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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 STUDENT 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 memos to students. 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 which can be found at <http://catalog.niu.edu/index.php?catoid=42>.

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 Participants), 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 partial tuition waiver for the semesters during which the assistantship is held and, when an assistantship is held for a full academic year, and 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 Graduate Assistantship

Section IV. Item 6.

Should the appointee fail to report for assignment on the date noted in the offer letter, the employing unit must, if it wishes to terminate employment, notify Human Resource Services immediately, preferably via phone or email. The department should then submit a PAF (Personnel Action form) through the appropriate college dean or division head, so that Human Resource Services may be notified that the appointment is being canceled. Similar notification should be made when a student resigns an assistantship before the official appointment end date. In this latter case, the letter must indicate the date on which the student last worked. Failure to report such situations promptly can result in overpayment of the assistant.

A graduate assistantship may be terminated, according to the following policies and procedures. (NOTE: Where 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. Notification of such termination is to be sent, immediately, to Human Resource Services.
2. Notwithstanding any other University policy, practice or procedure, a graduate assistantship may be terminated by Human Resource Services without notice if the assistant is found to be ineligible by virtue of noncompliance with either Board of Trustees or University regulations or with federal and state laws and regulations.
3. A graduate assistant can be immediately removed from any particular work assignment without notice if, in the opinion of the supervisor or the head of the employing unit, continuation of the assistant in that assignment poses a threat to the safety or well-being (physically, academically, or otherwise) of the assistant or of others. In such a case, the assistant may be reassigned, at the discretion of the head of the employing unit, to other duties if another appropriate assignment exists within the unit, or if not, may be given notice of immediate termination. The grounds for the immediate termination shall be provided to the student in the notice. The student shall be given an opportunity to respond to the notice and to ask the head of the employing unit for reconsideration of the termination action. During this time, the student may be removed from employment and the workplace.
4. A graduate assistant may be given notice of immediate termination for poor performance of work assignments, for poor academic performance, contumacious conduct, or for any other reason that does not violate federal and state employment law and university policy prohibiting discrimination. The notice must contain the grounds for termination.

5. The Graduate School and Human Resource Services recommend, but do not require, that any decision (except as outlined in 1 and 3 above) to terminate an assistant be made after the assistant has been informed in writing of deficiencies and given an appropriate time to correct deficiencies. Copies of any such documentation should be signed by the assistant to acknowledge receipt and by his/her supervisor and the head of the hiring unit as evidence of concurrence; copies must be sent to Human Resource Services and the Dean of the Graduate School.
6. Prior to making a decision to terminate an assistant (except as outlined in 1 and 3 above), the head of the hiring unit and the supervisor are required to consult with and the Dean of the Graduate School.
7. If a graduate assistant is notified in writing of termination, the assistant's supervisor and the head of the hiring unit, prior to the effective date of termination, must give the assistant one opportunity to state why he/she should not be terminated. In rare, exigent circumstances that require removal of the student from employment before he/she has had an opportunity to be heard, the student shall be provided this opportunity within a reasonably short period of time after the student is removed from employment. The decision to terminate the assistant's employment is solely the responsibility of the supervisor and head of the hiring unit. Their decision is final.

--Approved by Graduate Council, May 4, 1992 by the Graduate Council for inclusion in the Academic Procedures Manual Amended by Graduate Council, April 7, 2014
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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.

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 699 or 799 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 within 120 days (including summer, whether or not the student is enrolled). Upon assigning an incomplete, the instructor will file in the departmental office and the Graduate School an "Incomplete/Reversion Grade" form outlining the work to be completed, the deadline for completion of the work, and the grade that will be awarded if the student fails to meet the deadline. In no case may the deadline be later than 120 days after the last day of final examinations during the term for which the incomplete is assigned.

If the instructor does not change the incomplete within the period allowed for resolution, the incomplete (I) will be converted to an F or to the stipulated reversion grade. If no reversion grade is recorded, a grade of F will be awarded at the conclusion of 120 days. A student may not graduate with a transcript entry of "I" on his or her record. Please refer to sections on Registration in PSYC 699 and Registration in PSYC 799 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

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:

- a. the assignment of a grade to a particular student on some basis other than performance in the course;
- b. 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;
- c. 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. In order to assure the equitable assessment of a student's academic abilities, faculty are to maintain grading materials in accordance with Section III, Item 5, F.

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 ombudsperson 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:

- a. that the grade was not assigned capriciously and shall stand as assigned.
- b. 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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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 690, 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 699 (Master's Thesis) or PSYC 799 (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 699 or 799 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 699 or 799 specified in the program, subsequent registration should be on an audit basis. Registration for PSYC 699 or PSYC 799 may be in absentia. If a student interrupts continuous registration in 699 or 799 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.

Reductions in course load of up to 3 semester hours in a fall or spring 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 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, a student specializing in clinical psychology must register in PSYC 655--Internship In Clinical Psychology for at least one semester hour for three consecutive semesters (i.e., fall semester, spring semester, and summer session) during the year of internship (3 of these hours should be applied toward the 90 semester hours required for the Ph.D.). A Ph.D. student specializing in school psychology must register in PSYC 656--Internship In School Psychology for a minimum of 1 semester hours each fall and spring semester and a minimum of 1 during the summer session for a total of 3-30 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 non-Ph.D. student specializing in school psychology must register in PSYC 656--Internship In School Psychology for a minimum of 1 semester hours each fall and spring semester (but will want to register for 12 each semester to meet the M.A. + 30 credit hours requirement) for a total of 1-24 semester hours during the year of internship.

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 699. The number of semester hours of graduate-level independent study in psychology (PSYC 685) 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 690, 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 604 Analysis of Variance and Hypothesis Testing in Psychological Research (3)
PSYC 606 Correlation and Regression Analysis in Psychological Research (3)

Psychology 604 and 606 must be completed during the first academic year in the program.

2. Three courses selected from:

PSYC 601 Fundamentals of Learning or PSYC 611 Cognitive Psychology I (3)
PSYC 603 Biopsychology (3)
PSYC 620 Experimental Social Psychology (3)
PSYC 641 Psychopathology (3)
(School students may substitute PSYC 645 (3) Developmental Psychopathology)
PSYC 665 Behavioral Development (3)

The three courses used to satisfy item 2 above must be completed before the master's degree can be conferred.

