



NORTHERN
ILLINOIS
UNIVERSITY

Department of Psychology

Graduate Student Manual

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INTRODUCTION

Program Orientation

The graduate program in psychology is directed toward training psychologists at the doctoral level. While all students must complete a Master's degree in the course of their training, students planning on a terminal M.A. are not usually considered for admission to the program. The Ph.D. is primarily a research degree and, consequently, the training is heavily research-oriented. All students are expected to acquire a broad background in psychology and to demonstrate a high level of competence in their curricular area of interest. In addition, students in practice-oriented areas such as Clinical and School Psychology are expected to demonstrate competence in the appropriate applications of psychological principles.

Student Responsibility

IT IS THE RESPONSIBILITY OF EACH STUDENT ADMITTED TO THE GRADUATE SCHOOL TO KNOW AND OBSERVE ALL REGULATIONS AND PROCEDURES RELATING TO THE PROGRAM BEING PURSUED. IN NO CASE WILL A REGULATION BE WAIVED OR AN EXCEPTION BE GRANTED BECAUSE A STUDENT PLEADS IGNORANCE OF THE RULE OR BECAUSE THE STUDENTS HAS NOT BEEN INFORMED OF IT BY AN ADVISOR OR OTHER AUTHORITY. IN PARTICULAR, STUDENTS PLANNING TO OBTAIN A DEGREE SHOULD BE AWARE OF THE DEADLINES FOR HAVING THE NECESSARY MATERIALS FILED IN THE GRADUATE SCHOOL.

This handbook was written to inform graduate students of the rules and procedures applying to students seeking degrees in the Department of Psychology. From time to time changes and additions are made to these rules. It is the responsibility of the student to keep informed of these changes which will be communicated by the department in the form of addenda to this manual, memos to students, or by notices placed on the departmental bulletin board. Rules or requirements which are specific to a curricular area within the department are not included in this manual. For such information, students should contact their academic advisor or curricular area coordinator. In addition to the rules in this manual, the student is expected to be thoroughly familiar with the regulations in the Graduate Catalog.

Students are expected to abide by the American Psychological Association's Code of Ethics, Principles for the Care and Use of Animals (American Psychologist, November 1985), the requirements of the University Institutional Review Board (Human Subjects), the NIU policy and procedures governing research conduct (see Appendix A), and the laws of the State of Illinois in the conduct of research and the offering of psychological services.

ADMISSIONS

General Information

All applications for graduate study in psychology must be submitted through the Graduate School. Applicants should refer to the Graduate Catalog for information about application dates, fees, immunization requirements, etc. The psychology programs represent an integrated sequence of study leading to the Ph.D. degree. As a part of this sequence, students must complete the requirements for a master's degree in psychology. Admission to the doctoral program prior to completion of the M.A. will be contingent upon completion of the M.A. with a research thesis by the end of the seventh semester following initial admission into the graduate program in psychology, a positive recommendation by the student's curricular area at the time of completion of the M.A., and a satisfactory G.P.A. at that time.

To be considered for admission to the graduate program, the Graduate School requires that an applicant must have at least an overall 2.75 grade point average on a 4.0 scale in the baccalaureate degree program or have completed 15 or more semester hours of graduate work at an accredited institution with a G.P.A. of 3.20 or better, although the Department of Psychology typically requires grades substantially higher than the Graduate School minimum. The applicant must submit scores on the General Test of the Graduate Record Examinations, three letters of recommendation, and official transcripts of all undergraduate and graduate work to the Graduate School. Applicants are required to indicate the curricular area within the department for which they are applying. Assuming that minimum requirements for admission to the Graduate School are met, acceptance into the graduate program in psychology is determined by the department and is dependent upon acceptance by the appropriate curricular area faculty. Not all students who meet the minimum standards are accepted. An otherwise qualified applicant may be denied admission due to specific deficiencies or weaknesses, or simply because of space limitations within the department. Each year, a limited number of students are accepted from among the qualified applicants on the basis of the relative strength of the application credentials.

Change of Area

Within the department students are considered admitted into a curricular area. Students wishing to change curricular areas must be in good academic standing, must petition the chair of the department, and be approved via normal area procedures by the area to which transfer is being requested. Although such changes are possible at any level of training, they would normally be expected to occur early in the student's program.

Conditional Admission Into The Doctoral Program

Students working toward the M.A. degree may be conditionally accepted for admission in the doctoral program prior to completion of the master's program. A student may be considered for conditional admission to the doctoral program provided a master's thesis advisor has been appointed, a positive recommendation has been received from the student's curricular area, and 30 semester hours of graduate credit have been completed with at least a 3.2 grade point average in graduate psychology course work exclusive of thesis and independent study courses (including at least a 3.0 G.P.A. in the Master's foundation courses).

Continuation In Doctoral Work Following Completion Of The M.A. Degree

Upon completion of a master's degree, students will only be continued in the doctoral program provided they have completed an outstanding research thesis, received a positive recommendation for continuation at that time from the student's curricular area, and have at least a 3.2 G.P.A. overall and in graduate psychology course work exclusive of thesis and independent study courses (including at least a 3.0 G.P.A. in the master's foundation courses).

ASSISTANTSHIPS

General Information

The Department of Psychology appoints a number of graduate teaching and research assistants each year. The duties of the teaching assistant vary in nature and may involve responsibility for introductory psychology sections, handling undergraduate laboratory sections, or assisting in large lecture classes. Students assigned to teaching duties whose native language is not English must demonstrate competence in spoken English by completing the Test of Spoken English and obtaining a minimum score of 200. The research assistant is involved in the research program of a faculty member and is responsible to the faculty member. Assistantships may be full-time (20 hours per week), three-fourths time (15 hours/week), or one-half time (10 hours per week). Holders of all assistantships receive a waiver of tuition (but not student fees) for the semesters during which the assistantship is held and, when an assistantship is held for a full academic year, for either the preceding or the following summer session. Assistantship duties are considered an important part of graduate training in teaching, research and clinical activities, and performance contributes to the students' overall evaluation.

Federal and state laws set two further requirements for all university employees, including assistants and fellows. Upon reporting to the department for initial service, all students must present documentation of U.S. citizenship or other eligibility for employment, and must also certify either that they are not in default on repayment of any educational loan from public funds or that satisfactory payment arrangements have been made with the lender. Students will be informed of the means of compliance with these regulations prior to assuming their duties.

Yearly Support

The departmental budget available for graduate assistantships fluctuates from year to year and no student is guaranteed support. Students are encouraged to seek nondepartmental support through the university and external agencies. The Graduate School maintains a Grants and Fellowship Office that should be consulted. Students will be eligible for departmental assistantship support for no more than three academic years prior to the award of the Master's degree. Third-year students must be accepted into the doctoral program and complete all requirements for the Master's degree, including the oral examination, by May 15 of that third year in order to be eligible for continued departmental assistantship support. Third-year students completing all requirements between May 16 and August 1 may be considered for support, but only if supplementary funds become available. Students will not be eligible for more than a total of five years of departmental assistantship support in the graduate program, including pre- and post-MA years (the internship year and formally granted leaves of absence will not be counted). The availability of funds and student progress toward the Ph.D. degree will be factors determining the award of departmental assistantships to students. A curricular area may set lesser time limits for support of its students but may not exceed the departmental limits.

Resignation & Termination

Since the award of an assistantship precludes offering it to another student, acceptance of an offer carries with it a commitment to serve as an assistant for the full term. A student who resigns an assistantship after April 15th (preceding the assistantship year) without departmental approval may not be considered for a future assistantship appointment.

Termination or Resignation of a Graduate Assistantship - Northern Illinois University Principles and Procedures

When reference is made to the "head of the employing unit," this should be understood to mean "head of the employing unit, or his or her designee."

1. Failure to report for work on the reporting date specified in the offering letter constitutes grounds for termination of the assistantship, with no remuneration, at the discretion of the head of the employing unit.
2. A graduate assistantship (GA) may be terminated by the Graduate School without notice if the assistant is found to be ineligible by virtue of noncompliance with either Board of Regents or university regulations.
3. Absence from duties for one week or more without excuse acceptable to the supervisor shall constitute grounds for immediate termination of the assistantship as of the date of the start of the unexcused absence, at the discretion of the head of the employing unit.
4. A graduate assistant can be removed from any particular work assignment without notice if, in the opinion of the supervisor or employing unit, continuation of the GA in that assignment poses a threat to the safety or well-being of the GA or of others. In such a case, the GA may be reassigned to other duties if another appropriate assignment exists within the unit, or it not, may be given notice of termination as in (7) below.
5. A GA whose work performance is deemed to be unsatisfactory (but not of such acute concern as to warrant change of assignment as in (4) above) shall be advised by his or her supervisor as to the nature of the deficiencies in performance, and the expectations for improvement.
6. If the deficiencies are perceived by the supervisor to be severe enough that lack of amelioration would necessitate termination of the assistantship appointment, the GA shall be so notified in writing. Such notice shall include specification of the areas and nature of deficiency in work performance, and provide a reasonable period of time for the GA to address these deficiencies and demonstrate improved performance.
7. If, in the opinion of the supervisor, the GA fails to show sufficient improvement in work performance over the period allowed for remediation, the supervisor may give the GA notice of termination. This notification must be in writing, should indicate reason(s) for termination, and must be submitted in duplicate simultaneously to the GA and to the office of the dean of the Graduate School. The termination may not be effective sooner than fifteen calendar days from the date upon which the notice is hand-delivered to the GA or mailed, postage prepaid, to the GA's current local address on file with the Office of Registration and Records.

8. Assessment of the quality of work performance is the sole right and responsibility of the employing unit, and is an academic and professional judgment. However, the GA may dispute any facts or procedures relating to the termination. The GA may appeal the termination to the head of the employing unit. Such appeal must be submitted, in writing, within five calendar days of the date upon which notice of termination is hand-delivered or mailed to the GA as described in (7) above. A copy of this appeal must be submitted simultaneously to the Graduate School. If the head of the unit declines to reverse the notice of termination, written appeal may be made to the Graduate School.

9. Appeal to the Graduate School of a decision to terminate a graduate assistantship must be submitted in writing by the GA to the office of the dean of the Graduate School, with a copy to the head of the employing unit. Such appeal must be made within ten calendar days of the date of the notice of termination as defined in (7) above, unless the head of the employing unit has been unavailable for appeal as described in (8). In the latter case, the written appeal to the Graduate School must be submitted within five calendar days of the date upon which the decision of the unit head is hand-delivered to the GA or mailed, postage prepaid, to the GA's local address as defined above. In any case, termination will not take effect while an appeal is in process.

10. As soon as possible after receipt of the appeal, the Graduate School will convene a Graduate School Assistantship Appeals Committee (hereinafter known as "the Committee"), notifying the GA and employing unit as soon as the meeting time has been set. If any member on the Committee is from the employing unit in the case, that person may not serve while the Committee considers this case; an alternative from another unit may serve.

11. The Committee meeting will be closed. In addition to the Committee members, the only persons present will be the GA submitting the appeal, the head of the employing unit, and no more than one additional person accompanying each of these two, to advise, observe, and counsel. This is not a legal proceeding, and there is no requirement that the GA be represented by legal counsel. However, if the GA chooses to be accompanied by such counsel, the representative of the employing unit may be accompanied by the University's General Counsel. No other persons shall be present.

12. The GA and the head of the employing unit may each present his or her case orally, the Panel members having the right to ask questions for clarification as necessary. The two parties may also present written supporting documentation, which may include statements from other parties having knowledge relevant to the case. If either contests the facts as stated by the other, the person contesting shall have the opportunity to express the objection(s). Either party may call or question witnesses, and witnesses may be questioned by the Committee. Since the issues involved are academic rather than legal, the Committee will not be bound by strict rules of legal evidence, and may entertain written statements, affidavits, or other evidence or information pertinent to deciding the issues involved. A tape-recorded record of the proceedings shall be maintained for a minimum of five years at the expense of the University; a duplicate tape copy of this record will be available on request to the GA during this period.

13. If the conclusion of the Committee is that the decision to terminate should be rescinded, the assistantship will be restored without break from the date of termination. The decision of the Committee is final; there is no further appeal process.

14. A GA whose assistantship is terminated for reasons in (1) or (2) above should expect cancellation of the associated tuition waiver scholarship. A GA whose assistantship is terminated for deficient performance or for unexcused absence from duties during the term of the assistantship may receive a prorated waiver of tuition for that academic term.

--Approved May 4, 1992 by the Graduate Council for inclusion in the Academic Procedures Manual

Editorial Modifications May 5, 1997

Effects of Tax Laws On Graduate Students' Taxable Income

Tax Reform Act. The Federal Tax Reform Act of 1986 (Public Law 99-514) has considerable effect on graduate students, for it made significant changes in the way scholarships, fellowships, assistantships, and tuition waivers are considered for income tax purposes. Unfortunately, regional IRS offices may vary in their interpretations of what federal guidelines are available. While the following information should not be considered a substitute for professional tax advice, it may serve as a guide to the federal legislation and its impact on graduate students.

Assistantship stipends. Any financial award for which teaching, research, or other services are required is considered wages. Thus, the monthly stipend received by graduate assistants must be reported as one would report salary, and it is considered taxable income. This is a major change from previous federal law, which allowed assistantship stipends, under certain circumstances, to be tax-exempt. Typically at Northern Illinois University, scholarships and fellowships do not require the performance of services, whereas assistantships do.

Tuition waivers. The tuition waiver granted in conjunction with the assistantship is awarded to the student in recognition of past performance and/or potential for graduate work. The Tuition Waiver Scholarship is distinct from the assistantship stipend and therefore not considered income by the I.R.S.

ACADEMIC STANDING

G.P.A. Requirements

Students are referred to the section on academic standing in the Graduate Catalog for information regarding minimum academic standards.

In addition to university regulations concerning academic probation (see the Graduate Catalog), the department has specific standards. To remain in good academic standing students in the program must maintain at least a 3.0 G.P.A. in graduate psychology courses exclusive of thesis and independent study courses. Failure to meet this requirement will result in departmental probation. A student placed on departmental academic probation who fails to bring the G.P.A. to the required level of 3.00 in graduate psychology courses (excluding thesis and independent study) during the next academic term in which the student enrolls at the university will be academically dismissed from the program.

Termination of Admission

A student failing to maintain good academic standing as described above and in the Graduate Catalog will be dismissed from the program. In addition, a student in good academic standing in terms of G.P.A. may be dismissed from the program for various reasons including, but not limited to, failure to satisfy program requirements in a timely fashion, failure to continuously register for PSYC 599 or 699 after such registration has commenced, and failure to register for a minimum of 12 semester hours each fall and spring semester without having received permission for a reduced load from the department chair or without having received an approved leave of absence from the department.

Incompletes

Incompletes in graduate courses must be removed before the end of the following semester or session (including summer, whether or not the student is enrolled). Upon assigning an incomplete, the faculty member shall complete the "Report on Incomplete" form indicating the letter grade to be assigned at the end of the next term if the required work to be done has not been completed. The change of grade must be submitted before the deadline (end of following term) or the grade will revert to the indicated grade. In extraordinary circumstances an extension of up to one term may be granted on the recommendation of the instructor and with the approval of the office of the dean of the Graduate School. Incompletes in thesis and dissertation courses (599 and 699) are exempt from the above regulations. Please refer to sections on Registration in PSYC 599 and Registration in PSYC 699 for further information about grades of incomplete in these courses.

Leave of Absence

A student may submit a written request to the department for a leave of absence from departmental course work requirements. A request for a leave of absence must have the positive recommendation of the student's primary curricular area and must be approved by the department chair. Students requesting a leave should especially check with the Graduate School regarding its requirements, including the maximum time period allowed to fulfill all degree requirements and the impact a leave has on this time period. With regard to progress within the program, the time period covered by an approved leave will not count as a part of the time the student has to complete the M.A. degree with regard to assistantship support, or as a part of the time the student is allowed to pass candidacy exams. The maximum time period for which a departmental leave of absence may be granted is 12 months. Under extraordinary circumstances and with the positive recommendation of the student's curricular area, the chair may grant a student's request for an extension of a leave (not to exceed an additional 12 month period). If a student requests a second leave of absence or an extension of an initial leave, both the student and the student's curricular area should consider the option of the student withdrawing from the program without prejudice with the option of reapplication at some future date. During the period of an approved leave, students are not required by the department to register in graduate course work, but students are advised to check with the Graduate School regarding its requirements during this time period.

Procedures for Appealing Allegedly Capricious Course Grades of Graduate-Level Students

July 2, 2002

Introduction

The following procedures are available only for review of alleged capricious grading of graduate students and students-at-large, and not for review of the judgment of an instructor in assessing the quality of a student's work. Capricious grading, as that term is used herein, is limited to one or more of the following:

1. the assignment of a grade to a particular student on some basis other than performance in the course;
2. the assignment of a grade to a particular student by more exacting or demanding standards than were applied to other students in that section of the course;
3. the assignment of a grade by a substantial departure from the instructor's criteria distributed in writing during the first fourth of the course.

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

The Right of Fair and Equal Evaluation of Students

A course grade must be based on evidence of the student's performance in the course, the student must have access to the evidence, the instructor must explain and interpret the evidence to the student, and a single evaluative standard must be applied to all graduate-level students in a course section. It is also expected that grades be determined in accordance with written guidelines that should be distributed in each class within the first fourth of the course.

At any time, a student may seek the counsel of the university ombudsman regarding procedure in appealing allegedly capricious grades or the merits of a particular case.

Appeal Procedures

If, at any step of the process, the instructor cannot be contacted or fails to respond, the department chair shall designate a faculty member to act for the instructor.

A student who believes a semester grade is capricious may seek clarification and, where appropriate, redress, as follows:

One: The student shall confer with the instructor, informing the instructor of questions concerning the grade, and seeking to understand fully the grounds and procedures the instructor has used in determining the grade. The aim of such a conference is to reach mutual understanding about the grade and the process by which it was assigned, and to correct errors, if any, in the grade.

Two: If after consultation with the instructor, the student believes that a grade is capricious, the student shall confer with the chair of the department in which the course is offered, who shall consult and advise with both the instructor and student separately or together, in an effort to reach an understanding and resolution of the matter.

Three: If Steps One and Two do not resolve the problem, the student may submit a petition in writing to the Grade Review Board in the academic department in which the course in question was offered. This petition must be submitted through the department chair not later than the end of the fourth week of the semester following the semester or summer term for which the grade is being appealed.

