was that he was my last

client of the evening, that if he could uphold the rules of secrecy then so could I. The fantasies of this sort of "forbidden love affair" became so overwhelming and really began to take on a life of their own in my mind during our sessions.

- That said, when our sessions would end, I would get in my car to go home and think, what in the world just happened in there? I have no desire to have ANY kind of sexual relationship with this man, I'm engaged to be married, I love my fiancée dearly...How could I have those thoughts?...
- This continued on for at least the first month and a half. Probably longer if I'm being honest. But the fact that it felt like I was caught up in a whirlwind and would quickly "come to my senses" if you will, after our sessions was the first indicator to me that I was gaining some sort of knowledge about what it is to be in relation to Mordechai. I began to realize that this was not just about me and I was gaining some clues about how Mordechai is in his relationships and boundary issues.
- As I stated in my paper, I believe that Mordechai's desire to keep talking about sex is a defense he enlists in order to avoid talking about more painful issues. He has used this as a way to keep me engaged while also at a distance. A recent development that he let "slip" was that when his wife doesn't have sex with him he feels like he has been abandoned. I got the sense that this has caused him a lot of pain. However, when I reflected his idea of feeling abandoned, he was quick to deny that is what he meant.

•Reasons for choosing the process recording(s):

- I chose the two recordings that I chose because I felt like those two best illustrated days in which I show up in the room and use my voice to the best of my ability. In the first session I included in the write up, I point out to Mordechai his defense of shifting to sex every time there is a hard feeling in the room. This was the first time I really felt like I was able to use my voice and assert myself as a therapist with him. I was finally able to point out an observation about the process with him which felt like I was making progress. In the second session again, I am able to point out and hold him accountable for his word choice of feeling "abandoned and rejected" by his wife when she does not have sex with him. For me these two sessions were turning points in our treatment together in that hopefully they allowed him to think about the way he interacts with his wife, with me, and the feelings that his wife not having sex with him bring up for him.

Discuss what, in your view, the session illustrates. What does it reveal about the patient, the treatment process, and you as a developing clinician?

•What major ideas have you learned from this treatment and from the consultation process? How has your thinking about clinical treatment changed?