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.

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 final comprehensive examination committee shall each consist of at least three voting members approved by the department chair or designee. A comprehensive examination committee needs no additional approval. All members of the comprehensive examination committee must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University. With regard to the voting members of the comprehensive examination:

- A majority must be tenured or tenure-track faculty members at Northern Illinois University.
- At least one-half of the members must be full or senior members of the graduate faculty at Northern Illinois University.
- All members must belong to the graduate faculty in the student's program or a closely related one as determined by the department chair (or designee).

A provisional member of the graduate faculty may, with a full or senior member of the graduate faculty, co-chair a comprehensive examination.

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 699. 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 451 ESL and English 452 ESL. The special sections of ENGL 451 ESL and ENGL 452 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 thesis committee and the final comprehensive examination committee shall each consist of at least three voting members approved by the department chair or designee. A comprehensive examination committee needs no additional approval; however, a thesis committee must be nominated by the department and appointed by the dean of the graduate school. Committees must be appointed no later than the conclusion of the semester or term preceding that in which the student will defend the thesis or take the examination. A student intending to write a thesis should identify a prospective faculty director for the thesis and thesis committee members as soon as possible. The thesis director and thesis committee will judge the acceptability of the work. At any time, a faculty member may decline to serve as director or committee member of any particular thesis project. With the consent of the department and the approval of the graduate school dean, a student may propose to alter the composition of a thesis committee, provided that the faculty to be removed from and/or added to the committee expressly consent to the change. If a student wishes to remove a faculty member from a thesis committee, and the faculty member does not consent to be removed, the student may appeal to the dean of the Graduate School. The dean will make a decision with input from the student, the faculty members involved, the department chair, the committee chair, and the director of graduate studies; the decision of the dean will be final.

All members of the comprehensive examination and thesis committee must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University. With regard to the voting members of the comprehensive examination and thesis committee:

- A majority must be tenured or tenure-track faculty members at Northern Illinois University.
- At least one-half of the members must be full or senior members of the graduate faculty at Northern Illinois University.
- All members must belong to the graduate faculty in the student's program or a closely related one as determined by the department chair (or designee).

A provisional member of the graduate faculty may, with a full or senior member of the graduate faculty, co-chair a comprehensive examination or thesis committee.

3. Registration for Thesis Hours, PSYC 699

Before registration is permitted in PSYC 699, Master's Thesis, a student must have a thesis advisor officially approved by the department chair. Students must always obtain departmental permission before registering for thesis credit (PSYC 699). The graduate secretary will notify the student when permission has been granted by the thesis advisor.

Questions regarding number of hours to take should be addressed to your thesis advisor. It is expected that the number of PSYC 699 or 799 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 699 (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. 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.

While a student is working on the thesis a grade of U or IP will be awarded. In the final semester in which the thesis is successfully completed, a grade of S will be awarded. Grades of IP previously awarded will remain on the transcript,

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 proposal 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:

<http://niu.edu/divresearch/compliance/resources/forms/index.shtml#human>. 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 Psychology Department Authorized Departmental Reviewer (typically the Director of Graduate Studies) 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. All members of the thesis examination committee must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University. 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 699 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 on line document Guidelines for Preparing & Submitting Electronic Theses & Dissertations at NIU, available on line at <http://www.grad.niu.edu/grad/thesis/submission/index.shtml>. Students are responsible for familiarizing themselves with both the Guidelines for Preparing & Submitting Electronic Theses & Dissertations 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.

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.

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 685) 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 690, 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 799, 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 655--Internship In Clinical Psychology for at least one semester hour for three consecutive semesters (i.e., fall semester, spring semester, and summer session) during the year of internship (3 of these hours should be applied toward the 90 semester hours required for the Ph.D.). A Ph.D. student specializing in school psychology must register in PSYC 656--Internship In School Psychology for a minimum of 1 semester hours each fall and spring semester and a minimum of 1 during the summer session for a total of 3-30 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 non-Ph.D. student specializing in school psychology must register in PSYC 656--Internship In School Psychology for a minimum of 1 semester hours each fall and spring semester (but will want to register for 12 each semester to meet the M.A. + 30 credit hours requirement) for a total of 1-24 semester hours during the year of internship.

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 in Assembly Language

ETT 539 Courseware Systems Development

Statistics and Quantitative Methodology Tool

ETR 562 Applied Categorical Data Analysis
ETR 590 Workshop in Research and Assessment
ETR 721 Nonparametric Statistics
ETR 722 Methods of Multivariate Analysis
ETR 724 Multilevel Modeling
ETR 725 Bayesian Approach to Educational Statistics and Decision Making
ETR 734 Construction of Scaling Instruments
ETR 735 Theory of Measurement
ETR 790 Workshop in Research and Assessment

PSYC 604 Analysis of Variance and Hypothesis Testing in Psychological Research
PSYC 606 Correlation and Regression Analysis in Psychological Research
PSYC 607 Psychometric Techniques
PSYC 671D Studies in General Psychology: Quantitative Methods
PSYC 710 Multivariate Data Analysis in Psychological Research
PSYC 712 Structural Equation Modeling in Psychological Research
PSYC 714 Meta-Analysis in Psychological Research

STAT 573 Statistical Methods and Models I
STAT 574 Statistical Methods and Models II
STAT 665 Regression Analysis
STAT 666 Discrete Multivariate Data Analysis
STAT 670 Probability Theory
STAT 671 Stochastic Processes
STAT 672 Theory of Statistics
STAT 673 Linear Models
STAT 674 Design and Analysis of Experiments
STAT 675 Multivariate Methods of Statistics
STAT 676 Distribution-Free Statistics
STAT 677 Sampling Techniques
STAT 678 Time Series Analysis

Technical and Interdisciplinary Research Methodology Skills

PSYC 671E Studies in General Psychology: Instrumentation

Psyc 671D and PSYC 671E course must be approved individually
Seminar 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 who must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University.

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

The requirement 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 799, Ph.D. Dissertation.

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.

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. Committees to conduct the oral defense of the dissertation will be nominated by the chair of the student's department, approved by the college, and appointed by the dean of the Graduate School. All members of the committee must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University. With regard to the voting members of the dissertation committee:

- A majority must be tenured or tenure-track faculty members at Northern Illinois University.