Although petitions regarding spring grades must be submitted no later than the fourth week of the fall semester, they may be submitted during the summer session. (If an assigned grade is officially changed, an appeal petition must be submitted no later than four weeks following official notification to the student of the grade change.)

The petition shall request a meeting with the Grade Review Board and shall present evidence allegedly proving that the grade is capricious as defined above, and shall present the student's conclusions and the arguments which substantiate those conclusions. The Grade Review Board shall refer the petition to the instructor and secure from him or her a response in writing, setting forth his or her position on the matter. The Board shall provide the student with a copy of the instructor's response.

The Grade Review Board shall make a reasonable effort to conduct an inquiry within two weeks of receipt of the petition to ascertain and consider relevant facts. The inquiry will be based on a consideration of the student's petition, the instructor's response, and any interviews by the chair of the Grade Review Board with the student or instructor. The Board shall convene a meeting with the student should the latter ask for one, and it may initiate a meeting with the student, with the instructor, or with both.

The Grade Review Board shall make one of these decisions:

1. that the grade was not assigned capriciously and shall stand as assigned.
2. that the grade may have been assigned capriciously and merits further consideration.

If conclusion "b" is reached, the Grade Review Board may then arrange for the instructor or a group of two departmental colleagues (this may be the faculty members of the Grade Review Board) to re-examine all the evidence of the student's work. (If there is not enough evidence, an additional examination may be conducted or additional work assigned to help determine the students' level of mastery and achievement in the subject matter.) The Grade Review Board shall, as a result of its consideration, recommend a grade the same as or different from the grade alleged to be capricious.

The Grade Review Board shall immediately notify the Dean of the Graduate School of its decision.

Four: The Dean of the Graduate School shall notify the student, the instructor, and the department chair of the Grade Review Board's decision, and review the case. If the decision of the Grade Review Board is that the grade should be changed, the dean shall consult with the instructor if requested by the instructor; if the decision of the Grade Review Board is that the grade should stand, the dean shall consult with the student if requested by the student. The dean may consult both

the instructor and the student, either individually or collectively. On the basis of the review and the meeting with the instructor and/or student, the dean (a) may then concur with the decision of the Grade Review Board and, as appropriate, direct the instructor to make the grade change or notify the instructor that the original grade stands either of these decisions shall be final, or (b) may then request the Grade Review Board to reconsider its decision, providing the Grade Review Board with a statement of reasons for reconsideration. After a reconsideration by the Grade Review Board, its recommendation regarding the student's grade is final. Should the reconsideration of the Grade Review Board involve a change in grade, the dean shall direct the instructor to make the grade change. In the event the instructor declines to make the grade change, then the dean shall authorize the Registrar to make the grade change and such a decision shall be final.

Note: At all points of decision, the student, the instructor, the department chair, and any parties involved, shall be notified promptly and no later than one week after each decision has been reached.

Composition of Departmental Grade Review Board

Early in each academic year each academic department shall establish a Grade Appeals Panel to be available to consider appeals from students alleging that they have received capricious course grades.

The Panel shall consist of **four** tenured graduate faculty members, excluding the department chair, and two to four graduate students. The students shall be selected by the appropriate departmental graduate student advisory committee. (If there is no department graduate student advisory committee, the students shall be selected by the college student advisory committee.) Prior to the initial meeting of the Grade Review Board, the student and the instructor involved in the grade appeal each have the right to exclude one member from the panel from which the Grade Review Board will be selected.

The Grade Review Board for hearing a graduate-level student's appeal shall consist of two graduate faculty members and one graduate-level student. The faculty and students shall be selected by lot from the faculty and students remaining on the Grade Appeals Panel after excluding any who have been removed by either party in the appeal. Neither the student nor the instructor involved in an appeal may be a member of the Grade Review Board reviewing that appeal.

Protection of the Instructor's Rights

No decision of a Grade Review Board shall, by itself, be used as a cause for dismissal of a tenured faculty member or for dismissal of a non-tenured faculty member before the expiration of a contract period. Nor shall a decision, by itself, be a basis for any other disciplinary action. Any disciplinary actions shall be in accordance with regular university procedures. All evidence considered by a Grade Review Board shall be made available to any body which may be considering disciplinary action concerning an instructor whose grading has been found by a Grade Review Board to be capricious. That body shall make an independent determination based upon its own consideration of all evidence, irrespective of the findings of the Grade Review Board.

Note: If the course under consideration is administered by a unit other than an academic department (e.g., a college or an interdisciplinary center), the "department chair" in this document is understood to mean the administrative head of that unit, and the Grade Appeals Panel and Grade Review Board will be composed of graduate faculty and graduate students affiliated with that unit.

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Editorial correction July 2, 2002

COURSE LOADS

General Information

A student's course load includes all courses for which the student is registered, graduate and undergraduate, whether taken for credit or audited.

During each fall and spring semester, the Department of Psychology requires that all students in the master's and doctoral program register for a minimum of 12 semester hours unless permission for a reduced load is granted by the department chair. A student who fails to register for a minimum of 12 semester hours each fall and spring semester without having received permission for a reduced course load from the department chair, or without having been granted a leave of absence from the department, is subject to dismissal from the program. *Budget allocations to the department (including your assistantship stipends) depend on the number of credit hours generated. Credit hours are included in the count only for registration completed by the end of the first week of classes. Therefore, students are required to complete registration in each semester prior to the first day of classes. Students who fail to register on time will receive a lower priority for assistantship in subsequent years.*

Once an approved dissertation proposal has been filed with the department and all other requirements for the Ph.D. in psychology have been met except for completion of the dissertation, students without assistantship or fellowship support may register for fewer than 12 hours during the semester with the recommendation of the dissertation advisor and approval of the department chair.

Although a student is permitted to enroll for up to 15 semester hours, specific academic advice is recommended for a student considering such a load. A graduate student on academic probation may not enroll for an overload.

Prior to the formal approval of a dissertation proposal, part of the 12 semester-hour course load during each fall and spring semester must consist of registration in PSYC 590, Psychological Research (1-3). These hours will not count toward the 30 semester hours required for a master's degree or toward the 90 semester hours required for the Ph.D.

Once a student has begun work on a thesis or dissertation through formal registration in PSYC 599 (Master's Thesis) or PSYC 699 (Ph.D. Dissertation), it is expected that such work will progress each academic term, and registration must be continued in each subsequent term (including the summer term) until the thesis or dissertation is submitted to and formally approved by the Graduate School, unless a leave of absence is obtained. It is expected that the number of PSYC 599 or 699 hours in which a student is enrolled should reflect the amount of work undertaken that semester subject to minimum registration requirements specified in the Graduate Catalog. When the student has completed the maximum number of semester hours of 599 or 699 specified in the program, subsequent registration should be on an audit basis. Registration for PSYC 599 or PSYC 699 may be in absentia. If a student interrupts continuous registration in 599 or 699 without obtaining a leave of absence, the department may recommend that the student's admission to the degree program be terminated.

Students Receiving Financial Support

Graduate students holding full or partial assistantships, fellowships, or similar assignments during a regular semester are required to enroll in 12 semester hours of courses by the department. In the summer session, students on assistantship appointments are required to enroll for 6 semester hours.

Reductions in course load of up to 6 semester hours in a fall or spring semester and up to 3 semester hours in a summer semester must be approved in advance by the department chair. Any greater reduction must be approved in advance, in writing, by the appointee's department chair and the office of the dean of the Graduate School.

Unapproved reductions in the required course load during the fall, spring, or summer term will result in withdrawal of the assistantship by the department.

International Students

An international graduate student on a student (F-1 or J-1) visa is expected to carry 12 semester hours in the fall and spring semesters, but is not required to register in the summer session. Permission to take fewer than 12 semester hours in fall or spring must be obtained in advance from the department chair.

Students On Internship

In addition to any required dissertation hours, students on internships are required to enroll for 12 semester hours of PSYC 555 or 556 (Internship) during the fall and spring semester and for students specializing in clinical psychology 6 hours during the summer. The department will request that the Graduate School waive tuition during the internship for all required internship hours. The Department of Psychology will inform the Graduate School, in advance of the beginning of the academic term of the names, internship course numbers, and credit hours for those students for which an internship tuition waiver is requested. Students receiving the internship tuition waiver are not to change their internship enrollment in any way without the approval of the department, which will then immediately notify the Graduate School.

GENERAL PROCEDURES AND REQUIREMENTS FOR THE MASTER'S DEGREE

Program of Courses

Students are responsible for knowing the general regulations pertaining to the M.A. as well as the specific requirements for the psychology M.A. which appear in the Graduate Catalog. Students are urged to meet early in or prior to their first term with their academic advisors to plan an official program of courses. Prior to registering each fall, spring, and summer term students should consult with their advisors for the purpose of review and approval of all course selections. The official program of courses to be taken for the degree must be approved by the student's academic advisor as early in the student's graduate studies as possible and submitted through the department to the Graduate School for review for conformity with departmental and university requirements no later than the time at which the student presents the application for graduation.

This program of courses must include all department course requirements for the M.A. and requires that a student earn a minimum of 30 semester hours of graduate course work in psychology. Of these, 15 hours will consist of required foundation courses. The remaining 15 hours will be selected by the student in consultation with the academic advisor. For students in the thesis option six of these remaining hours will be thesis credit, PSYC 599. The number of semester hours of graduate-level independent study in psychology (PSYC 585) on the 30-hour program of study may not exceed six.

With approval of the department chair and the Graduate School a maximum of 15 semester hours of graduate credit, completed with a grade of B or better, may be transferred from other accredited colleges or universities as credit toward the M.A. degree. The total combined number of semester hours of graduate transfer credit plus graduate credit earned from NIU as a graduate student-at-large which can be applied toward the M.A. degree may not exceed 15.

Limitation of Time

For the M.A. degree, the student must fulfill all requirements for the degree within six consecutive years immediately preceding the date of the student's graduation. This time limit applies to enrollment in all graduate course work in the student's program including work for which transfer credit is allowed. If an NIU course does not fall within the six-year period, the department may require the student to retake the course for credit or may allow the student to demonstrate current knowledge of the subject matter.

Time limitations of acceptable course work are presented in Appendix B.

Course Requirements and Foundation Courses

General. The M.A. Degree program in psychology requires that a student earn a minimum of 30 semester hours in psychology. Registration for a minimum of 12 semester hours is required each fall and spring semester unless the student is granted permission for a reduced load by the department chair. Part of this 12-semester course load each fall and spring semester must consist of registration in PSYC 590, Psychological Research. These hours will not count toward the 30 semester hours required for the master's degree. The M.A. degree program in psychology must include successful completion of the following set of foundation courses:

1. Both of the following 2 courses:

PSYC 504 Advanced Psychological Statistics (3)
PSYC 506 Experimental Design (3)

Psychology 504 and 506 must be completed during the first calendar year in the program.

2. Three courses selected from:

PSYC 501 Fundamentals of Learning or PSYC 511 Cognitive Psychology I (3)
PSYC 503 Biopsychology (3)
PSYC 520 Experimental Social Psychology (3)
PSYC 541 Analysis of Behavior Pathology (3)
PSYC 565 Behavioral Development (3)

The three courses used to satisfy item 2 above must be completed by the end of the second calendar year.

In addition, 15 semester hours must be completed in one of the two options listed below.

Master's program - non-thesis option. In addition to successful completion of the 15 semester hours of required foundation courses, 15 semester hours from other graduate courses in psychology (specified on the program of courses) must be completed successfully. These remaining hours will be selected by the student in consultation with the academic advisor.

A student switching to a non-thesis option from a thesis option may, at the discretion of the department, receive graded credit for some or all of the work conducted under PSYC 599 (Master's Thesis), or submit a change in the program of courses substituting other graduate credit hours for 599 hours (advisor approval is necessary). Any remaining grades of incomplete in 599 will be changed to permanent incomplete (IN).

The department also requires that students electing the non-thesis option successfully complete a minimum 3-hour or equivalent written and/or oral master's comprehensive examination. As the student begins final preparation for taking the comprehensive examination, graduation requirements and deadlines become of greater concern. Please note: when completion of requirements for the degree approaches, it is the responsibility of the student to apply for graduation and comply with all related regulations, deadlines, and graduation requirements of the Graduate School. A student on academic probation is not eligible to take the comprehensive examination.

Prior to the beginning of the semester during which a student plans to take the master's comprehensive examination, the student must file a letter of intent to do so with the coordinator of the student's curricular area. The examination will be taken at the same time that doctoral candidacy examinations are given, or at such other times as are approved by the faculty of the curricular area administering the examination. The composition of the examination will be determined by the student's curricular area. A written statement of examination procedures may be obtained from the area coordinator. The examining committee shall consist of at least three faculty members, the majority of whom must be members of the graduate faculty. No more than one member of the examining committee may be without graduate faculty status; case-by-case approval for such persons must be obtained from the Dean of the Graduate School. A student who fails the examination may, with the permission of the curricular area, repeat the examination no sooner than the following academic term. Such a decision by a curricular area shall constitute a departmental decision. A student who fails the examination a second time will not be permitted to continue work towards the master's degree in psychology, and admission to the program will be terminated.

Students electing the non-thesis option will not be considered for admission to the doctoral program.

Master's program - thesis option. In addition to successful completion of the 15 semester hours of required foundation courses, 15 semester hours from other graduate courses in psychology (specified on the program of courses) must be completed successfully. Of these, 6 hours will be thesis credit, PSYC 599. The remaining 9 hours will be selected by the student in consultation with the academic advisor. In addition to these requirements, the student must meet any special requirements of the curricular area and successfully defend the thesis in an oral examination. The section in this manual on "Steps & Procedures In The Master's Program--Thesis Option" should be read carefully.

Additional course requirements for non-native speakers of English. Students whose native language is not English will be given further tests of their English language skills. The staff of the English Department conducting the language screening during foreign-student orientation will routinely notify the student's advisor and the Graduate School, in addition to the student, of the need to take the ESL courses. Those students whose English appears deficient or marginal for purposes of graduate study will be required to improve their competence in the language by completing the sequence of courses English 103 ESL and English 104 ESL. The special sections of ENGL 103 ESL and ENGL 104 ESL are tailored to the particular needs of foreign students, with enrollments limited to 15. The instructors all have had special training in the teaching of English as a second language, and the courses seek not only to develop enhanced English language skills but also to assist foreign students in improving their classroom skills (communication, note-taking, listening, comprehension, etc.), to provide some training in academic writing (research methods, style manuals, and the concepts of integrity and independent scholarship), and to help them bridge some gaps that may otherwise cause them problems.

STEPS & PROCEDURES IN THE MASTER'S PROGRAM--THESIS OPTION

1. File Program Of Courses

Please refer to the section, "Program of Courses" found under "General Procedures And Requirements For The Master's Degree."

2. Appointment Of Thesis Advisor And Committee Members

All students in the thesis option are required to complete an approved thesis based on a research study, in partial fulfillment of the requirements for the Master's degree.

The student will normally discuss research ideas with several eligible faculty members prior to the appointment of a thesis advisor. The selection of a thesis advisor is a mutual decision made by the student and the faculty member. The decision will be based on the faculty member's competence in the particular research area, appropriate graduate faculty membership, and the faculty member's availability and willingness to provide adequate supervisory time during the thesis period.

The faculty member will request in writing that the department chair make the nomination as thesis director and will also recommend one or two additional faculty members to serve on the thesis directing committee. The final thesis examining committee will be comprised of three faculty members: the director, other thesis directing committee members, plus any additional faculty readers needed to constitute the three person final thesis examining committee. Furthermore, the department chair with the consent of the director of the thesis committee may appoint an additional faculty reader at the time of the final orals. Should the thesis advisor or a committee member be an adjunct faculty member, appointment shall also require the recommendation of the student's primary curricular area. The thesis committee may include only one adjunct faculty member. The thesis advisor may consult with the student regarding the selection of the committee members, but the final responsibility for the recommendation rests with the advisor and the responsibility for the appointment rests with the chair. It should be noted that a majority of faculty on the final thesis examining committee must be members of the graduate faculty, and that no more than one member on this committee may be without graduate faculty status (case-by-case approval for such persons must be obtained from the Dean of the Graduate School).

3. Registration For Thesis Hours, PSYC 599

Before registration is permitted in PSYC 599, Master's Thesis, a student must have a thesis advisor officially appointed by the department chair. Students must always obtain departmental permission before registering for thesis credit (PSYC 599). This takes the form of a written slip obtained from the graduate secretary. Failure to obtain such permission can result in being dropped from the permit course.

Please be sure to obtain written permits prior to registering for PSYC 599. Permits will not be granted if the form for naming a thesis advisor has not been filed with the department.

Departmental policy is that students who register for these credits without having obtained a permit will be dropped from the course. Questions regarding number of hours to take should be addressed to your thesis advisor. It is expected that the number of PSYC 599 or 699 hours in which a student is enrolled should reflect the amount of work undertaken that semester subject to minimum registration requirements specified in the Graduate Catalog.

Students are expected to make continuous and sustained progress toward completion of the thesis. Once a student has formally begun registration in PSYC 599 (Thesis), registration must be continued in each subsequent term, including the summer term, until the thesis is submitted to and formally approved by the Graduate School. When the student has completed the number of semester hours of PSYC 599 specified in the program, subsequent registration until the awarding of the degree should be on an audit basis. Registration for PSYC 599 may be in absentia.

If a student interrupts registration in PSYC 599 without obtaining a leave of absence, the student's admission to the program will be terminated.

Grades of incomplete in PSYC 599 will be given until the thesis is completed. The grades of I must be removed by completing the specific work and by receiving a grade reflecting this work in accordance with the limitation of time for the program of study. A student transferring out of the thesis option may, at the discretion of the department, receive graded credit for some or all of the work already conducted in PSYC 599, or switch into the non-thesis option and substitute other graduate credit hours for 599 hours (advisor approval is necessary). Any remaining grades of incomplete in 599 will be changed to permanent incomplete (IN).

4. Application For Conditional Admission Into The Doctoral Program

Prior to completion of the master's program, a student may apply for conditional admission to the doctoral program. A student may be considered for conditional admission provided a master's thesis advisor has been appointed, a positive recommendation has been received from the student's curricular area, and 30 graduate credit hours have been completed with at least a 3.2 G.P.A. in graduate psychology course work exclusive of thesis and independent study courses (including at least a 3.0 G.P.A. in the Master's foundation courses). Admission to the doctoral program at this point is contingent upon completion of the M.A. with a research thesis by the end of the seventh semester following initial admission into the graduate program in psychology, a positive recommendation of the student's curricular area at the time of completion of the M.A., and a satisfactory G.P.A. (at least a 3.2 G.P.A. in graduate psychology courses exclusive of thesis and independent study courses and at least a 3.00 G.P.A. in the Master's foundation courses).

5. Designation Of The Research Tool

Upon admission into the doctoral program, students must specify the means whereby they intend to satisfy the doctoral research tool requirement. Courses used to satisfy the tool requirement must have the approval of the student's advisor, the department chair, and the office of the dean of the Graduate School. Students are responsible for designating research tools by filing the "Request for Course Work to Satisfy a Doctoral Research Tool Requirement" upon application to the doctoral program. For further information regarding the doctoral research tool requirement, the student is referred to the section on steps and procedures in the Ph.D. program and research tool requirements.

6. Approval Of Thesis Proposal

Prior to the completion of data collection, the student must have an approved thesis proposal, signed by members of the committee, on file in the department office (verbal agreement by the thesis advisor, or by the committee, does not constitute such approval). The filed proposal should be a document that has been edited, corrected, and typed in final form in accordance with APA style. The face sheet should be signed by committee members after final approval of the document. Thesis proposals, together with the signed face sheet, should be submitted by the committee chair to the director of graduate studies, who will review them for conformance to the above guidelines, give departmental approval, and file them in the student's departmental folder. Committee members should keep their own copies.

Writing a clear, concise research proposal is an important part of research training. It deserves the same care, supervision, and standard of quality that are expected in other aspects of graduate training. The quality of the accepted proposal sets a standard which is likely to be reflected in the subsequent submission of the written thesis. A general sketch of some of the elements that might be included in a thesis proposal is provided in Appendix C. This appendix also includes some suggestions for keeping the thesis committee user-friendly.

7. Data Collection And IRB Or IACUC Approval

Prior to any data collection on any research project (including the thesis), the student must have received written approval of the University's Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC), as applicable. Approval of IRB or IACUC is necessary prior to data collection for every research project involving human subjects (IRB) or animals (IACUC), whether the research being conducted is in conjunction with a course assignment, part of an independent study, a pilot study, a thesis or dissertation, a fellowship or grant study, or any other type of project.

Application forms for IRB and IACUC review are available on line at: www.grad.niu.edu/org. If the research involves using and/or observing human subjects in any way, including the use of previously collected data, an IRB proposal must be submitted to the chair of the department Human Subjects Review Committee, which reviews all proposals for graduate student research involving the use of human subjects. Appendix D contains some guidelines for IRB proposals and should be read carefully. If the research involves using or observing animal subjects in any way, an IACUC proposal must be submitted to the chair of the department.

8. Appointment of Thesis Examining Committee And Scheduling The Oral Examination/Defense Of The Thesis

As the thesis nears completion, graduation requirements and deadlines become of greater concern. Please note: when completion of requirements for the degree approaches, it is the responsibility of the student to apply for graduation and comply with all related regulations deadlines, and graduation requirements of the Graduate School. A student on academic probation is not eligible to submit a thesis for acceptance by the Graduate School. When the thesis has been completed to the satisfaction of the student and the thesis advisor, the thesis advisor will request the department chair to schedule the oral comprehensive examination/defense of the thesis and to nominate to the dean of the Graduate School a third

faculty member to serve as a reader on the thesis examining committee, if needed. A majority of faculty on the thesis examining committee must be members of the graduate faculty. No more than one member may be without graduate faculty status; case-by-case approval for such persons must be obtained from the Dean of the Graduate School.

The defensible copy of the thesis must be in the hands of all members of the examining committee at least one week prior to the date of the oral examination. If this requirement cannot be met, the oral should be delayed, even if this delays the student's graduation. In a few instances faculty members have received copies only a day or two before the oral and/or have been pressured to have the oral when the thesis was not yet in final form, so that the student could meet some deadline. This practice is unprofessional and unacceptable. Faculty members try to be accommodating but they cannot do an adequate job under these conditions. It is the responsibility of students to be aware of the deadlines and to make plans accordingly.

Voting on the acceptability of the written thesis and voting on the oral examination/defense by the student are restricted to members of the thesis examining committee. A student who fails this oral examination may, with the permission of the department, repeat it no sooner than the following academic term. A student who fails this oral examination a second time will not be permitted to continue work toward the degree in the program, and admission to the program will be terminated.

When the examination has been completed and all required changes have been made in the thesis to the satisfaction of the examining committee, a report of the results of the examination will be forwarded to the Graduate School and a change of grade form for incompletes in PSYC 599 should be completed by the advisor.

9. Graduate School Review And Approval Of The Thesis

Following final approval of the written thesis by the thesis committee, the thesis must be submitted to the Graduate School in accordance with deadlines in the Graduate School Calendar and regulations in the booklet entitled The Graduate School Manual for Theses and Dissertations, available from the HSC Bookstore. Students are responsible for familiarizing themselves with both the Graduate School Manual and the Publication Manual of the American Psychological Association (current edition).

When the Graduate School's thesis advisor first examines a submitted thesis, a list of errors will be prepared and this list will be given to the author and sent to the thesis director and to the department chair. If five egregious errors are found in a submitted thesis, the paper may be returned to the student without any further reading. If a thesis is returned to the author with egregious errors identified, and the student submits the paper a second time that term with the same errors, then that paper will not be accepted for further review until the following term.

GENERAL PROCEDURES AND REQUIREMENTS FOR THE PH.D. PROGRAM

Program of Courses

Students are responsible for knowing the general regulations pertaining to the Ph.D. as well as the specific requirements for the psychology Ph.D. which appear in the Graduate Catalog. The official program of courses for the Ph.D. degree must total a minimum of 90 semester hours beyond the bachelor's degree, normally including at least 75 hours in psychology department graduate courses, and a minimum of 30 semester hours of graduate work in psychology beyond the Master's degree, exclusive of dissertation. These 30 hours must be taken in the Department of Psychology at Northern Illinois University. With the consent of the student's curricular area and approval of the department chair, the 90 semester hours beyond the bachelor's degree may include fewer than 75 hours in psychology. The program of courses must be approved by the student's dissertation director, the student's curricular coordinator, and the director of graduate studies. The program should be filled out and approved shortly following the dissertation director appointment and submitted through the department to the Graduate School for review and conformity with departmental and university requirements no later than the time at which the student presents the application for graduation.

The 90-semester hour program of courses must include all departmental requirements and all requirements of the student's curricular area for the doctoral degree. The dissertation will account for approximately two full semesters of the 90-hour total (18 hours minimum, 24 maximum). The 90-hour program of courses may also include graduate-level courses taken to satisfy the research tool requirement. The number of graduate-level semester hours of independent study in psychology (PSYC 585) on the 90-hour program of study may not exceed 15.

With approval of the dissertation director, the department chair, and the Graduate School, up to 30 semester hours of transfer credit from a master's degree program completed at an accredited institution may be applied to meeting the credit-hour requirements of the doctoral degree. In addition, a maximum of 15 semester hours of credit for graduate courses taken subsequent to the master's degree and completed with a grade of B or better may be transferred from other accredited doctorate granting departments as credit toward the Ph.D. degree. The total number of semester hours of graduate credit earned at NIU as a student-at-large which can be applied toward the Ph.D. degree may not exceed 15. The total combined number of semester hours of graduate transfer credit plus graduate credit earned at NIU as a student-at-large which can be applied toward the Ph.D. degree may not exceed 45. At least 50% of the minimum number of credit hours required for the doctoral degree in the student's major must be earned in the student's major department at Northern Illinois University as an admitted graduate student.

Limitation of Time

For the Ph.D. degree, the student must fulfill all requirements for the degree within nine consecutive years immediately preceding the date of the student's graduation. This time limit applies to enrollment in all graduate course work in the student's program, including work for which transfer credit is allowed. At the discretion of the department, the nine-year limit need not apply to some or all of the earliest 30 semester hours of credit included in the student's doctoral program of courses. If an NIU course does not fall within the nine-year period, the department may require the student to retake the course for credit or may allow the student to demonstrate current knowledge of the subject matter.

Time limitations of acceptable course work are presented in Appendix B.

Course Requirements

The Ph.D. program in psychology requires that a student earn a minimum of 90 semester hours beyond the bachelor's degree, including at least 75 hours in psychology department graduate courses, and a minimum of 30 semester hours of graduate work in psychology beyond the master's degree, exclusive of dissertation. These 30 hours must be taken in the Department of Psychology at NIU. With consent of the student's curricular area and approval of the department chair, the 90 semester hours beyond the bachelor's degree may include fewer than 75 hours in psychology.

Registration for a minimum of 12 semester hours is required each fall and spring semester unless the student is granted permission for a reduced load by the department chair. Once an approved dissertation proposal has been filed with the department and all other requirements for the Ph.D. in psychology have been met except for completion of the dissertation, students without assistantship or fellowship support may register for fewer hours during the semester with the recommendation of the dissertation advisor and approval of the department chair. Prior to the formal approval of a dissertation proposal, part of the 12 semester-hour course load during each fall and spring semester must consist of registration in PSYC 590, Psychological Research. These hours will not count toward the 90 semester hours required for the Ph.D.

All students in the Ph.D. program are required to complete an approved dissertation, based on a research study, in partial fulfillment of the requirements for the degree. The dissertation will be a substantial contribution to knowledge in which the student displays ability to conduct original scholarship. The dissertation, PSYC 699, will account for the equivalent of two full semesters of the 90-hour total (18 hours minimum, 24 maximum).

Students admitted to the doctoral program who have received a master's degree in psychology from other institutions will be expected to take the master's foundation courses. Petitions to substitute courses taken elsewhere for the above requirements must be approved by the faculty in a student's curricular area and a certification of equivalence must be obtained from the instructor of the foundation course concerned.

No formal minor is required by the department. However, curricular areas may have particular course requirements which all doctoral students in the area must complete as part of their program of doctoral study. For example, Appendix E includes a statement of course requirements for all doctoral students in the clinical curricular area. Students should check with their curricular area regarding specific courses required by that curricular area for the doctoral degree. In addition to required courses within a curricular area, students are encouraged to take additional courses outside their curricular area and, when appropriate, outside the department, to increase the breadth of their training. In some instances, such courses may be required by the curricular area.

An additional requirement for the Ph.D. in psychology is the research tool requirement. Graduate level courses taken to satisfy the research tool requirement may be included on the 90-hour doctoral program of courses. More detailed information about the research tool requirement may be found in the section on "Steps & Procedures In The Ph.D. Program."

Students in clinical or school psychology must complete a year of internship. A student specializing in clinical psychology must register in PSYC 555--Internship In Clinical Psychology for 12 semester hours each fall and spring semester and for 6 semester hours during the summer session for a total of 30 semester hours during the year of internship (4 of these hours may be applied toward the 90 semester hours required for the Ph.D.). A student specializing in school psychology must register in PSYC 556--Internship In School Psychology for 12 semester hours each fall and spring semester for a total of 24 semester hours during the year of internship (4 of these hours may be applied toward the 90 semester hours required for the Ph.D.).

STEPS & PROCEDURES IN THE PH.D. PROGRAM

1. Application For Conditional Admission Into The Doctoral Program

Prior to completion of the master's program, a student may apply for conditional admission to the doctoral program. A student may be considered for conditional admission provided a master's thesis advisor has been appointed, a positive recommendation has been received from the student's curricular area, and 30 semester credit hours have been completed with at least a 3.2 G.P.A. in graduate psychology course work exclusive of thesis and independent study courses (including at least a 3.0 G.P.A. in the Master's foundation courses). Admission to the doctoral program at this point is contingent upon completion of the M.A. degree with an outstanding research thesis by the end of the seventh semester following initial admission into the graduate program in psychology, a positive recommendation of the student's curricular area at the time of completion of the M.A., and a satisfactory G.P.A. (see 3, below).

2. Designation Of Research Tool

Upon admission into the doctoral program, students must specify the means whereby they intend to satisfy the doctoral research tool requirement. Courses used to satisfy the tool requirement must have the approval of the student's advisor, the department chair, and the office of the dean of the Graduate School. Students are responsible for designating research tools by filing the "Request for Course Work to Satisfy a Doctoral Research Tool Requirement" upon application to the doctoral program.

3. Confirmation Of Continued Admission In The Doctoral Program

Upon completion of a Master's degree, students will only be continued in the doctoral program provided they have completed an outstanding research thesis, received a positive recommendation for continuation at that time from the student's curricular area, have at least a 3.20 G.P.A. overall and in graduate psychology course work (exclusive of thesis and independent study courses), and achieved at least a 3.00 G.P.A. in the Master's foundation courses. Students who complete more than three foundation courses should designate on the Program of Courses which courses shall be used to meet the foundation requirement.

4. Completion Of Research Tool Requirement

Before a dissertation director can be appointed, a student must meet the general Graduate School research tool requirement. This requirement may be met by one of the following options:

- a. Two research tools with average proficiency.
- b. One research tool with a high level of proficiency.

Proficiency in a research tool is demonstrated by the completion of designated courses in a particular research skill (see the following list). Completion of two approved courses in a given research skill, with a grade of A or B in each fulfills one research tool at the average proficiency level; completion of four courses (in one skill, with minimum grades of B) normally constitutes fulfillment of the research tool requirement at the high proficiency level. Courses used to satisfy the tool requirement must have the approval of the student's advisor, the department chair, and the office of the dean of the Graduate School. The attached list indicates courses that, in appropriate combinations, may be acceptable in fulfillment of tool requirements.

Designated courses change periodically, and the student should consult with the director of graduate studies before registering for a course to determine whether the course is currently approved. Courses designated as approved for the tool requirement may be nominated by any faculty member, and are approved by the department chair in consultation with the policy and planning committee. Courses may also be periodically deleted from the approved list. Courses taken outside the Department of Psychology and carrying graduate credit count toward the 15 hour limit of outside courses that can be applied toward the 90 hours required for the Ph.D. All proposed means of satisfying tool requirements are subject to the approval of the office of the dean of the Graduate School.

Approved Tool Course List

Computer Tool

CSCI 230 Computer Programming in Fortran
CSCI 240 Computer Programming in C++
CSCI 360 Computer Programming in Assembler Language
CSCI 461 Techniques of Computer Programming and Algorithmic Processes
CSCI 464 Data Structures

ETT 439 Developing Educational Software for Computers

PSYC 571E Studies in General Psychology: Instrumentation¹

Statistics and Quantitative Methodology Tool

ETR 621 Nonparametric Statistics
ETR 622 Methods of Multivariate Analysis
ETR 625 Bayesian Approach to Educational Statistics and Decision Making
ETR 634 Construction of Scaling Instruments
ETR 635 Theory of Measurement

PSYC 504 Advanced Psychological Statistics
PSYC 506 Experimental Design
PSYC 507 Psychometric Techniques
PSYC 571D Studies in General Psychology: Quantitative Methods^{1, 2}

STAT 473 Statistical Methods and Models I
STAT 474 Statistical Methods and Models II
STAT 565 Regression Analysis
STAT 566 Discrete Multivariate Data Analysis
STAT 570 Probability Processes
STAT 571 Stochastic Processes
STAT 572 Theory of Statistics
STAT 573 Linear Models
STAT 574 Design and Analysis of Experiments
STAT 575 Multivariate Methods of Statistics
STAT 576 Distribution-Free Statistics
STAT 577 Sampling Techniques
STAT 578 Time Series Analysis

Technical and Interdisciplinary Research Methodology Skills

PSYC 571E Studies in General Psychology: Instrumentation¹

¹PSYC 571D and PSYC 571E courses must be approved individually.

²Seminar in Research Methods is not eligible for tool credit.

5. Preparation And Timelines For The Doctoral Candidacy Examination

All students in the Ph.D. program are required to pass an extensive written candidacy examination covering the student's curricular area. Candidacy examinations may be taken in any curricular area approved by the department. (Currently these are: Clinical; Cognitive/Instructional, Developmental, & School; Neuroscience and Behavior; and Social and Industrial/Organizational). A student on academic probation is not eligible to take the candidacy examination.

The doctoral candidacy examination shall be a written examination that samples the student's knowledge and ability to integrate theory and research relevant to the student's area of concentration. The curricular area may also require other evaluative procedures. A description of curricular area exam procedures is provided in Appendix H. Students should consult with area coordinators for additional information on exam preparation, procedures, and schedule.

For students continuing in the program following receipt of the Master's degree from the Department of Psychology, the candidacy examination must be passed before the end of the third calendar semester after receipt of the master's degree, or before the end of the seventh calendar semester after admission to the graduate program in psychology, whichever is later. For students entering the program with an M.A. in psychology obtained elsewhere, the candidacy examination must be passed before the end of the sixth calendar semester after admission to the doctoral program in psychology. These are maximum times and students are encouraged to take the examinations as soon as possible. Any petition by a student for a delay in initial examination, a delay in re-examination, or an additional examination shall require favorable action by both the curricular area and the faculty of the department as a whole. Such petitions must be submitted in writing at least one month prior to the scheduled date of the examination. Emergency situations arising within one month of the examination may be approved by the curricular area and the department chair, acting for the department.

Prior to taking the doctoral candidacy examination, an examining committee must be appointed. Prior to the beginning of each semester, the coordinator of each curricular area shall determine the number of students required and electing to take the examination and notify the department chair so that examination committees can be nominated for Graduate School appointment. In each case, the faculty nominated to be members of the examining committee will be drawn primarily from the student's curricular area. The candidacy examining committee shall consist of at least 3 faculty members, at least one-half of whom must be senior members of the graduate faculty. No more than one member of this committee may be without graduate faculty status. Case-by-case approval for such persons must be obtained from the Dean of the Graduate School.

The examination shall be constructed and approved by the examining committee using the standard procedures determined by the student's curricular area.

The chair of the examining committee shall be responsible for scheduling and making arrangements for the administration of the examination and for notifying students of these arrangements. Each curricular area will develop its own policy for scheduling candidacy examinations during a given semester. The date of the examination will be announced by each examining committee chair.

6. Passing The Doctoral Candidacy Examination

One of the requirements for admission to doctoral degree candidacy is passing the doctoral candidacy examination. Prior to passing this exam students may have a dissertation director appointed and may enroll in PSYC 699, Ph.D. Dissertation. However, in order to be admitted to doctoral degree candidacy, the student must both (a) pass the doctoral candidacy examination, and (b) have an approved dissertation proposal, signed by members of the dissertation committee, on file in the department office.