- At least one-half of the members must be senior members of the graduate faculty at Northern Illinois University.
- All members must belong to the graduate faculty in the student's program or a closely related one as determined by the department chair (or designee).

A graduate faculty scholar or a full member of the graduate faculty may, with a senior member of the graduate faculty, co-chair a dissertation committee. In addition, the dean of the Graduate School or the dean's designee 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.

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 799

Before registration is permitted in PSYC 799 Ph.D. Dissertation, a student must have a dissertation director officially approved by the department chair. Students must always obtain departmental permission before registering for dissertation credit (PSYC 799). The graduate secretary will notify the student when permission has been granted by the thesis advisor.

Questions regarding number of hours to take should be addressed to your dissertation director. It is expected that the number of PSYC 799 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 799 (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. Registration for PSYC 799 may be in absentia.

If a student interrupts registration in PSYC 799 without obtaining a leave of absence, the student's admission to the program will be terminated.

While a student is working on the dissertation, a grade of U or IP will be awarded. In the final semester in which the dissertation is successfully completed, a grade of S will be awarded. Grades of IP previously awarded will remain on the transcript,

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 proposal 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

12. 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:

<http://niu.edu/divresearch/compliance/resources/forms/index.shtml#human>. 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 Psychology Department Authorized Departmental Reviewer (typically the Director of Graduate Studies) 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. All members of the committee must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University. With regard to the

voting members of the comprehensive examination and thesis committee:

- A majority must be tenured or tenure-track faculty members at Northern Illinois University.
- At least one-half of the members must be senior members of the graduate faculty at Northern Illinois University.
- All members must belong to the graduate faculty in the student's program or a closely related one as determined by the department chair (or designee).

The defensible copy of the dissertation must be in the hands of all members of the examining committee at least four 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.

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 electronically to the Graduate School in accordance with deadlines in the Graduate School calendar and regulations in the on line document Guidelines for Preparing & Submitting Theses & Dissertations, available on line at the Thesis and Dissertation Office's website <http://www.grad.niu.edu/grad/thesis/index.shtml>. Students are responsible for familiarizing themselves with both the Guidelines for Preparing and Submitting Theses & Dissertations 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 699, 799) 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.

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 Windows Applications and various statistical software (e.g., SPSS). Additionally, access to NIU's network, library, E-Mail, and the Internet is provided.

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.

Appendix A

Please visit the website of The Office of Research Compliance, Integrity & Safety
<http://niu.edu/divresearch/compliance/> for detailed information regarding Research Integrity at
Northern Illinois University.

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>
August, 16	Fall, 10	Fall, 07
December, 16	Spring, 11	Spring, 08
May, 17	Summer, 11	Summer, 08
August, 17	Fall, 11	Fall, 08
December, 17	Spring, 12	Spring, 09
May 18	Summer 12	Summer 09
August, 18	Fall, 12	Fall, 09
December, 18	Spring, 13	Spring, 10
May, 19	Summer, 13	Summer, 10
August, 19	Fall, 13	Fall, 10
December, 19	Spring, 14	Spring, 11
May, 20	Summer, 14	Summer, 11
August, 20	Fall, 14	Fall, 11
December, 20	Spring, 15	Spring, 12
May, 21	Summer, 15	Summer, 12
August, 21	Fall, 15	Fall, 12
December, 21	Spring, 16	Spring, 13
May, 22	Summer, 16	Summer, 13

INSTITUTIONAL REVIEW BOARD

AMENDED POLICIES AND PROCEDURES PERTAINING TO RESEARCH INVOLVING THE USE OF HUMAN SUBJECTS

April 2003

1. OVERVIEW
2. DEFINITIONS
3. REVIEW OF APPLICATIONS
4. REVIEW PROCEDURES AND RESPONSIBILITIES
5. INFORMED CONSENT PROCEDURES
6. ADDITIONAL PROTECTIONS FOR CHILDREN AND OTHER SPECIAL POPULATIONS
7. COMPLIANCE WITH IRB DECISIONS
8. PROCEDURES FOR REVIEW OF EXTERNALLY FUNDED PROJECTS
9. IRB MEMBERSHIP
10. ADDITIONAL RESPONSIBILITIES OF THE IRB

I. OVERVIEW

Northern Illinois University has the responsibility for protecting the rights and welfare of human subjects used in research projects conducted at this institution or under the direction of any employee or agent of this institution, whether funded or not, and regardless of the source of funding. In compliance with the Department of Health and Human Services (DHHS) regulations for the Protection of Human Research Subjects (45 CFR 46, as amended), NIU has established duly constituted Institutional Review Boards to review all research involving the use of human subjects and to set forth institutional policy regarding such research. (See Appendices A and B for DHHS regulations and the Northern Illinois University Assurance of Compliance for regulatory and policy details.) These Boards are directly responsible to the Vice President for Research/Dean of the Graduate School.

All proposed projects that include activities which meet the federal definitions of research involving human subjects conducted by NIU faculty, staff, and/or students or sponsored in part or in whole by NIU must be reviewed and approved by an NIU Institutional Review Board (IRB) and/or its agents prior to the start of data collection. To qualify as human-subjects research, the project must involve living humans from or about whom the investigator obtains data or information (through intervention, interaction, or from privileged records or existing databases) that is intended to contribute to generalizable knowledge (typically via scholarly dissemination). This includes research conducted in conjunction with a student dissertation or thesis. It includes interviews, observation, educational tests, and secondary analysis of data previously collected for research or for non-research purposes as well as experimental trials. It includes subjects of both genders, all ages, and all conditions no matter where they reside. Proposed activities that do not meet the federal definition of human-subjects research include the following:

- a) the collection or study of existing data, documents, or records, for the purpose of conducting statistical analyses (such as a meta-analysis), critical reviews, or integrative research reviews if these sources are publicly available and 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;
- b) data/information obtained only from the records of deceased individuals;

- c) data collection intended to benefit only the subjects or organization involved and the results shared only with members of the organization, stakeholders, or funding entity and are not intended for dissemination via scholarly outlets;
- d) data collection intended only for an internal evaluation of well-established programs typically for the purpose of quality improvement, and;
- e) anonymous data collection from adults that poses no risk to participants, and is conducted solely as an evaluation or assessment component of a training seminar or workshop project.