The examining committee shall grade the candidacy examination using procedures specified by the curricular area. A decision by the examining committee shall constitute a departmental decision and shall be so reported to the Graduate School. Each question will be graded by a minimum of two readers. The final evaluation of a student's performance should take into account the mean overall performance, the percentage of questions passed, and the total number of passing ratings. The decision to pass or fail a student shall be by majority vote of the faculty members on the examining committee. Final action on the examination will be completed as soon as possible, usually within two weeks of the administration of the examination.

The chair of the examining committee shall have the responsibility of communicating the results of the examination to the students concerned and to the department chair. All students taking the examination in a curricular area should be notified of their examination results as soon as possible and at approximately the same time. Faculty members shall refrain from discussing the examination in whole or in part with students until official notification has been received by the students. The chair of the examining committee will make arrangements for a faculty member to review the student's performance with the student. This review shall be confined to the committee's evaluation of the particular student's performance on the examination. Any other evaluations of student progress which are under the province and discretion of the examining committee and curricular area are not to be a part of the evaluation of the candidacy examination.

A student who fails the examination may, with the permission of the curricular area, repeat the examination. A student who fails the examination a second time will not be permitted to continue work towards the doctorate. Repeat examinations must be taken no later than the academic semester following the initial attempt, excluding the summer term.

The department chair shall be responsible for reporting the results of the examination to the department, recording the results in the student's departmental file, and filing the appropriate forms with the Graduate School.

7. Appointment Of Dissertation Director And Committee Members

All candidates for the Ph.D. degree are required to complete an approved dissertation, based on a research study in partial fulfillment of the requirements for the degree. The dissertation will be a substantial contribution to knowledge in which the student displays ability to conduct original scholarship.

The student will normally discuss research ideas with several eligible faculty members prior to the appointment of the dissertation director. The selection of a dissertation director is a mutual decision made by the student and the faculty member. The decision will be based on the faculty member's competence in the particular research area, appropriate graduate faculty membership, and the faculty member's availability and willingness to provide adequate supervisory time during the dissertation period. Note: a student may not have a dissertation director appointed until the research tool requirement has been met.

The faculty member will request in writing that the department chair make the nomination as dissertation director and will also recommend two to five additional faculty members to serve on the basic dissertation directing committee. The final examining committee will be comprised of six faculty members (one from outside the department): the director, the dissertation-directing committee members, plus any additional faculty readers needed to constitute the six-person final examining committee. Furthermore, the department chair, with the consent of the director of the dissertation committee, may appoint an additional faculty reader at the time of the final orals. Appointment of an adjunct faculty member as director or a committee member shall also require the recommendation of the student's primary curricular area. The dissertation committee may include only one adjunct faculty member. The dissertation advisor may consult with the student regarding the selection of the committee members, but the final responsibility for the recommendation rests with the advisor and the responsibility for the appointment rests with the chair. It should be noted that at least one-half of the voting faculty members on the final dissertation examining committee must be senior members of the graduate faculty and no more than one voting member may be without graduate faculty status (case-by-case approval for such persons must be obtained from the Dean of the Graduate School).

8. File Program of Courses

Please refer to the section, "Program of Courses" found under "General Procedures and Requirements for the Ph.D. Degree."

9. Registration For Ph.D. Dissertation Hours, PSYC 699

Before registration in PSYC 699 Ph.D. Dissertation is permitted, a student must have a dissertation director officially appointed by the department chair. Students must always obtain departmental permission before registering for dissertation credit (PSYC 699). This takes the form of a written slip obtained from the graduate secretary. Failure to obtain such permission can result in being dropped from the permit course.

Please be sure to obtain written permits prior to registering for PSYC 699. Permits will not be granted if the form for naming a dissertation director has not been filed with the department. Departmental policy is that students who register for these credits without having obtained a permit will be dropped from the course. Questions regarding number of hours to take should be addressed to your dissertation director. It is expected that the number of PSYC 699 hours in which a student is enrolled should reflect the amount of work undertaken that semester subject to minimum registration requirements specified in the Graduate Catalog. Students are expected to devote a substantial amount of time to and make sustained progress toward completion of the dissertation. Once a student has formally begun registration in PSYC 699 (Ph.D. Dissertation), registration must be continued in each

subsequent term, including the summer term, until the dissertation is submitted to and formally approved by the Graduate School. When the student has completed the number of semester hours of PSYC 699 specified in the program, subsequent registration until completion of an approved dissertation should be on an audit basis. Registration for PSYC 699 may be in absentia.

If a student interrupts registration in PSYC 699 without obtaining a leave of absence, the student's admission to the program will be terminated.

Grades of incomplete in PSYC 699 will be given until the dissertation is completed. The grades of I must be removed by completing the specific work and by receiving a grade reflecting this work in accordance with the limitation of time for the program of study. A student who leaves the doctoral program prior to completion of an approved dissertation may, at the discretion of the department, receive graded credit for some or all of the work already conducted in PSYC 699; otherwise any remaining grades of incomplete in 699 will be changed to permanent incomplete (IN).

10. Approval Of Dissertation Proposal

Prior to any formal collection of data, the student must have an approved dissertation proposal, signed by members of the committee, on file in the department office (verbal agreement by the dissertation director, or by the committee, does not constitute such approval) and approval of the University's Institutional Review Board or the Institutional Animal Care and Use Committee, as applicable. The filed proposal should be a document that has been edited, corrected, and typed in final form in accordance with APA style.

The face sheet should be signed by committee members after final approval of the document. Dissertation proposals, together with the signed face sheet, should be submitted by the committee chair to the director of graduate studies, who will review them for conformance to the above guidelines, give departmental approval, and file them in the student's departmental folder. Committee members should keep their own copies. The urgency to begin running subjects is not an acceptable reason for by-passing or delaying the proposal or for filing an inadequate proposal.

Writing a clear, concise research proposal is an important part of research training. It deserves the same care, supervision, and standard of quality that are expected in other aspects of graduate training. The quality of the accepted proposal sets a standard which is likely to be reflected in the subsequent submission of the written dissertation. A general sketch of some of the elements that might be included in a dissertation proposal is provided in Appendix C. This appendix also includes some suggestions for keeping the dissertation committee user-friendly.

11. Admission To Candidacy

A student is not eligible to have a dissertation defense or to submit a dissertation for acceptance by the Graduate School prior to admission to doctoral degree candidacy. A student may be recommended by the department to the Graduate School for admission to doctoral degree candidacy when the candidacy examination has been passed and an approved dissertation proposal has been filed in the department office.

12. Data Collection And IRB Or IACUC Approval

Prior to any data collection on any research project (including the dissertation), the student must have received written approval of the University's Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC), as applicable. Approval of IRB or IACUC is necessary prior to data collection for every research project involving human subjects (IRB) or animals (IACUC), whether the research being conducted is in conjunction with a course assignment, part of an independent study, a pilot study, a thesis or dissertation, a fellowship or grant study, or any other type of project.

Application forms for IRB and IACUC review are available at the Office of Research Compliance website: www.grad.niu.edu/orc. If the research involves using and/or observing human subjects in any way, an IRB proposal must be submitted to the chair of the department human subjects review committee which reviews all proposals for graduate student research involving the use of human subjects. Appendix D contains some guidelines for IRB proposals and should be read carefully. If the research involves using or observing animal subjects in any way, an IACUC proposal must be submitted to the chair of the department.

13. Appointment of Dissertation Examining Committee And Scheduling The Oral Examination/Defense Of The Dissertation

As the dissertation nears completion, graduation requirements and deadlines become of greater concern. Please note: when completion of requirements for the degree approaches, it is the responsibility of the student to apply for graduation and comply with all related regulations deadlines, and graduation requirements of the Graduate School. A student who has not yet been admitted to doctoral degree candidacy or who is on academic probation is not eligible to have a dissertation defense or to submit a dissertation for acceptance by the Graduate School. When the dissertation has been completed to the satisfaction of the student and the dissertation director, the dissertation director will request the department chair to schedule the oral comprehensive examination/dissertation defense and to nominate to the dean of the Graduate School any additional faculty members needed to constitute the 6-person examining committee. At least one-half of the voting faculty members on the dissertation examining committee must be senior members of the graduate faculty and no more than one voting member may be without graduate faculty status (case-by-case approval for such persons must be obtained from the Dean of the Graduate School).

The defensible copy of the dissertation must be in the hands of all members of the examining committee at least two weeks prior to the date of the oral examination. If this requirement cannot be met, the oral should be delayed, even if this delays the student's graduation. In a few instances faculty members have received copies only a day or two before the oral and/or have been pressured to have the oral when the dissertation was not yet in final form, so that the student could meet some deadline. This practice is unprofessional and unacceptable. Faculty members try to be accommodating but they cannot do an adequate job under these conditions. It is the responsibility of students to be aware of the deadlines and to make plans accordingly.

Voting on the acceptability of the written dissertation and voting on the oral examination/defense by the student are restricted to members of the dissertation examining committee. A student who fails this oral examination may, with the permission of the department, repeat it no sooner than the following academic term. A student who fails this examination a second time will not be permitted to continue work toward the degree in the program, and admission to the program will be terminated.

When the examination has been completed and all required changes have been made in the dissertation to the satisfaction of the examining committee, a report of the results of the examination will be forwarded to the Graduate School and a change of grade form for incompletes in PSYC 699 should be completed by the advisor.

14. Graduate School Review And Approval Of The Dissertation

Following final approval of the written dissertation by the dissertation committee, the dissertation must be submitted to the Graduate School in accordance with deadlines in the Graduate School calendar and regulations in the booklet entitled The Graduate School Manual for Theses and Dissertations, available from the HSC Bookstore. Students are responsible for familiarizing themselves with both the Graduate School Manual and the Publication Manual of the American Psychological Association (current edition).

When the Graduate School's dissertation advisor first examines a submitted dissertation, a list of errors will be prepared and this list will be given to the author and sent to the dissertation director and to the department chair. If five egregious errors are found in a submitted dissertation, the paper may be returned to the student without any further reading. If a dissertation is returned to the author with egregious errors identified, and the student submits the paper a second time that term with the same errors, then that paper will not be accepted for further review until the following term.

STUDENT PUBLICATION

Students are encouraged to present research papers at professional meetings and to publish in professional journals. In particular, students are encouraged to submit the meeting abstract component of their theses and dissertations for presentation at the meetings of the appropriate professional societies. Such papers and journal manuscripts will normally be co-authored or sponsored by a member of the faculty of the Department of Psychology who will review and approve the manuscript prior to its submission. Under these conditions, Northern Illinois University may be listed as the institutional affiliation.

In the event that a student submits a manuscript for presentation or publication without prior review and approval by a departmental faculty member, Northern Illinois University should not be used as the institutional affiliation.

Unless specifically provided for under other university regulations, the final disposition of materials developed by a student and submitted to meet course requirements (e.g., PSYC 599, 699) remains the prerogative of the student. Should materials so developed result in publication, the authorship shall be determined by the student. Unless specifically provided for under other university regulations, data collected during the term of the appointment by a student employed as a research assistant shall be the property of the graduate faculty member. Should such data result in publication, the authorship shall be determined by the faculty member.

GRADUATE STUDENT ADVISORY COMMITTEE

Approved at the December 6, 1991 Faculty Meeting

A. Purpose

To provide input to the department concerning matters relevant to the department's efforts to ensure a quality program of graduate education.

B. Composition

Six Student Members: chosen from among full-time enrolled graduate students in good academic standing in the department. Each member will serve a one-year term, from the beginning to the end of the academic year. There is no limit on the total number of terms or on the number of successive terms an individual student may serve.

One member from each curricular area in the department will be elected by the students of that area. The faculty coordinator of each area will organize the elections and notify the department of the election results. The remaining members will be appointed by the Director of Graduate Studies to attempt to balance committee membership with the proportionate numbers of graduate students in the different curricular areas and/or to enhance diversity of representation (e.g., to include representation of newer or longer-term students in the department, etc.). The Director of Graduate Studies shall serve on the committee as a resource person in an ex-officio non-voting capacity.

The committee shall be chaired by a student selected by the committee at the first meeting of the committee during the academic year. This first meeting will be called by the Director of Graduate Studies.

C. Duties

1. The committee will serve as a liaison between the Department's graduate student body and the Department Policy & Planning Committee and the Director of Graduate Studies.
2. The committee shall serve as the primary group to which department graduate students can bring broad concerns on matters such as department policy and procedures and quality-of-life issues pertaining to graduate education. As appropriate, the committee will discuss and make recommendations on these matters to the Department Policy and Planning Committee and/or to the Director of Graduate Studies.
3. The committee will also discuss and make recommendations, as appropriate, on issues referred to it by the Department Policy and Planning Committee or the Director of Graduate Studies.
4. The committee chair shall serve on the Department's Policy and Planning Committee as an ex-officio non-voting member. The student will be involved in all aspects of committee functioning except those matters that are confidential as indicated by Departmental Policies or the University Constitution and Bylaws.

5. The committee will recommend graduate student representatives to the Director of Graduate Studies when nominations are sought for certain department, college, graduate school, and university committees.
6. The committee will assist the Director of Graduate Studies in gathering information about graduate students' experiences, concerns, and opinions on various issues, as appropriate.

DEPARTMENTAL COMPUTER FACILITIES FOR STUDENT USE

In an effort to provide students with greater access to convenient computer facilities, the department provides computers and printers in Room 324 for graduate student use. Computers are equipped with WordPerfect and various statistical software (e.g., SPSS, BMDP). Additionally, network access to the Amdahl mainframe, library, E-Mail, and the Internet is provided.

NORTHERN ILLINOIS UNIVERSITY
Academic Policies and Procedures Manual

Section I. Item 2.

Research Integrity
at Northern Illinois University

9/16/03

Preamble

Research at Northern Illinois University has traditionally and routinely been performed at a high level of quality and scholarly integrity. Faculty, students, staff, and administrators accept the obligation to exercise critical self-discipline and judgment in their investigations. They respect and defend free and open inquiry by associates and strive to be objective in their professional judgment of colleagues. They practice intellectual honesty, acknowledge academic debt and scholarly assistance, and take pride in their work. They are careful to acknowledge fully and generously the published and unpublished contributions of others. They give appropriate professional recognition, including authorship credit when warranted, to the intellectual and technical contributions of students and junior associates. The University has a responsibility to provide an intellectual climate in which open inquiry can flourish. This includes the freedom to pursue research on any intellectual path. Adherence to these standards protects the integrity of the scholarly enterprise, provides a positive climate to which future generations of scholars are exposed, promotes public appreciation of intellectual pursuit, and enhances public trust in the University and its stewardship of both public and private funds.

Possible Misconduct in Research

The integrity of the research endeavor ultimately depends on the ethics of the individual researcher and rigorous professional review. Allegations of research misconduct can have serious consequences. Persons alleging misconduct should maintain a sense of proportion, avoid being overzealous, realize that colleagues are fallible, and recognize that research approaches vary widely and are subject to different interpretations across disciplines. Conversely, serious intentional violations of professional standards undermine the integrity of the scholarly enterprise. The responsibility to investigate an allegation of research misconduct is best exercised by the profession and the University rather than federal or state agencies, legislative bodies, or the press.

Researchers protect themselves against potential charges of research misconduct by comporting themselves with integrity and by maintaining clear and complete records of their research endeavors. Research records, which ordinarily should be kept for at least five years after completion of a research project, should include dated items such as raw data, interview files, computer runs, permission to use other people's material, and records of how the research design was developed and modified during the course of the research.

In the event of a case of alleged misconduct, all persons involved in the proceedings are expected to cooperate fully and to conduct themselves in an ethical manner. They have an obligation to strive for fairness and objectivity, with ample respect for the case needed in reviewing allegations of misconduct and the personal and professional harm that can result from unfounded accusations. They should focus on the substance of the issues and not allow personal conflicts between

colleagues to obscure or override the facts. All parties are to be treated justly and fairly and with due respect to their reputations and future professional opportunities. The proceedings should be conducted as expeditiously as possible, to arrive at the resolution of charges in a timely fashion.

The key to defining research misconduct is intent. Research misconduct does not include unintentional error. Free and open inquiry allows for honest differences in methodology and in the interpretation of or judgments about data. Research misconduct, therefore, consists of the **intentional** commission of one or more of the following:

1. Falsification of data, including fabrication of data, and selective reporting of data with intent to deceive.
2. Improper assignment of authorship, such as excluding others or claiming the work of another person as one's own, presenting substantially the same material as an original article in more than one publication, including individuals as authors who have not made a definite contribution to the work published, and submitting multi-authored publications without the concurrence of all authors.
3. Claiming another person's research as one's own. This includes plagiarism, appropriation of ideas from grant proposals or articles received for peer review, or from student papers, and in general using another's intellectual property without obtaining the required permission. It does not include the use of material generally known and thought to be public knowledge.
4. Manipulation of experiments or of statistical or analytical procedures such that the published results differ significantly from those that would normally result from the application of the methods reported by the investigator. This does not refer to judgments of the quality of research designs, which is the responsibility of funding agencies and peer review. Neither a faulty design nor an unorthodox design is by itself evidence of research misconduct.
5. Misappropriation of research funds, e.g., expenditure of funds for purposes not appropriately related to the research or in ways explicitly prohibited by the funding agency.

Handling Allegations of Research Misconduct

The review process for cases of alleged misconduct consists of four phases: informal review, referral to appropriate university officer, inquiry, and investigation. Procedures for each phase are described below. Also described are procedures for reporting to the funding agency, where applicable, and taking interim administrative action when serious circumstances call for immediate precautions. There are also provisions for appealing a determination of research misconduct. If any administrative officer referred to herein has a conflict of interest in a case, then the next higher administrative officer or that person's designee will assume the responsibilities indicated.

I. Informal Review

Researchers have the responsibility both to report apparent occurrences of misconduct and to take steps to correct the resultant research record. To the greatest extent possible, the person alleging the misconduct (hereafter referred to as the complainant) should bring the concern directly to the researcher whose conduct is questioned (hereafter referred to as the respondent). In many cases a

person may not be able to determine whether the problem he or she perceives with a research project constitutes deliberate misconduct or is the result of inadvertent error. The respondent may be unaware of error and grateful to be alerted to this possibility. Exercise of this collegial responsibility could enable the respondent to take appropriate corrective action and improve future performance. The complainant may not have interpreted the situation accurately and may thus be incorrect in believing that misconduct has occurred. Direct discussion provides the opportunity to clarify any misunderstandings.