This institution is guided by the ethical principles regarding all research involving humans as subjects as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research entitled "Ethical Principles and Guidelines for the Protection of Human Subjects of Research" (the "Belmont Report"). These principles include:

1. Respect for persons (individuals should be treated as autonomous agents, subjects should enter into the research voluntarily and with adequate information, persons with diminished autonomy are entitled to protection);
2. Beneficence (maximize possible benefits of the research to the participants and to society while taking steps to minimize potential harm);
3. Justice (equitable distribution of the burdens and benefits of research).

The IRB encourages and promotes constructive communication among the research administrators, department chairs/directors, research investigators, clinical care staff, and institutional officials, as well as the human subjects, in order to maintain a high level of awareness regarding the safeguarding of the rights and welfare of the subjects. Correspondence concerning human subjects research and requests for additional information should be directed to the IRB, in care of the Office of Research Compliance (ORC), Graduate School.

II. DEFINITIONS

NIU has adopted the definitions included in the federal regulations to guide researchers and other interested parties in determining the necessity for review.

- A. *RESEARCH*: "A systematic investigation designed to develop or contribute to generalizable knowledge." (45 CFR 46.102(d)). Research encompasses work that is conducted on or off campus and includes questionnaires, interviews, tests, observations, surveys, and other experiments, regardless of the content or routine nature of the topic and whether the work is preliminary in nature or a study proper. Activities that meet this definition may be funded or unfunded, or may be conducted as a component of another program not usually considered research.

In determining whether an activity needs IRB review, the focus is on the intended purpose of the activity. For example, classroom activities may include instructing students in research methodologies and techniques. If the sole purpose of the activity is to teach students research techniques or methodology and not to develop or contribute to generalizable knowledge, it is considered an educational exercise rather than research. However, if students will practice research methodologies on human beings, they should be educated in the ethical conduct of such activities and should be advised to obtain the informed consent of their practice subjects where such consent would be appropriate.

If the intent is to conduct quality improvement and quality assurance activities solely for maintaining or improving quality of services provided by an institution or organization, this, likewise, is not considered to be research. However, if the data collected are generalizable or are to be shared outside of the institution, other than with the client, through scholarly dissemination (e.g., discussion, presentation, publication, etc.), the activity qualifies as research. Sometimes, data from a program evaluation or quality improvement activity become of interest to the external community after they have been analyzed. In these cases, the research use of the data collected for another purpose must be reviewed. If a project includes multiple components and at least one of those components is designed to generate generalizable knowledge, then the entire project is classified as research unless the components are separable.

In some situations, what began as a non-research activity (e.g., education, program evaluation, surveillance, therapy, etc.) may evolve into a research project. In such a case, the researchers are obligated to submit the research activity for appropriate review as soon as the intent of the data collection or analysis changes. Often the research activity for review consists of secondary analysis of data/information collected originally for another purpose. Pilot studies and preliminary field work otherwise meeting the federal definitions are considered to be research activities and should be reviewed prior to initiation.

- B. *HUMAN SUBJECT*: "A living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (45 CFR 46.102(f)). Women and members of minority groups and their subpopulations must be included in all biomedical and behavioral research projects involving human subjects, unless a clear and compelling rationale and justification establishes to the satisfaction of the IRB that inclusion is inappropriate with respect to the health of the subjects or the purpose of the research. In some types of research subjects might be more appropriately described using other terms (e.g., participants, informants, conversational partners, volunteers, etc.) but this definition is still applicable.
- C. *INTERVENTION*: includes both physical procedures by which data are gathered (for example, venipuncture) and manipulations of the subject or the subject's environment that are performed for research purposes.
- D. *INTERACTION*: includes communication or interpersonal contact between investigator and subject.
- E. *PRIVATE INFORMATION*: includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a medical record) as well as information provided specifically in response to data collection.
- F. *GENERALIZABLE KNOWLEDGE*: Generalizable knowledge means new information that has relevance beyond the population or program from which it was collected, or information that is intended for dissemination in any format. Knowledge that can be generalized is collected under systematic procedures that reduce bias, allowing the knowledge to be applied to populations and settings different from the ones from which it was collected.
- G. *MINIMAL RISK*: means that the risks of harm anticipated in the proposed research are not greater, considering probability and magnitude, than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.
- H. *ASSENT*: a minor's **explicit** affirmative agreement, oral or written, to participate in research. Failure to object cannot be construed as assent.

- I. **LEGALLY AUTHORIZED REPRESENTATIVE:** "...an individual or judicial or other body authorized under applicable law to consent on behalf of a prospective subject to the subject's participation in the procedure(s) involved in the research." (45 CFR 46.102©).
- J. **RESEARCH PROTOCOL:** A research protocol is a written description of, and scientific rationale for, a proposed research activity. Of primary concern are the human subject protection issues that are relevant to the study. Protocols must be submitted to the IRB using the current application form available on the ORC website and should include a description of the project using non-technical, lay terminology, the potential risks to the participants and the potential benefits to be gained from the research, participant recruitment and selection, the informed consent process to be used, and a description of how participant anonymity or confidentiality will be protected. If potentially vulnerable subjects are to be enrolled, appropriate additional safeguards should be described. Potentially vulnerable subjects may include the elderly, prisoners, children, cognitively impaired individuals, or people who are economically or educationally disadvantaged.
- K. **PROGRAM EVALUATION:** When the purpose is to assess the success of an established program in achieving its objectives in a specific population and the information gained from the evaluation will be used to provide feedback to that program, the evaluation, referred to as program evaluation, is non-research. In the non-research scenario, the evaluation is used as a management tool to monitor and improve the program. The evaluation activity is often a component of the regular, ongoing program. Information learned from the evaluation has immediate benefit for the program and/or the clients receiving the services or interventions. The information is often not generalizable beyond the individual program. Interventions and services that are evaluated are never experimental or new; they are known (either from empirical data or through consensus) to be effective. Evaluation of new or experimental programs is considered to be research and requires IRB review.
- L. **ANONYMITY:** Pertains to data or information having no known source or having no name or identity associated with it. For research data to truly be considered anonymous, it must be impossible to trace them back to their source (the individual who provided them). Substitution of a code number, initials, pseudonym, etc. for the subject's name does not automatically anonymize the data if a mechanism exists whereby the data can be linked to the individual subject (e.g., a master list or decoding pattern). Investigators should also be aware of situations in which there is a possibility of deductive identification of otherwise anonymous subjects on the basis of separate elements of data (e.g., birthdate, occupation, and zip code). In these situations subjects and information can only be protected by confidentiality not anonymity.
- M. **CONFIDENTIALITY:** Pertains to the treatment of information that an individual has disclosed in a relationship of trust with the expectation that his/her participation and/or information will not be divulged to others without permission in ways that are inconsistent with the understanding of the original consent. The measures taken by an investigator to protect confidentiality should be commensurate with the potential risk to research subjects that could result from a breach of confidentiality.