If the complainant believes that the respondent's explanation is inappropriate or inadequate, the concerns should then be brought to a department chair, center director, college dean, or other appropriate administrator. If the complainant believes that direct communication with the respondent is not feasible, the complainant should approach the administrator directly.

The administrator may (a) discuss the allegation with the parties involved and attempt to resolve it or (b) refer the concern to the department personnel committee or other appropriate unit-level committee. If referral is made, the respondent should be notified of the action, the nature of the allegation, and the identity of the complainant, unless there are compelling reasons for protecting the complainant's anonymity.

If the administrator and the committee, if involved, are satisfied that no basis for the allegation exists, the administrator verbally notifies both parties and no written record shall be maintained. If the administrator or committee judges that the allegation warrants further action, or the complainant feels that further inquiry is warranted, the matter is referred to the Vice President for Research and Dean of the Graduate School (hereafter referred to as the Vice President for Research). Both the complainant and the respondent shall be notified of this referral. If the administrator and the committee, if involved, do not reach a decision within 20 working days of receipt of the complaint, the complainant may refer the complaint to the Vice President for Research.

II. Referral to Vice President for Research

When allegations of research misconduct are referred to the Vice President for Research, he or she will meet with the complainant in confidence. If the allegation does not fall within the scope of this document, the complainant will be referred to whatever institutional processes may be appropriate to the particular case (e.g., faculty or staff grievance procedures).

If the allegation is made against a student, the Vice President for Research will consult with the University Judicial Officer to determine whether the allegation should be pursued through these policies and procedures or those of the Student Judicial Code. If the Vice President for Research determines that the allegation comes under the jurisdiction of the research integrity policies and procedures, he or she will discuss the inquiry and investigation procedures with the complainant.

Except in the case of plagiarism where the evidence is available in publicly published form, no allegation of research misconduct will be received or inquiry instituted where the alleged misconduct took place more than five years to the day before the allegation was made. Allegations will require substantive evidence such as the following:

1. For allegations of falsification of data, sufficient documentary evidence of the probability that such misconduct has taken place.

2. For allegations of plagiarism, clear documentary evidence, including specific references to the work, pages, and lines being plagiarized.
3. For allegations of claiming another's research as one's own, copies of the work containing the alleged misappropriations and of the work or works from which the material was improperly taken.
4. For allegations of manipulation of experimental or statistical results, a written analysis which clearly shows the discrepancies between the data collected and the report published and argues that such discrepancies can only be explained as intentional misconduct.
5. For allegations of misappropriation of funds, original or photocopied records such as those showing that research money was spent for unapproved or inappropriate items, or that labor was not hired in accordance with grant terms or other applicable regulations.

Based upon an initial information assessment of the case, the Vice President for Research will advise the complainant whether there appear to be grounds for a committee inquiry. If he or she concludes that grounds exist to pursue the matter to the inquiry stage, the case will be referred to a Research Standards Inquiry Committee.

No anonymous or confidential allegation will be pursued unless (a) this is required by a funding contract previously signed by the respondent, or unless (b) there is sufficient written factual documentation in hand so that the Vice President for Research may become the complainant of record.

Even if the respondent leaves the University before the case is resolved, the University will continue the examination of the allegations and reach a conclusion. Furthermore, the University will cooperate with other institutions' processes to resolve questions of misconduct.

If the Vice President for Research concludes that adequate grounds for inquiry do not exist, the case will be brought to a Research Standards Inquiry Committee only if the complainant formally requests this and agrees to be identified to all parties involved in the inquiry.

III. Inquiry

A. Composition of Research Standards Inquiry Committee

In order to address allegations of research misconduct, the University will establish for each case a Research Standards Inquiry Committee (hereafter called the Inquiry Committee). In the event that the allegation of research misconduct is against a ranked faculty member, the Inquiry Committee will consist of three tenured faculty members, including a designated committee chair, as voting members and the Vice President for Research, ex-officio and non-voting. In the event that the allegation of research misconduct is against a member of the Supportive Professional Staff, a member of the Operating Staff, or a student, the Inquiry Committee will consist of two tenured faculty members, one of whom will chair the committee, one member of the group to which the respondent belongs, and the Vice President for Research, ex-officio and non-voting.

Appendix A

The Inquiry Committee and its chair will be appointed by the Executive Vice President and Provost (hereafter referred to as the Provost). Faculty members of the Inquiry Committee will be appointed in consultation with the Vice President for Research and the faculty assistant chair of the Graduate Council. Members from the Supportive Professional Staff, Operating Staff, or the student body will be appointed in consultation with the Vice President for Research and the appropriate Councils or officers.

A person who has a close professional or personal affiliation with the complainant or the respondent in a given case should not be a voting member of the Inquiry Committee for that case. Inquiry Committee members should have appropriate academic or other backgrounds for judging the issues being raised, and have no real or apparent conflicts of interest with the case being investigated. The composition of the Inquiry Committee can be challenged for cause by the respondent or by the complainant; the Provost will decide the validity of a challenge for cause. The Inquiry Committee must ensure that it has access to the expertise necessary to judge the allegations being made; therefore, it may call upon on- or off-campus consultants as necessary to assist in reviewing a case.

The Inquiry Committee will interpret the University's policy and procedures on research misconduct and will initiate and carry out inquiries. Inquiry Committee logistics will be coordinated and Inquiry Committee records will be maintained by the Vice President for Research.

B. Purpose of the Inquiry

When an allegation or complaint involving the possibility of misconduct is brought before it, the Inquiry Committee will initiate an inquiry. In the inquiry, factual information is gathered and expeditiously reviewed to determine if an investigation of the charge is warranted. An inquiry is not a formal hearing, nor is it to conclude that misconduct has occurred; it is intended to separate allegations deserving of more detailed examination from frivolous, unjustified, or clearly mistaken allegations. It is to determine whether an investigation is to be conducted. There shall be no implication that an allegation is valid prior to a conclusion to that effect in accordance with the procedures specified herein.

C. Inquiry Process

An inquiry begins when the Provost appoints the Inquiry Committee and notifies the respondent of the charges and the process that will follow. Notification will be made in writing and copies will be securely maintained and held confidential in the office of the Vice President for Research. The Inquiry Committee will be formed and will convene as soon as possible.

Inquiries should be resolved expeditiously. The inquiry should be completed and the final written report of the findings submitted to the Provost within 60 calendar days of the initiation of the inquiry, or within a shorter time period if so specified by a funding agency. If the Inquiry Committee anticipates that the established deadline cannot be met, it will submit to the Provost a report citing the reasons for the delay and describing progress to date; it will also inform the respondent and other involved individuals. If the inquiry takes longer than 60 days to complete, the final report will

include documentation of the reasons for exceeding 60 days.

Appendix A

To the greatest extent possible, the inquiry proceedings will be kept confidential in order to protect the rights of all parties involved. All meetings of the Inquiry Committee will be closed. The Faculty Personnel Adviser and the University Ombudsman may be consulted by any party at any point during or subsequent to the inquiry process. Any party may consult legal counsel, but such counsel is not permitted at hearings at the inquiry stage. However, any person interviewed by the Inquiry Committee may be accompanied by an academic adviser or observer of his or her choice.

The respondent is obligated to cooperate in providing the material necessary to conduct the inquiry and will be so informed by the Inquiry Committee when the inquiry is initiated. Uncooperative behavior may result in immediate implementation of a formal investigation and appropriate institutional sanctions. The respondent will be given an opportunity to comment on the allegations during the inquiry and to respond to a draft copy of the inquiry findings. If he or she comments on that report, the comments will be made part of the final inquiry record. The respondent may address the Inquiry Committee, if he or she desires. The respondent must have full and timely access to all evidence presented against him or her.

D. Protection of Respondent and Complainant

The University will, to the greatest extent possible, protect the respondent and the complainant against capricious actions. Unsupported allegations not brought in good faith will lead to grievance proceedings or disciplinary action against the complainant. Acts of retaliation for good faith allegations will similarly lead to grievance proceedings or disciplinary action.

The University will make every effort to restore the reputations of persons alleged to have engaged in research misconduct when allegations are not confirmed. It will also protect the positions and reputations of those persons who made allegations in good faith.

E. Inquiry Findings

The completion of an inquiry is marked by a conclusion of whether or not an investigation is warranted, and by submission of the written report of the inquiry findings to the Provost. The report is to state what evidence was reviewed, summarize relevant interviews, and describe the process and conclusion of the inquiry. It is to be sufficiently detailed to permit a later assessment of the reasons supporting the inquiry finding. The respondent and the complainant will be informed by the Inquiry Committee whether or not the allegations will result in an investigation.

The report and all other inquiry records will be retained in a confidential and secure file in the office of the Vice President for Research for at least five years after the completion of the inquiry. This file will not become a part of the respondent's confidential personnel record at the University unless a subsequent investigation results in a final determination of research misconduct, but it will be consulted by the Vice President for Research to protect a potential respondent against multiple jeopardy. Some federal agencies require that such a file be maintained for their reference if it pertains to any of their awardees.

Appendix A

If an allegation is found to be unsupported but has been submitted in good faith, no further formal action, other than informing all parties involved in the inquiry, will be taken. The records and findings of the inquiry, including the identity of the respondent, will be held confidential to protect the parties involved.

In the case of allegations found to warrant an investigation, the third phase of the review process, the investigation, will be initiated. In addition, the Vice President for Research will notify the director(s) of any funding agencies sponsoring the research in question that require notification that an investigation will be conducted. The Inquiry Committee will confidentially notify the complainant, the respondent, and the respondent's department chair, college dean, and director, as appropriate, of the impending investigation.

F. Reporting to the Funding Agency

The University will notify the funding agency at any stage of the inquiry or investigation if it is ascertained that any of the following conditions exist:

1. There is an immediate health and/or environmental hazard involved.
2. There is an immediate need to protect federal funds or equipment.
3. There is an immediate need to protect the interests of the person making the allegations or of the individual who is the subject of the allegations and his or her co-investigators and associates, if any.
4. There is a strong likelihood that the alleged incident is going to be reported publicly.
5. There is a reasonable indication of criminal violation.

In the case of Public Health Service (PHS) grants, if the inquiry provides a reasonable indication of criminal violation, the Inquiry Committee is to ask the Vice President for Research to notify the PHS Office of Research Integrity within 24 hours of obtaining that information.

Any inquiry-related communication with a funding agency will also be sent, in confidence, to the Director of the Office of Sponsored Projects*.

*Footnote: After the University has notified a funding agency that an investigation is warranted, or that any of the conditions listed in Section F (above) exist, the agency may take interim action to protect the rights of involved parties, or to protect the welfare of human or animal subjects of research. Such action may include minor restrictions, requests for assurances, deferral of a continuation grant application, and suspension of the grant.

G. Interim Administrative Action

Interim administrative action also may be taken by the University in the event that any of the conditions listed in Section F (above) exist. Interim action does not imply a finding but is a precautionary measure necessitated by serious circumstances. The Provost may take such action when justified by the need to protect the health and safety of researchers, research participants, or the interests of students, colleagues, and

the general public. Such action can range from minor restrictions to suspension of the research activities of the respondent, and may include action specified by a funding agency. Interim administrative action should be taken in full awareness of how it might affect both the respondent and ongoing research within the University.

IV. Investigation

A. Composition of Research Standards Investigation Committee

If it is determined that a full investigation is required, two additional persons will be added to the Inquiry Committee to form the Research Standards Investigation Committee (hereafter referred to as the Investigation Committee). If the allegation of research misconduct is against a ranked faculty member, two tenured faculty will be added. If the allegation of research misconduct is against a member of the Supportive Professional Staff, Operating Staff, or student, one tenured faculty member and one member of the appropriate group will be added. The additional members for the Investigation Committee are selected in the same fashion as members are selected for the Inquiry Committee.

B. Purpose of Investigation

The investigation broadens the scope of the inquiry and is the formal examination and evaluation of all pertinent facts to determine whether research misconduct has occurred. The investigation should look carefully at the substance of the charges and examine all relevant evidence.

C. Investigation Process

If warranted, an investigation will be initiated within 30 days of such a finding by the Inquiry Committee. Investigations should be conducted as expeditiously as possible. An investigation ordinarily should be completed within 120 calendar days of its initiation (including submission of the final report. All meetings of the Investigation Committee will be closed. The investigation proceedings will be kept confidential to the greatest extent possible.

An agency sponsoring a research project in which misconduct is alleged or suspected will be notified by the Vice President for Research in writing as soon as the decision has been made to undertake an investigation, and no later than on the date the investigation begins. Agency guidelines for such situations should be followed. A funding agency may reserve the right to be involved in an investigation, or to conduct an independent investigation prior to, during, or after the university investigation if the allegations are against one of its awardees. (In the case of Public Health Service grants, notification is made to the Director of the Office of Research Integrity.)

Procedures in conducting the investigation should be in compliance with any agency guidelines that must be followed if the research is supported by external funding. The investigation will consist of a combination of activities, including but not limited to the following:

1. Review and copying of data, proposals, correspondence, and other pertinent documents at the University, at the granting agency, or elsewhere.

2. Review of published materials and of manuscripts submitted or in preparation.
3. Inspection of laboratory or other facilities and materials (including data records and notebooks).
4. Interviewing of parties with an involvement in or knowledge about the case, including both the complainant and the respondent. Transcripts of the interviews may be recorded stenographically or electronically. Complete summaries of these interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the documentary record of the investigation.

D. Obligations and Rights of Parties in an Investigation

All involved University parties are obligated to cooperate with the proceedings by providing information relating to the case. All relevant documentary information must be provided to the respondent in a timely manner to facilitate the preparation of a response. The respondent shall be provided the opportunity during the investigation to address the charges and evidence in detail and may address the Investigation Committee in person if he or she desires. The complainant, if known, shall also have the opportunity to review the evidence to ensure completeness to ensure, for example, that no key documents are missing. Parties in an investigation may be accompanied by or represented by legal counsel, and each person being interviewed by the Investigation Committee may be accompanied by an academic adviser or observer of his or her choice.

In the course of an investigation, information may emerge that indicates the alleged research misconduct may go beyond the initial complaint. The Investigation Committee may then expand its investigation, but only after the respondent is informed in writing what this additional information is and what new directions the investigation is likely to take. The respondent will be provided the opportunity to review the new information and to address any expanded charges the Investigation Committee feels are warranted by the new evidence. In the event the new information involves other individuals, they should be provided the opportunity to review and respond to the new evidence.

E. Interim Reports

The Investigation Committee is to notify the Provost of any major developments that could warrant interim action or that must be reported to a funding agency. In the latter case, such developments include disclosure of facts that may affect current or potential funding for the individual(s) under investigation or that the funding agency needs to know to ensure appropriate use of federal funds or otherwise protect the public interest. Significant developments during the investigation will be reported in writing by the Vice President for Research to the funding agency as necessary in accordance with agency guidelines. Documentation of the proceedings in order to substantiate the investigation findings must be prepared and will be made available to the appropriate funding agency as required.

After conducting its review, the Investigation Committee will prepare a draft report of its findings, provide a copy to the respondent and complainant for comment, and

incorporate the respondent's and complainant's comments, if any, in the final report. This report must (1) describe the policies and procedures under which the investigation was conducted; (2) describe how and from whom information was obtained; (3) detail the findings and the basis for those findings; (4) detail the recommendations for the resolution of the case, including correction of the research record if there is a finding of research misconduct or research error, and including sanctions recommended if there is a finding of misconduct (see Section V, below, entitled "Resolution of Investigation"); and (5) include the actual text or an accurate summary of the views of any individual found to have engaged in misconduct.

The nature of some cases may render the deadline difficult to meet. If the Investigation Committee determines that the full process cannot be completed in 120 days, then an interim report is to be submitted to the Provost before 120 days have expired with a request for an extension including an explanation of why an extension is necessary.

If the investigation cannot be completed in 120 calendar days and the research under scrutiny was supported by the U.S. Public Health Service (PHS), then the Vice President for Research will submit to the Office of Research Integrity (ORI) a written request for an extension, including the interim report from the Investigation Committee on its progress to date and an estimate of the date of completion of the report. Any request for extension must balance the need for a thorough and rigorous examination of the facts and the interests of the respondent and the funding agency in a timely resolution of the matter. If the request is granted, the University will file periodic progress reports as requested by the ORI. Non-PHS funding agencies may have other guidelines or regulations to be followed. Any investigation-related communication with a funding agency will also be sent, in confidence, to the Director of the Office of Sponsored Projects.

F. Investigation Findings

The findings of an investigation are either:

1. No research misconduct was committed (including a notation, if warranted, that the allegation was malicious or frivolous).
2. Research misconduct was committed.

In the course of an investigation, serious unintentional research errors may surface. In such instances, the Investigation Committee will advise the respondent on appropriate corrective action. It may also include in its final report specific recommendations for corrective action, such as notifying editors of journals in which the respondent's research was published or to which manuscripts were sent, and collaborators on such research.

The finding of the Investigation Committee will be forwarded to the Provost for review. If the Provost concurs with the decision of the Investigation Committee, the determination is final. If the Provost has questions about the finding, he or she will, within 10 working days of receiving it, request the Investigation Committee to reconsider its decision, providing with the request a statement of reasons for reconsideration. After a reconsideration by the Investigation Committee, its determination regarding research misconduct is final.

G. Submission of Final Report

The Investigation Committee then will submit the final report to the Provost. The respondent also will receive the final report of the investigation. When there is more than one respondent, each will receive all those parts of the report that are pertinent to his or her role in the case. If the identity of the complainant is known, he or she will be provided with those portions of the final report that address his or her role and opinions in the investigation.

The investigation is complete when the Provost has confidentially submitted the final report, with a description of any sanctions to be imposed by the University, to known complainant(s), the respondent(s), each respondent's department chair and college dean, or the respondent's unit and divisional directors, the Vice President for Research, and the funding agency, if any. A copy of the report and all documentation relevant to substantiating the investigation's findings will be kept in a secure and confidential file in the Office of the Vice President for Research. If there is a final determination of misconduct, the report will become part of the respondent's confidential personnel file.

A funding agency may claim the right to examine this investigation file if it involves an investigation of any of its awardees.

H. Appeal Process

If the Investigation Committee's determination is against the respondent, the respondent may, within 30 calendar days of the distribution of that determination, file a written appeal with the President of the University. A time extension, where there is appropriate justification, may be requested of the President. Either the findings, or the sanctions, or both, may be appealed. An appeal must be restricted to the body of evidence already presented, and the grounds for appeal must be limited to failure to follow appropriate procedures in the investigation, arbitrary and capricious decision-making, or sanctions not in keeping with the findings. The decision of the President is the final University determination. New evidence or newly discovered conflict of interest may warrant a new investigation, in which case the President or Provost may direct that the original committee or a modified committee conduct a new inquiry.

No university sanctions, other than interim administrative action as described in Section III G above will be imposed before the appeal has been concluded; nor will findings be considered final until any appeal of the findings has been concluded.

Sanctions imposed by external agencies may be appealed through the procedures established by those agencies.

V. Resolution of Investigation

The Provost will expeditiously take action on all recommendations or refer them to another appropriate office (e.g., department chair, director, dean, student judicial office, Civil Service personnel office) for action.

A. Finding of No Research Misconduct

All persons and agencies informed of the investigation must be notified promptly of the finding of no misconduct. Notification will be made by the Vice President for Research.

The Vice President for Research will work with appropriate persons to counter any adverse publicity experienced by the respondent during the inquiry or investigation.

Particular efforts will be made to redress damage to the respondent's reputation and status as a competent researcher.

If the unsubstantiated allegations of misconduct are found to have been maliciously motivated, appropriate grievance procedures or disciplinary action will be initiated against the complainant. If the allegations, however incorrect, are found to have been made in good faith, no disciplinary measures will be taken and diligent efforts will be made to prevent retaliatory action against the complainant.

Any findings-related communication with a funding agency will also be sent, in confidence, to the Director of the Office of Sponsored Projects.

B. Finding of Research Misconduct

All persons and agencies or organizations informed of the investigation must be notified promptly of a finding of research misconduct. Notification will be made by the Vice President for Research.

In its final report, the Investigation Committee will recommend to the Provost specific sanctions to be imposed on the respondent(s). Sanctions may include, but are not limited to: removal from the research project, a reprimand, financial restitution, and termination of association with the University.

If there is a finding of misconduct, the University will notify the institution with which the respondent is currently affiliated. Other Investigation Committee recommendations to the Provost may include, if appropriate, actions such as notifying editors of journals in which the research in question was published or to which manuscripts were sent; other institutions with which the respondent has been affiliated; collaborators on such research; and professional societies, licensing boards, or criminal authorities.

The University response to a finding of research misconduct, including sanctions against the researcher, will reflect the severity of the misconduct and will be in compliance with the provisions of the University Constitution and Bylaws and other relevant documents.

If termination of faculty employment is to be considered, the due process provision of Section 7.3 of the University Bylaws will apply. If termination of a member of the Supportive Professional Staff is to be considered, due process procedures specified in Item I-12-1 of the Academic Policies and Procedures Manual will apply. If dismissal of a member of the Operating Staff is to be considered, the procedures in the State Universities Civil Service System statute and rules will apply. If dismissal of a student is to be considered, the Student Judicial Code appeal procedures will be followed. Sanctions or other actions may also be taken by the awarding funding agency.

Addendum

Much of this document is based upon the "Framework for Institutional Policies and Procedures to Deal with Fraud in Research," developed in November, 1988, by staff from the Association of Academic Health Centers (AAHC), the Association of American Medical Colleges (AAMC), the Association of American Universities (AAU), the American Council on Education (ACE), the American Society for Microbiology (ASM), the Council of Graduate Schools (CGS), the Council on Governmental Relations (COGR), the Federation of American Societies for Experimental Biology (FASEB), the National Association of State Universities and Land-Grant Colleges (NASULGC), with input from the American Association for the Advancement of Science (AAAS), American Bar Association (ABA), and National Conference of Lawyers and Scientists.

Other sources include "Statement on Professional Ethics (American Association of University Professors, 1987), "Honor in Science" (Sigma Xi, 1986), "The Maintenance of High Ethical Standards in the Conduct of Research" (American Association of American Medical Colleges, 1982), and "Report of the Association of American Universities' Committee on the Integrity of Research" (Association of American Universities, 1982).

This policy and procedures document conforms to the August 8, 1989, U.S. Public Health Service regulations, "Responsibilities of Awardee and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science" and the July 1, 1987, regulations issued by the National Science Foundation, "Misconduct in Science and Engineering Research." It was shaped to address the concerns of Northern Illinois University by the Graduate Council's Research and Artistry Committee, the Graduate Council, the University Council, and other interested faculty, students, staff, and administrators. It will be reviewed periodically and revised as needed. The Provost, through the Vice President for Research and through the Director of the Office of Sponsored Projects, will disseminate the information contained herein, as appropriate, to members of the University community.

Approved by Graduate Council, April 29, 1991
(Endorsed by University Council, May 1, 1991)
(Editorial modifications, April 4, 1994; June 5, 1997; September 16, 2003)

TIME LIMITATIONS OF ACCEPTABLE COURSE WORK
IN A GRADUATE PROGRAM

Oldest course work acceptable in a graduate
program given particular time limits

<u>Graduation Date</u>	<u>6 years</u>	<u>9 years</u>
December, 06	Spring, 01	Spring, 98
May, 07	Summer, 01	Summer, 98
August, 07	Fall, 01	Fall, 98
December, 07	Spring, 02	Spring, 99
May, 08	Summer, 02	Summer, 99
August, 08	Fall, 02	Fall, 99
December, 08	Spring, 03	Spring, 00
May, 09	Summer, 03	Summer, 00
August, 09	Fall, 03	Fall, 00
December, 09	Spring, 04	Spring, 01
May, 10	Summer, 04	Summer, 01
August, 10	Fall, 04	Fall, 01
December, 10	Spring, 05	Spring, 02
May, 11	Summer, 05	Summer, 02
August, 11	Fall, 05	Fall, 02
December, 11	Spring, 06	Spring, 03
May, 12	Summer, 06	Summer, 03
August, 12	Fall, 06	Fall, 03

AN ILLUSTRATION OF SOME POSSIBLE ELEMENTS OF A THESIS OR DISSERTATION PROPOSAL

Caveat Emptor. The student's research advisor and committee members are the primary source of information concerning which sections and subsections of material are actually needed in a finished proposal. The following is simply an illustration of some of the sections and subsections of information that might be found in a proposal.

This list is not exhaustive; nor are all of the elements listed below necessary components of every proposal. The actual sections found in a finished and approved proposal will vary from one proposal to another.

Title Page: include title, purpose (e.g., "Proposal for Master's Thesis"), your name, your affiliation (Department of Psychology, Northern Illinois University), and the date.

Table of Contents: list major divisions of the manuscript, location of tables and figures, content of appendices, etc.

Overview: 1-2 pages in which you summarize what you plan to do, why it is important, and how you plan to do it.

Background: current and historical literatures that bear directly upon the problem you have chosen to study. Use subheadings to organize.

Rationale: a brief section to tie Background section to the Methods. Briefly restate the problem, tell how the literature review relates to it and why it is important, then explain what your study will add. Hypotheses belong here.

Methods: subjects, design, procedures, instruments and materials, operational definitions, proposed analyses, definition of coding categories, etc. In other words, what exactly are you going to do and how? Use subheadings to organize, and include tables or schematics (e.g., of your design) if they help to clarify.

Proposed Data Analyses: indicate the unit of analysis, the statistical approach or technique to be used to analyze the data, and the statistical outcomes and patterns of differences expected according to your hypotheses.

Pilot Data: purpose is to determine whether your method is practical and whether it will yield data directly relevant to the problem you have chosen to study. Tell how many subjects you ran, what you did to them, and what they did. Include tables, figures, etc.

Summary: brief recapitulation of purpose of study, importance of the study, and why you believe it will work (approximately 1 page).

References: list every source cited in your proposal (APA format).

Appendices: include pertinent information such as examples of consent form, copies of instruments, instructions to subjects--anything necessary for a thorough description but which does not fit into the main body of your proposal.

Note: See Appendix A of the APA Publication Manual and The Graduate School Manual for Theses and Dissertations (available, for a price, from the NIU Bookstore) for further suggestions.

Suggestions For Keeping Your (Thesis, Dissertation) Committee User Friendly

You may anticipate a minimum of two committee meetings--the proposal meeting and the final orals meeting. The proposal meeting will take place after you and your advisor agree that you have a complete proposal ready for your committee's consideration. You should be prepared to describe and defend your study to the committee at the proposal meeting, and to clarify and defend your ideas. When you have completed any revisions required by the committee, you must place a copy of your proposal on file in the psychology office before you begin to run subjects.

The final meeting will take place after your data are collected and analyzed, and when you and your advisor agree that the manuscript is in its final form. Every member of the committee must be given a copy of this final manuscript. Again, you should be prepared to describe your study and defend your work. Issues of interpretation and implication will be as important--if not more so--than the bare "facts." Your committee may decide that changes need to be made in the final manuscript; these changes must be made before you can be considered officially finished with the research.

The following are specific suggestions for dealing with members of a master's or dissertation committee. Although each faculty member will have somewhat different expectations, these strategies should ensure that no one is offended.

1. Committee members must have at least one full week's notice (two weeks notice for Ph.D. oral examination) of the confirmed date and time of any meeting. (You should check with the psychology office to schedule a room.)
2. All materials (including tables, appendices, reference list, etc.) must be in the committee's possession at least one week prior to any meeting. Do not anger your committee by passing your proposal out piecemeal or expecting them to read about your pilot data 10 minutes before your meeting.
3. If a member of your committee cannot be present for the entirety of a scheduled meeting, your other members should be notified and given the option of rescheduling the meeting. Communication among all members of the committee is most important, and partial meetings waste time.
4. Inform your committee of the purpose of any scheduled meeting (a working session, the official proposal meeting, whatever). This knowledge has implications for how they prepare for the meeting. Similarly, indicate the purpose of any written material (draft, the final proposal, etc.).
5. You should be apprised that many faculty members are not under contract during the summer months and therefore are not compensated for departmental services. Thus, when seeking out faculty for consultation or trying to set up committee meetings during the summer months, arrangements may be more difficult to make and much further advanced notice is typically required.
6. Whenever possible, make your contacts with committee members in person. You are asking for something from them, so you must take the initiative. Until all else fails, don't try to obligate members to call you, look for you, or leave you notes.

Guidelines For Institutional Review Board Proposals

This document briefly describes the procedures and policies of the Department of Psychology and the University regarding review of human subjects research. These policies were enacted in accordance with Federal guidelines. The Code of Federal Regulations for the Protection of Human Subjects is available in the office of chair of the department's Use of Human Subjects Review (HSR) committee, though in most instances reference to this document should be sufficient. Additional information and application forms for IRB and IACUC are available at the Office of Research Compliance website: www.grad.niu.edu/orc.

Compliance

Compliance with federal regulations pertaining to human subject research is vitally important to the university because failure to comply could result in the loss of federal funds to NIU as well as to the individual investigator. Moreover, NIU has the responsibility for protecting the rights and welfare of human subjects used in research projects conducted at the institution or under the direction of any employee or agent of this institution, whether funded or not, and regardless of the source of funding. Research investigators shall be responsible for complying with all IRB decisions, conditions, and requirements. If the IRB becomes aware of research being conducted or about to be conducted with human subjects, and if the research has not been brought to the attention of the IRB by the investigator(s), the investigator(s) will be asked to seek IRB approval before or after the fact. If the investigator(s) does not respond within two weeks of notification of noncompliance, the investigator will immediately be informed that the research cannot proceed, or must be suspended, and will be asked to contact the IRB chair or the assistant to the Dean for Research Compliance immediately. If there is no response within one week, the department chair/director will be notified of noncompliance and asked to take appropriate action. The department chair/director will be asked to report the action taken and the results to the IRB chair within one week. If no response is received within that week, the IRB chair will contact the department chair/director by telephone. If no resolution of the problem has occurred, the IRB chair will, if (s)he deems it necessary, inform the Dean and Associate Provost for Graduate Studies and Research of the situation and convey to the Dean the recommendation(s) of the IRB for further action, if any.

What human subjects research is subject to review?

All of it. Some research is classified as "exempt" from review, but do not be fooled by this label. To be determined exempt, someone has to review it. All research projects involving use of human subjects conducted by NIU faculty, staff, or students, and sponsored, in whole or in part by NIU must be reviewed and approved by the IRB or its agents (see "Administrative Review" category below for clarification). This includes research whether on or off-campus, whether with college students, children, or other people, and whether of a pilot nature or the study proper. It extends to questionnaires, interviews, tests, observations, surveys, and other experiments, regardless of the content or routine nature of the subject matter. Research projects which also require IRB approval include (but are not limited to) any systematic collection of data from human subjects which occurs in conjunction with classroom projects, "demonstration," and "service" programs.

What are the levels of review?

The process begins with a proposal submitted to the Director of Graduate Studies, who will either review the proposal or forward it to the other departments HSR representative for review. After review, the HSR representative may confer with the investigator to resolve questions or to aid in bringing the proposal into conformity with University/Federal guidelines. If the research is judged by the HSR representative to be appropriate for Administrative Review, the investigator may commence the research upon notification by the HSR committee. If the research is classified as Subcommittee or Full Board Review, the proposal is sent to the IRB for further review, with a recommendation for classification. The IRB meets bi-monthly. A schedule of meetings at the beginning of each semester will be distributed specifying deadlines for submitting proposals to the HSR chair in order to reach the IRB for each meeting. **NOTE THAT NO RESEARCH CAN BE UNDERTAKEN UNTIL THE PRIMARY INVESTIGATOR HAS RECEIVED APPROVAL FROM THE HSR.** Normally, approval lasts for one year from the date of the approval letter from the IRB chair. The regulations require annual review of all projects. If an ongoing project extends beyond a one-year period following original approval, the investigator(s) must reapply for a time extension. A request for a time extension of a project which has not changed since its original approval can be reapproved by Subcommittee Review. If the project has been approved by "Administrative Review," it needs no further review unless the investigator intends to modify the protocol in such a way that it is no longer exempt. Researchers should submit continuing applications in a timely manner to avoid interruption of their data collection. Research investigators are also responsible for reporting promptly through their department chairs/directors or designees to the IRB chair any injuries or any unanticipated problems which involve human research subjects or others.

What are the classifications of proposals?

There are three classes: Administrative Review, Subcommittee Review, and Full Board Review. The characteristics determining which applies to a proposal are found below. Preliminary determination is made on the department level, and final determination and approval of proposals is made by the IRB. Though it is difficult to summarize the differences between the three classes, a general rule of thumb is that Administrative Review research, by involving Ss in activities in which one would normally be expected to engage, poses no risk to Ss; Subcommittee Review research involves minimal risk; and full board review research involves more than minimal risk. The Federal regulations indicate that research involving "manipulation" (broadly defined as deceiving, or otherwise influencing Ss to engage in behavior they would not ordinarily do, e.g., by withholding or misrepresenting information) falls into the full board review class.

How is application made?

Carefully. The IRB is very particular about details. Application forms are available at the Office of Research Compliance website: www.grad.niu.edu/orc. It is not necessary to describe in detail the background of the study, the literature, etc. The general need is to describe exactly what will be done to Ss, what their task will be, and what they will be told. If deception is involved, report why you need to use it. If there is any chance of physical or psychological harm, tell how you will minimize and/or deal with it (e.g., debriefing procedures, counseling or medical availability, prior information on health status).

There are some recurrent issues related to IRB research proposals submitted by students and faculty with which both the department and university committees continue to grapple. Provided below are some recommendations that will minimize the chance that a proposal is returned.

1. There is often confusion between the terms "confidential" and "anonymous". "Anonymous" should be limited to experiments in which there is no way that a participant's identity can be connected to the data (e.g., participants never record their name or other identifying information, or names are removed from materials, or information provided by participants can not be used to identify them.) "Confidential" refers to experiments in which the participant's identity is known or can be inferred, but the experimenter promises not to reveal the information AND takes precautions to protect confidentiality. Ensuring anonymity will result in less scrutiny by the IRB.
2. The IRB is concerned with proposal length. You want to provide all information relevant to the determination of such issues as risk, informed consent, and participant protection. In general, this means conveying what will be done to, and told to the participant, and how the participant's work product will be used. It is not necessary to discuss the rationale of the study at length, provide references, or have a literature review. However, in proposals entailing high risk, it is a good idea to document the importance of the study and potential findings in order to justify the risk.
3. Please note that all dates on the IRB forms must be specified by a day, month, and year -- not a season or year only. Also, the beginning date of data collection should not precede the scheduled IRB meeting.
4. If the study involves participant deception, it is reviewed by the full board and the applicants must address debriefing (see next section).
5. Perhaps the most critical element of many proposals is the manner in which informed consent is obtained. Components of informed consent are addressed below.

Guidelines for research involving deception

Deliberate deception of subjects should occur only if the investigator has determined that withholding complete, accurate information about the nature of the study is necessary to ensure valid results.

If the investigator has made this determination, then the following concerns need to be addressed in the application for approval for the use of human subjects, either in the description of the study, or as an explanation that will be given to the subjects after participating:

1. Whether the debriefing will be oral, or in writing, and when it will take place. If it will be written, subjects need to be provided with the opportunity to discuss the study after they have read the debriefing.
2. Minimally, the debriefing should include the following:
 - a. The real nature of the study, the fact that deception occurred, and clarification of any misconceptions that have arisen as a result of the deception.

- b. The reason(s) the investigator felt deception to be necessary.
- c. The extent of the deception (e.g., what the subjects were led to believe, as contrasted with reality).

The critical concern is for the welfare of the subjects, so it is the responsibility of the investigator to ensure there are no unaddressed negative consequences of the deception.

When the subjects of the study are minors, the "debriefing" session will need to be suitable for the age group of the minors. In some cases, where very young children are involved, it may be advisable for the investigator to involve a parent (or guardian) in the debriefing session. Depending on the nature of the deception, it may be in the best interests of the minor to allow the deception to remain intact from the minor's perspective. The investigator should make this determination and provide the committee with an explanation of why debriefing will or will not occur, and, if it will, the substance of the information that will be provided, in appropriate language.

Informed Consent Procedures

Informed consent statements given to Ss and reported to the IRB must be tailored to the details of the individual experiment. The detailed form should incorporate major details of the study to which the subject is consenting. For example, mention should be made of the subject's ability to discontinue participation without penalty, risks, confidentiality, major requirements, and the like. Typically, a unique informed consent form will have to be composed for each unique study. The informed consent form approved by the IRB is the one given to Ss in the experiment, with the additional section that deals with keeping a record for experimental credit.