III. SUBMISSION AND REVIEW OF APPLICATIONS

The IRB review process begins with the preparation, by the investigator, of the application form titled Institutional Review of Research Involving Human Subjects. The preface to the application form, the supplemental Screening Form, is intended to assist the researcher and departmental reviewer in determining whether or not an activity involving human beings requires IRB review. In the case of projects that do not qualify as needing any level of IRB review, the completed application will be kept on file according to procedures developed within each

department and a copy of only the Screening Form will be forwarded to and kept on file in the Office of Research Compliance (ORC). For projects that clearly meet the regulatory definitions of research with human subjects, the Screening Form need not be completed and the investigator should complete and submit only the main Institutional Review of Research Involving Human Subjects application form (along with appropriate supporting material). Applications for all projects qualifying for IRB review must be submitted from departments, centers, units, etc., to the Office of Research Compliance (ORC). The ORC staff will screen the application for completeness and route the application to the appropriate IRB reviewer(s). Investigators submitting incomplete applications to the Office of Research Compliance will be notified immediately of the missing materials or information and will be given five working days to provide what was omitted. The project advisor (for student projects) and Department Chair/Director/Designee will also be notified of the deficiency. If the requested information is not provided within five days (unless appropriate alternative arrangements are made) the application will be considered void and the investigator will be required to submit a new, complete application for review and approval prior to initiating the research.

Proposed research involving the use of human subjects is designated as qualifying for one of three levels of IRB review: Administrative Review, Subcommittee Review, and Full Board Review. These categories are assigned according to the level of known or potential risk to the subjects, the degree of confidentiality, the use of deception, etc. (In the instance of secondary analysis of data previously collected, the primary research does not need to be re-reviewed by the IRB.) The three levels are described as follows:

- A. ADMINISTRATIVE REVIEW: Administrative Review is used to: (a) confirm whether the project meets the federal definitions of research with human subjects (see Section II, above) and (b) determine whether the project meets the criteria for any of the federally-specified exempt categories. (See 45 CFR 46.101(b) (1-6)). This review typically is the responsibility of the IRB Chair. Studies in this category are usually processed within 5-7 business days after receipt in the ORC office, assuming the application is complete upon receipt. The determination of the IRB Chair will be conveyed, in writing, to the researcher and the department upon completion of review.

In order to be considered for Administrative Review, the research must be covered in one or more of the following categories:

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 educational tests, (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or 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. NOTE: The Category 2 exemptions for survey and interview procedures do not apply to survey or interviews where the subjects are minors.
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 paragraph (b)(ii) 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, 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 alternative 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 be 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**: The eligibility of some research for Subcommittee Review is in no way intended to negate or modify the policies of this institution or the other requirements of 45 CFR 46. The IRB may use the Subcommittee Review procedure to review minor changes in previously approved research during the period for which approval is authorized. The only other research for which the IRB may use a Subcommittee Review procedure is that which involves no more than minimal risk to the subjects and in which the only involvement of human subjects will be in one or more of the following categories designated as expedited in 45 CFR 46.110:
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 drug 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 product is not eligible for expedited 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 amounts drawn may not exceed 550 ml in an 8 week period and collection may not occur more frequently than 2 times per week; or
 - (b) from other adults and children^{1[1]}, 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.

^{1[1]} Children are defined in the HHS regulations as “persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law of the jurisdiction in which the research will be conducted.” 45 CFR 46.401(a).

3. Prospective collection of biological specimens for research purposes by noninvasive 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 expedited review, including studies of cleared medical devices for new indications.)
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). (This rule applies if the data are not anonymous)
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.
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.

It should be noted that expedited does not necessarily mean fast track. Proposals evaluated at the subcommittee level, barring complications, are typically reviewed within 7 to 10 business days.

Subcommittee Review shall be conducted by the IRB chair or his/her designee and by one or more of the IRB members designated by the chair to conduct the review. The IRB member(s) conducting the review may exercise all of the authorities of the IRB except that the reviewer(s) shall refer any research protocol that 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.

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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 this procedure. At a convened IRB meeting, any member may request that an activity that has been approved under the Subcommittee Review procedure be reviewed by the IRB in accordance with Full Board Review procedures. A vote of the members shall be taken concerning the request and the majority shall decide the issue. The determination of the IRB will be conveyed to the researcher and the department following the meeting.

- C. **FULL BOARD REVIEW**: When the IRB chair has received a research proposal involving more than minimal risk to the subjects or that does not fall within the Administrative (exempt) or Subcommittee (expedited) review categories, the proposal is referred for review by the IRB at a convened meeting. The IRB shall have the responsibility to review and the authority to approve, require modification of, or disapprove all activities or proposed changes in 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 and The Belmont Report.
 5. Informed consent will be appropriately documented in accordance with, and to the extent required by 45 CFR 46.116 and 46.117.
 6. Where appropriate, the research plan makes adequate provision for monitoring the data collection 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.
 8. Additional safeguards have been included in the study to protect the rights and welfare of subjects likely to be vulnerable to coercion or undue influence, such as children, prisoners, pregnant women, mentally disabled persons, or economically or educationally disadvantaged persons.

Research protocols scheduled for review shall be distributed by ORC staff to all members of the IRB approximately one week prior to the meeting. When it is determined that consultants or experts will be required to advise the IRB in its review of a protocol, the research protocol shall also be distributed to the consultants or experts prior to the meeting. A majority of the voting membership of the IRB constitutes a quorum and is required in order to convene a meeting for the review of research protocols. An IRB member whose concerns are primarily in non-scientific areas must be present at the convened meeting before the IRB can conduct its review of

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research. For a research protocol to be approved it must receive the approval of a majority of those voting members present at the convened meeting. No IRB member may participate in the IRB's initial or continuing review of or vote on any project in which the member has an interest, except to provide information requested by the IRB. The determination of the IRB will be conveyed, in writing, to the researcher and the department following the meeting.

Research protocols are typically approved for a period not to exceed 365 days from the original date of review. In some cases, such as projects that are especially complex or present high-risk to subjects or projects that are proposed by researchers with a history of repeated noncompliance, the IRB may elect to approve the project for a period of less than 365 days.

In cases where research activities were initially approved under Subcommittee Review procedures and subsequently reviewed by Full Review procedures, the decisions reached at the convened meeting shall supersede any decisions made through the Subcommittee Review.

IV. REVIEW PROCEDURES AND RESPONSIBILITIES

University Responsibilities

NIU's human subjects protection program encompasses all aspects of the university community involved with human subjects research at any level and includes investigators, the IRB, as well as the university administration. Because the primary concern of NIU's human subjects protection program is protecting the rights and welfare of the individuals participating in research, it is reasonable to expect that the university community would respect investigators' obligations to appropriately protect the data/information obtained from research participants and support their efforts to do so. The university will provide adequate administrative support and oversight for the activities of the IRB, including the preparation and maintenance of adequate documentation of IRB activities. The university will also provide adequate meeting space for the IRB.

Research that has been approved by the IRB may be subject to further appropriate review and approval or disapproval by officials of the university. However, university officials may not approve the research if it has been disapproved by the IRB.

Responsibilities of the IRB:

All research activities involving human subjects which are sponsored by NIU, or are conducted by or under the direction of any employee or agent of the university in connection with his/her university responsibilities are subject to IRB review.

The IRB establishes and implements policies and procedures for the review of research involving human subjects. These policies and procedures detail the mechanisms to be used for the initial review of newly proposed research protocols, the review of proposed amendments to previously-approved protocols, review of requests for continuation of approval, and the investigation of unexpected or adverse events (defined as harm to a subject not previously identified as a risk) and/or possible noncompliance by any person covered by this policy, including the suspension or termination of approved protocols and reporting to necessary federal offices/agencies.

The IRB considers the following factors when approval is sought for a research project:

1. Risks to the subjects are minimized,
2. Risks to the subjects are reasonable in relation to the anticipated benefits,
3. Selection of the subjects is equitable,

4. Informed consent will be sought from each prospective subject or the subject's legally authorized representative.
5. Informed consent will be documented,
6. When appropriate, the research plan makes adequate provision for monitoring the data collection to ensure the safety of the subjects,
7. When appropriate, adequate provisions are in place to protect the privacy of subjects and to maintain the confidentiality of data, and
8. Additional safeguards have been included in the study to protect the rights and welfare of subjects likely to be vulnerable to coercion or undue influence, such as children, prisoners, pregnant women, mentally disabled persons, or economically or educationally disadvantaged persons.

Responsibilities of the IRB Members:

New IRB members are expected to participate in an orientation session with ORC staff before being eligible to sit as a voting member at a convened meeting and to complete one additional appropriate educational activity (e.g., attending a conference or workshop, completing a CD-ROM or online tutorial, viewing a videotape, or reading a book relevant to IRB review of research) during their first six months of membership. Members are expected to complete at least one educational activity relevant to IRB review of research per year thereafter for the duration of their term on the IRB.

IRB members are expected to attend all meetings unless they have a compelling reason to be absent and have notified the ORC staff of their pending absence. IRB members are expected to read all application materials provided before the scheduled meetings and to come to meetings prepared to discuss the applications.

IRB members agree to make themselves available, upon request, to consult with other members, ORC staff, and researchers on issues relevant to the review of specific protocols.

Responsibilities of Department Chairs/Directors or Designated Reviewers:

The primary responsibility of the Department Chair/Director/Designated Reviewer with regard to applications for IRB approval is to conduct the initial review of research protocols:

- for ethical considerations;
- to determine that the research has scientific merit
- to determine that the investigators are qualified to conduct the research;
- to ensure that the protocol conforms to any specific requirements that the University or State of Illinois may impose as well as federal copyright laws;
- to assure that the application is complete;
- to make the initial determination of review category (meets definitions of research with human subjects and requires Administrative, Subcommittee, or Full Review).

Because the Department Chair/Director/Designated Reviewer is generally knowledgeable about the discipline(s) within his/her department, it is appropriate that this person be the one responsible for conducting a thorough preliminary review of research protocols before submission to the IRB. This is the primary location for determination of scientific merit of the proposed research and that the design and procedures are appropriate in order for the IRB to adequately evaluate the potential risks and/or benefits to the participants. In addition, Federal regulations prohibit the investigator from making the determination of review category for his/her own project. When the Department Chair/Director/Designee is directly involved with a project in need of review, the review should be conducted by another individual who has no relationship to the project, who has had appropriate reviewer training, and who has the authority to conduct the review (e.g., College Dean).

Because of their key role in the review process, Authorized Departmental Reviewers (i.e., Department Chairs, Directors, or Designated Reviewers), are expected to participate in an orientation session with ORC staff in order to be eligible to review IRB applications submitted from their department. They are also required to document the completion of one additional appropriate educational activity (e.g., attending a conference or workshop, completing a CD-ROM or online tutorial, viewing a videotape, or reading a publication) relevant to IRB review of research per year thereafter for the duration of their term as Authorized Departmental Reviewer.

Departmental Reviewers are expected to maintain a log of applications that have been reviewed at the departmental level. This log should contain dated entries of when applications are received from investigators and forwarded to the ORC, departmental determination of review category, and any other information the departmental reviewer may find to be helpful in the review process. The ORC staff may periodically request to review these documents to assure consistency with NIU and federal policies.