Unless specifically waived by the IRB in accordance with federal regulations, it is the researcher's obligation to obtain legally effective informed consent of the subject or the subject's legally authorized representative prior to the start of data collection. In addition, the researcher must also solicit the assent (e.g., oral agreement) of any minor subject (has not attained age 18) capable of assenting. To be legally effective, informed consent should:

1. be in language understandable to the subject or the representative;
2. be obtained under circumstances that offer the subject or the representative sufficient opportunity to consider whether the subject should or should not participate; and
3. not include exculpatory language through which the subject or the representative is made to waive or appear to waive any of the subject's legal rights, or releases or appears to release the research investigator, the sponsor, the institution or its agents from liability for negligence.

Basic Elements of Informed Consent. In seeking informed consent the following information shall be provided to each subject:

1. A statement that the study involves research, an explanation of the purposes of the research

and the expected duration of the subject's participation, a description of the procedures to be followed, and identification of any procedures which are experimental;

2. A description of any reasonably foreseeable risks or discomforts to the subject;
3. A description of any benefits to the subject or to others which may reasonably be expected from the research;
4. A disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject;
5. A statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained;
6. For research involving more than minimal risk, an explanation as to whether any medical treatments are available if injury occurs and, if so, what they consist of, or where further information may be obtained;
7. An explanation of whom to contact for answers to pertinent questions about the research and research subjects' rights, and whom to contact in the event of a research-related injury to the subject; and
8. A statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled, and the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.

Additional elements of informed consent. When appropriate, one or more of the following elements of information shall also be provided to each subject:

1. A statement that the particular treatment or procedure may involve risks to the subject (or to the embryo or fetus, if the subject is or may become pregnant) which are currently unforeseeable;
2. Anticipated circumstances under which the subject's participation may be terminated by the investigator without regard to the subject's consent;
3. Any additional costs to the subject that may result from participation in the research;
4. The consequences of a subject's decision to withdraw from the research and procedures for orderly termination of participation by the subject;
5. A statement that significant new findings developed during the course of the research which may relate to the subject's willingness to continue participation will be provided to the subject; and
6. The approximate number of subjects involved in the study.

An Institutional Review Board may approve a consent procedure which does not include, or which alters, some of all of the elements of informed consent set forth above, or waive the requirement to obtain informed consent provided the IRB finds and documents that:

1. The research or demonstration project is to be conducted by or subject to the approval of state or local government officials and is designed to study, evaluate, or otherwise examine:
(i) programs under the Social Security Act, or other public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs; and
2. The research could not practicably be carried out without the waiver or alteration.

An IRB may approve a consent procedure which does not include, or which alters some or all of the elements of informed consent set forth above, or waive the requirements to obtain informed consent provided the IRB finds and documents that:

1. The research involves no more than minimal risk to the subjects;
2. The waiver will not adversely affect the rights and welfare of subjects;
3. The research could not practicably be carried out without the waiver; and
4. Whenever appropriate, the subjects will be provided with additional pertinent information after participation.

Documentation of Informed Consent: Researchers shall be responsible for ensuring that informed consent is documented by the use of a written consent form approved by the IRB and signed by the subject or the subject's legally authorized representative, unless this requirement is specifically waived by the IRB. Each person signing the written consent form is given a copy of that form. A written consent form should include those standard elements listed above, and contain signature and date lines. This form may be read to the subject or the subject's legally authorized representative, but in any event, the research investigator shall give either the subject or the representative adequate opportunity to read the form before signing it.

A "short form" in which the elements of informed consent have been presented orally to the subject or the subject's legally authorized representative may also be used. When the "short form" is used, researchers should ensure that a copy of the short form is given to the subject or the representative, and that a written summary of what is to be said to the subject or the representative receives the prior approval of the IRB. Furthermore, a witness should be present at the oral presentation, and the subject (or representative), the witness, and the researcher (or person obtaining consent) sign the short form.

Research investigators are responsible for retaining the consent documents signed by human research subjects in a repository approved by the IRB chair for three years.

Research Proposal Classifications.A. Administrative Review Proposals:

1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as i) research on regular and special educational instructional strategies, or ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
2. Research involving the use of a) educational tests, (cognitive, diagnostic, aptitude, achievement), b) survey procedures, c) interview procedures, or d) observation of public behavior, unless: i) information obtained is recorded in such a manner that human subjects can be identified directly or through identifiers linked to the subjects; and ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under item 2 of this section, if: i) the human subjects are elected or appointed public officials or candidates for public office, or ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
4. Research, involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
5. Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: i) public benefit or service programs; ii) procedures for obtaining benefits or services under those programs; iii) possible changes in or alternatives to those programs or procedures; or iv) possible changes in methods or levels of payment for benefits or services under those programs.
6. Taste and food quality evaluation and consumer acceptance studies, i) if wholesome foods without additives are consumed or ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

- B. Subcommittee Review: Research activities that (1) present no more than minimal risk to human subjects, and (2) involve only procedures listed in one or more of the following, may be reviewed by the IRB through the Subcommittee Review procedure authorized by 45CFR 46.110 and 21 CFR 56.110. The activities listed should not be deemed to be of minimal risk simply because they are included on this list. Inclusion on this list merely means that the activity is eligible for review through the Subcommittee Review procedure when the specific circumstances of the proposed research involve no more than minimal risk to human subjects.

The categories in this list apply regardless of the age of subjects, except as noted.

The Subcommittee Review procedure may not be used where identification of the subjects and/or their responses would reasonably place them at risk of criminal or civil liability or be damaging to subjects' financial standing, employability, insurability, reputation, or be stigmatizing, unless reasonable and appropriate protections will be implemented so that risks related to invasion of privacy and breach of confidentiality are no greater than minimal.

The Subcommittee Review procedure may not be used for classified research involving human subjects.

IRBs are reminded that the standard requirements for informed consent (or its waiver, alteration, or exception) apply regardless of the type of review—Subcommittee Review or convened—utilized by the IRB.

Categories one (1) through seven (7) pertain to both initial and continuing IRB review.

Research Categories

1. Clinical studies of drugs and medical devices only when condition (a) or (b) is met.
(a) Research on drugs for which an investigational new application (21 CFR Part 312) is not required. (Note: Research on marketed drugs that significantly increases the risks or decreases the acceptability of the risks associated with the use of the products is not eligible for Subcommittee Review.) (b) Research on medical devices for which (i) an investigational device exemption application (21 CFR Part 812) is not required; or (ii) the medical device is cleared/approved for marketing and the medical device is being used in accordance with its cleared/approved labeling.
2. Collection of blood samples by finger stick, heel stick, ear stick, or venipuncture as follows:
(a) from healthy, nonpregnant adults who weigh at least 110 pounds. For these subjects, the amount drawn may not exceed 550 ml in an 8 week period and collections may not occur more frequently than 2 times per week; or (b) from other adults and children, considering the age, weight, and health of the subjects, the collection procedure, the amount of blood to be collected, and the frequency with which it will be collected. For these subjects, the amount drawn may not exceed the lesser of 50 ml or 3 ml per kg in an 8 week period and collection may not occur more frequently than 2 times per week.
3. Prospective collection of biological specimens for research purposes by non invasive means. Examples: (a) hair and nail clippings in a nondisfiguring manner; (b) deciduous teeth at time of exfoliation or if routine patient care indicates a need for extraction; (c) permanent teeth if routine patient care indicates a need for extraction; (d) excreta and external secretions (including sweat); (e) uncannulated saliva collected either in an unstimulated fashion or stimulated by chewing gumbase or wax or by applying a dilute citric solution to the tongue; (f) placenta removed at delivery; (g) amniotic fluid obtained at the time of rupture of the membrane prior to or during labor; (h) supra- and subgingival dental plaque and calculus, provided the collection procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques; (i) mucosal and skin cells collected by buccal scraping or swab, skin swab, or mouth washings; (j) sputum collected after saline mist nebulization.

4. Collection of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice, excluding procedures involving x-rays or microwaves. Where medical devices are employed, they must be cleared/approved for marketing. (Studies intended to evaluate the safety and effectiveness of the medical device are not generally eligible for Subcommittee Review, including studies of cleared medical devices for new indications.) Examples: (a) physical sensors that are applied either to the surface of the body or at a distance and to not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy; (b) weighing or testing sensory acuity; (c) magnetic resonance imaging; (d) electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, ultrasound, diagnostic infrared imaging, doppler blood flow, and echocardiography; (e) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.
5. Research involving materials (data, documents, records, or specimens) that have been collected or will be collected solely for nonresearch purposes (such as medical treatment or diagnosis). (NOTE: Some research in this category may be exempt from the HHS regulations for the protection of human subjects 45 CFR 46.101(b)(4). This listing refers only to research that is not exempt.)
6. Collection of data from voice, video, digital, or image recordings made for research purposes.
7. Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies. (NOTE: Some research in this category may be exempt from the HHS regulations for the protections of human subjects 45 CFR 46.101(b)(2) and (b)(3). This listing refers only to research that is not exempt.)
8. Continuing review of research previously approved by the convened IRB as follows: (a) where (i) the research is permanently closed to the enrollment of new subjects; (ii) all subjects have completed all research-related interventions; and (iii) the research remains active only for long-term follow-up of subjects; or (b) where no subjects have been enrolled and no additional risks have been identified; or (c) where the remaining research activities are limited to data analysis.
9. Continuing review of research, not conducted under an investigational new drug application or investigational device exemption where categories two (2) through eight (8) do not apply but the IRB has determined and documented at a convened meeting that the research involves no greater than minimal risk and no additional risks have been identified.

Subcommittee Review shall be conducted by the IRB chair or by one or more of the experienced IRB members designated by the chair to conduct the review. The IRB member(s) conducting the Subcommittee Review may exercise all of the authorities of the IRB except that the reviewer(s) shall refer any research protocol which the reviewer(s) would have disapproved to the full committee for review. The reviewer(s) may also refer other research protocols to the full committee whenever the reviewer(s) believes that full committee review is warranted.

When the Subcommittee Review procedure is used, the IRB chair or member(s) conducting the review shall inform IRB members of research protocols which have been approved under the procedure. At a convened IRB meeting, any member may request that an activity which has been approved under the Subcommittee Review procedure be reviewed by the IRB in accordance with non-Subcommittee Review procedures. A vote of the members shall be taken concerning the request and the majority shall decide the issue.

- C. Full Board Review: When the IRB chair has determined that the proposed research involves more than minimal risk to the subjects or that it does not fall within the Administrative Review nor Subcommittee Review categories, the proposal is referred to IRB for full board review. In such cases, the researchers must submit the IRB Form B, which provides additional information necessary to perform the risk/benefit analysis outlined below.

The IRB shall have the responsibility to review and the authority to approve, require modification in, or disapprove all activities or proposed changes in previously approved activities covered by regulations. The IRB shall approve research based on the IRB's determinations that the following requirements are satisfied:

- 1) Risks to subjects are minimized:
 - a) by using procedures which are consistent with sound research design and which do not unnecessarily expose subjects to risk, and
 - b) whenever appropriate by using procedures already being performed on the subjects for diagnostic or treatment purposes.
- 2) Risks to subjects are reasonable in relation to anticipated benefits, if any, to subjects, and the importance of knowledge that may reasonably be expected to result. In evaluating risks and benefits, the IRB shall consider only those risks and benefits that may result from the research (as distinguished from risks and benefits of therapies subjects would receive even if not participating in the research). The IRB shall not consider long-range effects of applying knowledge gained in the research as among those research risks that fall within the purview of its responsibility.
- 3) Selection of subjects is equitable. In making this assessment the IRB shall take into account the purposes of the research, the setting in which the research will be conducted, and the population from which subjects will be recruited.
- 4) Informed consent will be sought from each prospective subject or the subject's legally authorized representative, in accordance with, and to the extent required by 45 CFR 46.116.
- 5) Informed consent will be appropriately documented in accordance with and to the extent required by 45 CFR 46.116.
- 6) Where appropriate, the research plan makes adequate provision for monitoring the data collected to insure the safety of subjects.
- 7) Where appropriate, there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of data.

Additional Protections for Special Populations

The IRB, in compliance with federal regulations, gives special consideration to proposed research involving: prisoners, children, those individuals institutionalized as mentally disabled, fetuses, pregnant women, in-vitro fertilization of human ova, and other potentially vulnerable groups.

Of particular concern at NIU is research conducted involving children as subjects. Parental consent (as well as IRB approval) must be obtained prior to beginning any research project which alters a child's routine or behavior. This includes research conducted in classroom settings, such as educational tests, surveys, etc. Parental consent may be waived only when the child is legally designated an emancipated minor or when it is determined by the IRB that parental permission is not a reasonable requirement to protect the subjects (for example, neglected or abused children). Furthermore, assent (e.g., oral agreement) of the child must be obtained unless the IRB determines that the capability of some or all of the child/children is so limited that they cannot reasonably give assent. Assent indicates a willingness to be involved in the project. The process of obtaining assent involves providing the child with the following information, using age-appropriate language: an explanation of the purpose of the research; the nature and expected duration of participation; and that participation is voluntary--refusal to or discontinuation of participation is possible at any time without penalty or loss of benefits. For research conducted in settings (e.g., schools, classrooms, etc.) in which general blanket participation forms have been signed by guardians, specific consent of the guardian and assent of the child must be obtained for each project conducted with these subjects unless there will be no manipulation of the subject's behavior or disruption of the normal routine of the individuals in these settings.

STATEMENT OF CLINICAL PSYCHOLOGY DOCTORAL STUDENT REQUIREMENTS

The program requires each student to complete at least 3 academic years of full-time graduate study at Northern Illinois University and a 12 month internship prior to awarding the degree. Doctoral students in the Clinical Program are required to complete all of the courses listed below. Note: These are special requirements in the Clinical Doctoral program and are in addition to the minimum Foundation Courses required of all students.

Required Basic Courses [Note: Other classes may be approved by the clinical area to substitute for no more than two of the following courses required of clinical students: 428, 501, 503, 511, 520, 565]

PSYC 504 Advanced Psychological Statistics

PSYC 506 Experimental Design

PSYC 428 History of Psychology

PSYC 501 Fundamentals of Learning or PSYC 511 Cognitive Psychology I

PSYC 503 Biopsychology

PSYC 520 Experimental Social Psychology

PSYC 565 Behavioral Development

Required Clinical Courses

PSYC 540 Theory and Assessment of Intellectual Functioning

PSYC 541 Psychopathology

PSYC 542 Personality Assessment or 546 Psychological Assessment of Children

PSYC 543 Theories of Psychotherapy or 547 Psychological Intervention with Children and Their Families

PSYC 544 Cognitive-Behavioral Theory and Techniques

PSYC 548 Consultative Interventions in School and Community Settings

PSYC 554 Practicum in Psychotherapy (12 hours)

PSYC 554 Externship Practicum (one year)

PSYC 554 Supervision Practicum (2 hours)

PSYC 555 Internship (12 hours each semester, 6 hours in summer.

Note: Only 4 of these 30 internship hours may be applied toward the 90 semester hours required for the Ph.D.)

PSYC 571 Clinical Research Methods

PSYC 580C Seminar in Psychology: Professional Problems (3 hours)

PSYC 590 Psychological Research (3 hours)

Note:

1. An approved thesis proposal must be on file by June 15 of the second year of graduate study for the student to register for the third year of practicum.
2. An approved dissertation proposal must be on file by September 1 of the year students want to apply for an internship. Students are expected to complete dissertation data collection before leaving for internship.

Clinical students should also refer to the document "The Doctoral Program in Clinical Psychology at Northern Illinois University" for a full description of special requirements for the clinical program. Particular attention should be given to the Clinical area "At Risk" policy, which is reprinted on the following page. Any questions on the accreditation of the program should be addressed to the Office of Program Consultation and Accrediation of the American Psychological Association; Address: 750 First St. NE, Washington DC 20002-4242; Telephone: 202-336-5979.

Clinical Area "At Risk" Policy

Committee Purpose: To develop procedures to identify and remediate students whose clinical work is not progressing satisfactorily, putting them "at risk" to be terminated from the clinical program.

Problem Identified: A doctorate in clinical psychology requires more than good grades and research skills. Clinical psychologists are expected to be skilled in the evaluation and treatment of psychological disorders. Terminating students from the clinical program because of seriously deficient development of clinical skills is the ethical and professional responsibility of the clinical faculty. The absence of formal, defined procedures for this process can make decisions appear arbitrary or unfair to students.

Guidelines for Improvement: Four processes developed by the students and consistent with recent literature guided the committee's approach:

1. establish and communicate a set of clear expectations;
2. provide ongoing feedback;
3. involve all relevant parties in all phases of deliberation;
4. provide the opportunity to demonstrate change and to appeal decisions.

Proposed Plan: At the end of each semester, the clinical faculty will review the clinical performance of the clinical students. Faculty who taught a team will identify any student they feel is seriously deficient in their development of clinical skills. The faculty will notify students as early as possible that they are considering identifying the student as "at risk" and will again inform the student when they decide to go to the full clinical faculty with the recommendation that the student be considered "at risk." If after discussion the majority of the clinical faculty concur, the following procedure will be implemented:

1. Once the clinical faculty decides a student is "at risk," his or her next supervisor will be determined by the Director of Clinical Training (DCT) and the Director of the PSC with student and faculty input.
2. The student, immediate past clinical supervisor, next semester clinical supervisor, and DCT will meet to specify identified weaknesses and develop goals and strategies for remediation.
3. An individually tailored practicum will be developed which may include more intensive supervision, a reduced caseload, assigned readings, observation of more experienced therapists, an extra semester of practicum, recommendation for personal psychotherapy, a leave of absence, etc.
4. The student will be provided feedback about his or her performance on an ongoing basis but with a formal written evaluation at mid-semester.
5. At the end of the semester the student's progress will be reviewed by the clinical faculty and a decision made whether sufficient progress has been made to no longer be "at risk," to continue another semester "at risk," or to be terminated from the program.
6. The student may appeal the decision to the department chair, who will review the recommendation with the DCT, and if the chair chooses, with the clinical faculty. If the decision is unchanged the chair will inform the student of the process for further appeal.
7. If a student is dismissed from the program a final meeting should be initiated by the DCT to provide help or referrals for: academic counseling, personal therapy, status of future letters of recommendation, and any other issues of concern to the student.