Research investigators and Department Chairs/Directors/Designated Reviewers are responsible for insuring that all applications involving humans as potential subjects (regardless of review category) are submitted to the IRB via the Office of Research Compliance (ORC). No data collection may begin in any project without formal notice of approval or designation that the research does not fit the regulatory definitions of research with human subjects. Screening Forms and applications that have been determined by departmental review to not meet these regulatory definitions shall be kept on file within the department and the Departmental Reviewer shall notify the ORC of this determination by forwarding a copy of the Screening Form to the ORC.

Research investigators and Chairs/Directors/Designated Reviewers are responsible for reporting promptly to the IRB, via the ORC, any serious or continuing noncompliance with federal and/or university regulations. In turn, the University is required to report such noncompliance to the federal Office of Human Research Protections (OHRP).

The Department Chair/Director is responsible for nominating individuals for IRB membership. The procedure for selecting nominees is up to the discretion of the department(s) involved. Departments should use a rank ordering when submitting more than one nomination. Nominations are requested by and should be submitted to the Vice President for Research. Members are selected based upon expertise in a general research area (e.g., education, psychology, kinesiology, physiology, or social science research).

Responsibilities of the Investigator:

The primary responsibility of the investigator is to protect the research participants by following the ethical principles of The Belmont Report as well as any set forth by professional organizations relevant to his/her academic discipline. It is the responsibility of the researcher to know and comply with the review procedures of the IRB. Should the researcher be a student matriculating at NIU, the student's academic or dissertation/thesis advisor assumes primary responsibility for the proposed activity. The advisor is to familiarize the student with his/her obligation vis-à-vis the ethical protection of the subject(s) from risks incurred as a result of participating in the research.

Because it is the investigator who directly interacts with the research participants and/or their information, it is reasonable to expect investigators to possess a level of knowledge and understanding that will result in behavior that protects the rights and welfare of research participants. The Belmont principle of Beneficence requires that competent researchers design ethical research, protect human research participants from risk, and perform continuing risk/benefit assessments. In addition, the Belmont principle of Respect for Persons requires that investigators implement the informed consent process and safeguard subject privacy. Guidance from OHRP indicates that research investigators at Assured institutions “must complete appropriate institutional training before conducting human subject research.” Additionally, National Institutes of Health (NIH) policy stipulates that investigators receiving NIH funding must receive required education in the protection of human subjects. Investigators seeking NIH support are required to provide, for all individuals listed as key personnel in the proposed research, a description of education completed in the protection of human subjects. Primary investigators of non-NIH projects are expected to provide the same information for all personnel listed on the NIU application form. Appropriate training might include, for example, completing an online or CD-ROM tutorial, attending a conference or workshop, discussing relevant ethical principles in a research methods course or with a mentor, viewing a video tape, or reading a publication relevant to IRB review of research. The principle investigator is responsible for assuring that all research staff associated with the project have completed appropriate human-subjects training.

Research investigators in consultation with their department chair/director or designee shall make a determination as to whether research will involve human subjects as defined above by using the Screening Form that is the preface to the application form. When it is still not clear whether the research involves human subjects, researchers should seek assistance from the IRB chair or the ORC staff in the Graduate School in making this determination.

For all human subjects research, approval must be obtained prior to the start of data collection. Approval is obtained via submission of the "Institutional Review of Research Involving the Use of Human Subjects" application form. The application is to be completed by the researcher(s) and all required signatures obtained (i.e., applicant and authorized departmental reviewer for all projects; project advisor for student projects) prior to submission to the ORC. (Graduate students should seek assistance from their academic advisors when preparing applications.) The application should be submitted after the research procedures have been determined but before any data have been collected, and in a timely manner that will permit dialog between the ORC/IRB and the investigator without undue time pressure for either party. For externally-funded projects, the IRB is required to review a copy of the contract or grant proposal along with the IRB application; it is the responsibility of the investigator to supply a copy of any such documents when submitting an IRB application.

For the section of the form calling for a description of the study, researchers should be sure to clearly state the purpose of the study, including a description of the hypothesis or research question, and provide sufficient detail, in nontechnical terms, so that the IRB may evaluate the risks, if any, to the subject. Careful attention to detail and the use of non-jargon terminology is expected from researchers when completing the application form. Assurance from the investigator that there is no Risk to the subjects, no matter how strong, will not substitute for a description of the transaction(s). A few studies may have “no foreseeable risks,” however, researchers must consider not only physical risks, but also economic, ethical, legal, political, psychological/emotional, social, and breach of confidentiality risks.

The form also calls for details regarding informed consent procedures (see the section entitled "Informed Consent Procedures" below), and assent for minors (see section entitled “Additional Protections for Children and Other Special Populations”). Investigators are responsible for documenting the informed consent procedures (also assent and permission procedures, if applicable) and for retaining the consent documents signed by human research subjects in a repository approved by the IRB for three years after conclusion of the study. If surveys, questionnaires, interview questions, etc., have been submitted in draft form, the investigator is responsible for submitting finalized versions of these materials to the ORC prior to the start of data collection.

Universal blood and body fluid precautions (also known as "universal precautions") recommended by the Centers for Disease Control and Prevention (CDC) must be used in all research protocols in which blood or other body fluid specimens are collected. Compliance with CDC guidelines should be addressed in the description of the study that is submitted to the IRB. Such activities may also require review and approval by the Institutional Biosafety Committee (IBC).

For projects conducted at or in cooperation with another entity by NIU administrators, faculty, staff, or students, the NIU IRB may accept the review of another institution's IRB, provided that said IRB has on file an approved assurance of compliance with the DHHS. Such acceptance must be in writing, approved and signed by NIU's IRB chair, and approved and signed by correlative officials of each of the other cooperating institutions. For grant proposals, a copy of the agreement must be forwarded to the DHHS Office for Human Research Protections (OHRP).

During and after data collection, the researcher is responsible for maintaining the confidentiality of research data/information:

- at a level commensurate with the sensitivity of the data and the potential risk to subjects posed by a breach of that confidentiality; and
- in a manner approved by the IRB.