Procedures to handle violations of PSC policy and/or violations of ethical guidelines for clinical practice within practicum and externship placements:

Preamble

In addressing ethical concerns in clinical work, the NIU clinical training program takes the position that students should first follow the guidelines articulated in the “Ethical Principles of Psychologists and Code of Conduct” (see Standard 1.04). Initially concerns about another student’s professional conduct should be communicated directly to the person in question. Such communications should be handled in a tactful manner, with attention to the fact that perceived ethical problems may be due to a lack of understanding, a miscommunication, or an actual violation. Thus, students should begin a process of communicating concerns about another student’s professional behavior in the spirit of learning and collegueship. Students are reminded that a hallmark of a “profession” is that members of a group take pride in supporting the ethical and professional behavior and reputation of individual members of the group and the profession as a whole. Every effort should be made to clarify and resolve concerns informally prior to invoking the following policy.

In determining how to handle an apparent violation of PSC policy or professional ethics of clinical practice, students are encouraged to seek the consultation of other sources, such as the APA ethics board, the state psychological association, faculty and other professionals. The faculty also recognizes that many of the issues that are brought to their attention can be resolved in supervision, through remediation, and other less formal ways; and every effort should be made to avoid a formal inquiry. However, if examination of a potential ethical violation or PSC procedural violation is not resolved using this more informal approach, then the following policy will be followed.

Policy Guidelines

Determination of whether the issue is an ethical violation, a policy/procedure violation, or both. Anything that is a procedural violation that also creates the potential for an ethical violation falls in the policy/procedure sequence of actions. If the procedural violation also constitutes an ethical violation, it is handled in the ethical sequence of actions.

Concerns about a student’s professional and ethical conduct should first be addressed with the DCT. In this consultation, the DCT determines whether the issue at hand is a policy/procedure issue or an ethical issue. If this question is not clear cut, then the DCT may call a meeting of the clinical faculty for consultation and discussion. If the issue pertains to clinic policy or procedure, the DCT immediately informs the PSC director. If the concern is an ethical violation, the DCT then confers with the clinical faculty who can recommend remedial measures, or proceed with a more formal investigation as described below. If the faculty recommends remediation, and the student contests the recommendation, the student can also request the following procedure be followed. In accordance with the ethical guidelines, the faculty may suspend the student clinician from client care pending resolution of the complaint.

Steps for handling ethical violations:

1. Establish a small (3 person) fact-finding committee which would make a recommendation to the full clinical faculty. Committee would typically include: one faculty member appointed by the DCT, a faculty member selected by the student in question, and the faculty member who most recently taught the ethics course.
2. The fact-finding committee reports their findings to clinical faculty. The report should include the procedures and findings of their investigation; as well as the ethical principles at issue.
3. Following discussion among the entire clinical faculty, a plan of action and/or consequences is developed. A plan of action may be recommended by the fact-finding committee
4. The plan of action is then voted on by the full clinical faculty. The entire clinical faculty must vote on the plan to deal with an ethical violation, and the consequences that may be imposed.
5. Any set of findings that could result in dismissal from the program would then be presented to the DOGS and the chair of the department.

A formal report of the deliberations, findings, and recommendations is placed in the student's permanent record.

Violation of PSC policy or procedures that are NOT also ethical violations.

Steps to be followed:

Concerns about a student not following PSC policy or procedure should be handled initially by the PSC director. The director should work closely with the student's direct supervisor and monitor adherence to policy. If concerns create the potential for ethical violations, or the student either continues to violate procedures or otherwise evidences an unacceptable response to correction, then the matter is presented to the DCT. The procedures from this point are the same as those followed for ethical violations with the following exception: The fact finding committee will typically be comprised of the PSC director, a faculty member appointed by the DCT, and a faculty member selected by the student. If there is concern that the issues may include some ethical considerations, the DCT has the option of formulating the committee to include someone with an expertise in a particular ethical issue.

DEPARTMENT OF PSYCHOLOGY
BRIEF LIST OF STEPS AND PROCEDURES IN THE GRADUATE PROGRAM

MASTER'S PROGRAM

<u>Procedure</u>	<u>Notes</u>
1. File MA program of courses.*	1. Before end of first semester, usually when registering for second semester courses.
2. Appointment of thesis director and committee member(s).	2. When agreed on.
3. Register for thesis hours (599).*	3. Semester thesis work begun, with permission of adviser.
4. Apply for <i>conditional</i> admission into doctoral program.*	4. Following appointment of thesis director and completion of 30 hours. Requires area endorsement.
5. File designation of research tool.*	5. Upon conditional admission to doctoral program.
6. Continued registration in 599.	6. Until thesis acceptance; credit hours determined by adviser.
7. Apply for IRB or IACUC subject approval.*	7. Prior to data collection.
8. File thesis proposal.*	8. When approved by committee.
9. Appointment of thesis examination committee and scheduling of oral defense.*	9. When thesis is completed to committee satisfaction.
10. File report of oral defense and approved thesis.*	10. When corrections in thesis made to satisfaction of examination committee.
11. Remove PSYC 599 incompletes.*	11. When thesis is accepted.
12. Complete Foundation courses.	12. Prior to award of M.A.
13. Apply to graduate school for graduation.	13. At beginning of the semester in which graduation is anticipated (see Graduate School Catalog).

* indicates that a form or permit is required. See the graduate secretary.

See the Graduate School catalog for other important filing deadlines.

DOCTORAL PROGRAM

<u>Procedures</u>	<u>Notes:</u>
1. Approval for continuation in Doctoral program.*	1. Immediately upon acceptance of the M.A. thesis. Requires positive recommendation of area.
2. File designation of research tool.*	2. Upon <i>conditional</i> admission, but no later than appointment of dissertation director.
3. Appointment of candidacy examination committee.*	3. Prior to taking candidacy examination. Student notifies area of intent to take exam.
4. Take candidacy examination. Area reports results.	4. Anytime after conditional admission to the doctoral program, but before the end of the third semester following award of M.A.
5. Fulfill tool requirement.	5. Anytime <i>before</i> appointment of dissertation director.
6. Appointment of dissertation director and committee.*	6. Anytime following step (1) and fulfilling tool requirement.
7. File doctoral program of courses.*	7. Immediately upon appointment of dissertation director.
8. Register for dissertation hours (699A).	8. When dissertation work begun, After appointment of director.
9. Continued registration in 699A.*	9. Until dissertation acceptance; credit hours determined by director.
10. File approved dissertation proposal.*	10. Upon approval by committee. Prior to formal collection of data.
H. Apply for IRB or IACUC subject approval.*	11. Prior to data collection.
12. File admission to candidacy form.*	12. After candidacy exam passed, approved proposal is filed, but <i>before</i> defense.
13. Appointment of oral defense committee and scheduling of oral examination.*	13. When dissertation is completed to the satisfaction of the committee.
14. File report of oral defense and approved dissertation.*	14. When corrections in dissertation made to satisfaction of examination committee.
15. Graduate school approval of the dissertation. Remove PSYC 699A incompletes.	15. After approved by the oral examining committee and submitted to the graduate school.
16. Apply to graduate school for graduation.*	16. At beginning of the semester in which graduation is anticipated (see catalog).

Department Policies Pertaining to Thesis and Dissertation Committees

1. The NIU Graduate Catalog specifies the following under "Requirements for Graduate Degrees":

- a) Under "Requirements for Fifth-Year Master's Degrees"--"Thesis and Examination Committees"

The thesis committee and the final comprehensive examination committee shall each consist of at least three members. The majority of the committee must be regular faculty members at Northern Illinois University; a majority must be members of the graduate faculty; and the chair must be a graduate faculty member in the student's major department.

- b) Under "Requirements for Doctoral Degrees"--"Candidacy Examination and Oral Defense of Dissertation"

Committees to conduct the candidacy examination and the oral defense of the dissertation will be nominated by the chair of the student's major department and appointed by the dean of the Graduate School. Membership of candidacy and dissertation examining committees will include representatives of major and minor fields. The number of members on such committees normally will be three to five, and at least three are required. The majority of the committee members must be regular faculty members at Northern Illinois University; a majority must be members of the graduate faculty; and at least one-half of voting members of each committee must be senior members of the graduate faculty. A person who is not a member of the Northern Illinois University faculty may be a member, but no more than one voting member may be without NIU graduate faculty status. In addition, the dean of the Graduate School will serve as an ex officio, nonvoting member of all committees to conduct the oral defense of the dissertation. The dean or a dean's designee is to participate in both parts of the defense.

2. The Policy and Planning Committee recommended on 9/24/82 to the Department Chair the adoption of the following guidelines regarding thesis/dissertation supervision. These guidelines were adopted by the Department Chair and implemented effective 10/1/82.

- a) The combined number of theses/dissertations which a faculty member may direct at any one time may not exceed five (5).
- b) The combined number of thesis/dissertation directorships and primary committee memberships for a faculty member at any one time may not exceed eight (8).
- c) Requests for exceptions to these guidelines may be submitted to the Chair, who will refer them to the Policy and Planning Committee for recommendation. Such requests must specify the unusual or special conditions which justify the request and must be signed by the faculty member making the request.

3. The Policy and Planning Committee clarified on 9/18/87 the Department policy on the question of

curricular area and departmental restrictions on thesis and dissertation committees (amended 2/5/88).

The current official policy is that members of thesis/dissertation committees are recommended by the dean of the College to the dean of the Graduate School for his/her approval.

Recommendations to the College dean are made by the Department. Curricular area restrictions on committee composition are informal practices typically conformed to on a collegial basis. No more than one adjunct faculty member may be appointed to any thesis/dissertation committee.

Curricular Area Candidacy Exam Procedures

The doctoral candidacy examination is a written examination that is intended to sample the student's knowledge and ability to integrate theory and research relevant to the student's area of concentration. A brief description of curricular area exam procedures is provided below. Students should consult with area coordinators for additional information regarding exam preparation, procedures, and scheduling.

Clinical

Clinical Candidacy Exam

The purpose of the candidacy exam is to assess students' knowledge in four content areas: psychopathology; assessment; intervention; and ethics and multiculturalism. These content areas are broad and invariant; however, the specific topics covered will vary across administrations of the exam and will be tailored to match the topics covered in the basic clinical courses. Different exams will be offered for students whose interests are primarily child-focused and students whose interests are primarily adult focused, although the topics on the two exams may overlap to some degree.

Students will be informed of the specific topic areas to be covered in each exam no less than six months before the exam. There will be four questions for each content area (i.e., psychopathology; assessment; intervention; and ethics and multiculturalism) and students must answer three questions in each content area. The exam will be given in four, three hour blocks, with one block allocated to each of the content areas. No outside material may be brought into the exam room.

The candidacy exam will be given twice a year, once in the summer and once during the winter break. Students must have been conditionally admitted to the doctoral program and have completed all of the required courses¹ before taking the exam. Students can choose to take the exam as early as the summer following their second year in the program. Students must take the exam not later than the summer following their third year in the program unless an extension is approved by the clinical faculty.

The exam will be graded using a "pass" or "fail" system. Each answer will be graded on a three-point scale and scores for the three answers within each content area will be averaged. To pass the exam the student must pass each of the four content areas. If the student fails one or more content areas, the student may retake the failed sections of the exam with the approval of the clinical faculty. Consistent with the graduate school regulations, a student who fails the exam a second time will be not be allowed to continue to work toward the doctorate.

¹ Courses that must be taken before candidacy exams

PSYC 540: Theory and Assessment of Intellectual Functioning

PSYC 541: Psychopathology

PSYC 542: Personality Assessment **or** PSYC 545: Assessment of Children

PSYC 543: Theories of Psychotherapy **or** PSYC 547: Psychological Interventions with Children and Their Families

PSYC 544: Cognitive Behavioral Theories and Techniques

PSYC 546: Child Psychopathology (required only for students whose interests are primarily child focused)

PSYC 580C: Professional Problems (Ethics and Multiculturalism)

For those who have matriculated before 9-1-05

Purpose and content of the examination:

The purpose of the Ph.D. Candidacy Examination is to insure that students have acquired the specialized knowledge in the area of clinical psychology commensurate with doctoral level research and practice. The exam requires students to show they can think critically about issues, integrate different theories and models; evaluate existing theories and empirical research; formulate opinions that may, but don't necessarily, differ from the prevailing zeitgeist; and incorporate broad principles from across all of psychology. Students are examined in three broad areas: individual differences/psychopathology, assessment, and intervention.

Procedure of the examination:

1. Students become eligible to form a candidacy exam committee upon the successful defense of their M.A. thesis. The committee is comprised of at least three faculty members, including no less than two faculty members from the clinical area. Students are advised to refer to the Graduate Student Manual regarding rules specifying when candidacy exams must be taken and the composition of the committee.
2. The student (in consultation with his/her advisor) will write 2-3 substantive questions for each of the three domains (individual differences/psychopathology, assessment, intervention). The student will also provide reading lists for each question (or block of questions) which include the literature pertinent to the content of the questions. The reading lists do not limit the material for which the student is responsible. The student remains responsible for writing a complete answer, not merely a complete answer as circumscribed by the readings list submitted. The committee has the option of accepting the student's proposed questions, combining multiple questions, or writing new questions.
3. Once the committee has approved the questions and presented them to the student, the student has three months to complete the exam. The exam is considered an independent project and the student may not solicit help or advice from anyone, with the exception that students may ask the committee for clarifications of the questions, in writing, at any time during the process.
4. The student will answer the questions in three APA-style papers, each of which is approximately 15 pages in length, excluding references.

Grading:

Adequate answers will receive a grade of "pass". Students must pass all three questions in order to pass the exam. If a student fails one or more questions the student fails the exam. A student who fails the exam can petition the clinical faculty for permission to take the exam a second time. Consistent with graduate school policy, students can only take the exam twice. If a student is permitted to take the exam a second time, the student will only have to retake the failed question(s). The examining committee has the option of either retaining the original question(s) or changing it (them). The student will be given one month for each question. The time will begin one week after receiving feedback on the failed examination. The conditions for the second examination are the same as for the first.

If, in the opinion of the committee, the student has written either one or two answers that are not clearly adequate on the first examination, the grade on the examination may be deferred. Inadequate answers are defined as those which are neither clearly passing nor clearly failing. The student is given the opportunity to re-write the inadequate answers. The time limit for re-writes is three weeks per question, beginning one week following feedback from the committee. If all three answers are deemed to not be adequate, the student fails the exam and the rules for a failed exam are followed. If the student receives a deferred grade on one or two answers, the committee has the option of an oral defense in which topics are more fully discussed, the student is asked to clarify his/her answer(s), and the student's level of knowledge is evaluated. The oral defense is to be held within three weeks of the feedback to the student.

Cognitive/Instructional, Developmental and School

The candidacy exam is comprised of three take-home short papers related to the student's area of research interest. The following procedures are followed:

- A committee of faculty is formed that is related to the student's dissertation interests.
- The student (in consultation with his/her advisor) formulates 5 - 8 questions that are relevant to his/her research interests and which could form the basis for a short paper. The student develops a list of representative references that address the questions.
- The committee meets to review/revise the questions submitted and formulates the final three questions for the student to answer. Suggestions regarding the reading list also might be given.
- The student is instructed to write a 10-15 page APA-style paper addressing each of the questions, and a due date (i.e., three months) is specified.
- Each member of the exam committee evaluates the exam papers. The committee will meet to resolve differences in grading and to assign an overall exam grade. The student will be notified in writing of his/her exam grade. Should a student receive less than a PASS grade, he/she will be notified of the options for retaking the exam. These may include rewriting some or all of the exam papers, completing an oral defense of answers, or other procedures formulated by the committee.

Neuroscience and Behavior

The candidacy exam consists of a series of questions designed to examine the student's breadth of knowledge and competency in the field of neuroscience and behavior, as well as more specific and detailed knowledge within the student's particular area of expertise. The exams are scheduled as soon as possible after successful defense of the Master's thesis. The candidacy exam committee consists of all faculty within the Neuroscience and Behavior area.

- The student is responsible for preparing a reading list of general references as well as writings specific to the student's research concentration. The list is prepared in collaboration with the student's advisor. Once the reading list is prepared, it is presented to the Neuroscience and Behavior faculty for any suggested additions or omissions.
- The area coordinator is responsible to constructing the test for a specific student in consultation with the Neuroscience and Behavior faculty.
- The general material is tested in a standard closed book format over the course of a two-day period. The student and his/her advisor may elect to use an alternative means to a test to satisfy the assessment of expertise within the student's area (e.g. writing a grant proposal, writing a paper).
- After each committee member has read the exam, the area coordinator will convene a meeting to discuss the evaluation of the student's performance. Based on that performance several options are available to the area faculty. If the student's performance is satisfactory, the graduate school will be notified of the passing grade. If the student's performance is judged to be entirely unsatisfactory, then the student will be given one additional opportunity to pass the exam. If the student's performance is judged to be deficient in an area, the student may be required to take another exam, or write a paper in that specific component of the test. The test or paper will be graded by all of the committee members prior to the test being considered a pass, and the results sent to the graduate school.

Social and Industrial-Organizational

All students take an exam that includes three sections: I/O Psychology, Social Psychology, and Quantitative Methods/Experimental Design. The questions and weights assigned to each section are specifically constructed to reflect the student's area of emphasis in the program (Social or I/O). Students must notify the area coordinator, in writing, of their desire to sit for the exam and their area of emphasis at least two months prior to the administration of the exam. The area coordinator will provide a detailed reading list and example questions to assist in their preparation.

Exams are offered twice a year in the week prior to the Spring (January) and Summer (June) semesters. The exam is administered over two consecutive days from 8 AM to 5 PM. The first day consists of questions in the student's major area of emphasis (Social or I/O). The second day consists of the remaining two sections. During the exam sessions, students are not permitted to consult any outside sources (books, articles, or notes) or discuss the exam with anyone except a member of the Social & I/O area faculty. Students' answers to each question are graded by at least three members of the area faculty. After each faculty member has scored the exam, the area coordinator will convene a meeting to resolve any disagreements and assign a final score for each section. If the student's performance is judged to be deficient in one or more sections of the exam, a number of options are discussed and a consensus decision is reached as to the next steps. Some of the options that are considered include: Failing the student on the entire exam; having the student retake one or more sections of the exam; having the student write a paper or papers in the specific areas where his/her performance was judged to be deficient. If the student is asked to write a paper or papers, this work is graded prior to submitting the exam results to the graduate school.