Because researchers often need to balance this responsibility with the university's administrative needs (e.g., equipment inventory, chemical storage, etc.), it is recommended that researchers label locations (e.g., file cabinets or drawers) where protected human-subjects data are stored as Confidential. Implicit in its labeling as confidential, the owner attests that no state equipment, chemicals (or anything else one might think of which a department might need to report on) are present in the storage unit and that any locked file drawer labeled Confidential would not be examined or asked to be examined. In this way, the researchers' obligations to maintain appropriate confidentiality of protected research data need not conflict with maintaining necessary access to state facilities by state employees in the conduct of their official duties.

Research investigators are responsible for reporting the progress of research projects originally reviewed and approved by Subcommittee or Full Board Review to the IRB no less than once per year. This is typically done during the application process for continuation of project approval (a.k.a., Continuing Review). If the project has been approved by Administrative Review, it needs no further review unless the investigator intends to modify the protocol.

Research investigators are also responsible for reporting promptly, directly or through their department chairs/directors or designees, to the IRB any injuries or any unanticipated problems that involve human research subjects or others involved in the research project. The "Adverse Event Reporting Form" (available for download from the ORC website) may be used for this purpose or the investigator may simply write a letter to the IRB detailing the event.

If amendment of the approved protocol should become necessary, the investigator is responsible for seeking IRB approval for any modifications prior to their implementation except where the immediate safety of a subject is of concern. When participant safety precipitates the need for an immediate change, the IRB must be informed as promptly as possible. The ORC should be immediately notified of proposed changes in a research activity. Changes in research during the period for which IRB approval has already been given require IRB review and approval before they can be implemented, except when the change is necessary to eliminate apparent immediate hazards to the subject.

Researchers are responsible for maintaining continuous approval of research until data analysis is complete and all identifiers have been removed from stored data (unless the IRB has approved appropriate measures for the

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archiving of identifiable data). To obtain continuation of approval, beyond the original approval period of a project that has no changes to the protocol, the researcher should submit a "Continuation of Approval" form to the IRB via the ORC. In order to amend the original protocol at the time of continuation, the investigator must append an explanation of and justification for the requested changes to the "Continuation of Approval" form. Approval must be obtained in writing from the IRB before the researcher may continue data collection past the date originally approved or before implementing any project amendments. Continuing review is required until the project is completed or until the investigator no longer retains any identifiers that could link the data to the subjects. Identifiable data may be archived for future use provided the research participants consented to their data being used in future research or the subjects provide appropriate consent for the archival, and the investigator continues to protect the confidentiality of the data to the satisfaction of the IRB. Archived data may be reactivated by obtaining IRB approval via the submission of a new "Institutional Review of Research Involving Human Subjects" application form.

Researchers should submit the "Application for Continuation of Approval of Research Involving the Use of Human Subjects" form (a.k.a. "Continuation of Approval") in a timely manner to avoid interruption of their data collection. Data collection must stop at the conclusion of the approval period unless continuation of approval is granted by the IRB. As part of the continuing review process, the investigator is expected to provide a progress report to the IRB. This information can be provided on or appended to the "Continuation of Approval" form. The progress report should include the following information:

1. number of subjects accrued;
2. adverse events and unforeseen problems*;
3. withdrawals and dropouts*;
4. subject complaints*;
5. summary of recent literature relevant to the research published since the last progress report that might impact subject risk;
6. request for amendments, if any, prior to their implementation;
7. changes in sponsor or study personnel including verification of training of new personnel;
8. any other information the investigator believes to be relevant.

* The number of subjects affected as well as an explanation should be provided if this event has occurred.

The IRB may also request verification from sources in addition to the investigator that no material changes have occurred since previous IRB review if the project is especially complex or presents high-risk to subjects or if the project is conducted by a researcher with a history of repeated noncompliance.

Investigational New Drugs: The research investigators shall be responsible for notifying the Food and Drug Administration (FDA) and the IRB whenever it is anticipated that an investigational new drug or device exemption will be required. The IRB chair shall identify the test article (i.e., drug biologic or device) in the certification to the DHHS when the proposal involves a test article and state whether the 30-day interval required for test articles has elapsed or was waived by the FDA. If the 30-day interval has expired, the IRB chair shall state in the certification to HHS whether the FDA has requested that the sponsor continue to withhold or restrict the use of the test article for application in human subjects. If the 30-day interval has not expired and a waiver has not been issued, the IRB chair shall send a statement to the DHHS upon expiration of the interval.

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V. INFORMED CONSENT PROCEDURES

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 of any minor subject 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.

Standard informed consent includes:

1. a statement that the project 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 compensation and/or 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 (e.g., investigator; also advisor if student project) and research subjects' rights (e.g., ORC at 815-753- 8588), and whom to contact in the event of a research-related injury to the subject (e.g., investigator/advisor, physician, counseling referral, etc);
8. a statement that participation is voluntary, and refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled; and
9. a statement that the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled. Note: Students involved in the research as subjects should be assured that their participation (or non-participation) will not impact their grade in any course. Where participation in a research project is one option for earning class points, students must be told under what conditions they will have been deemed to have earned those points (e.g, upon completion of all subject activities).
10. parental informed consent for minors must include a place to refuse participation, or a notation that failure to return the form constitutes lack of consent.

For projects that have been approved by Administrative Review, having qualified as exempt under 45 CFR 46.101(b), informed consent may be obtained either orally or in writing and may include only those elements from the listing above deemed appropriate by the investigator.

Informed consent documents given to subjects participating in research approved by either the Subcommittee or Full-Board Review processes are required to bear the approval stamp of the NIU IRB. The stamped document is the only consent form that may be photocopied for distribution to study participants. The original date-stamped consent form is returned to the investigator along with the project approval letter. A copy of the stamped form is kept on file in the ORC.

Continuing review of projects initially approved by either the Subcommittee or Full-Board Review processes is required at least annually until all identifiers that could link the subjects to the collected data have been removed or until the data are archived in a manner approved by the NIU IRB. For each protocol, continuing review will be conducted by the same procedure as the original review unless the PI wishes to amend the protocol in such a way that review by a different procedure is warranted or unless a project that was originally reviewed by Full-Board procedures qualifies for Subcommittee Review under expedited review category 8 (see Section IIIB of this Policy document.). If the project will continue beyond the date stamped on the form, a fresh, unstamped copy of the consent form should be provided when continuation of IRB approval is sought (this should accompany the "Application for Continuation of Approval of Research Involving the Use of Human Subjects" form). Upon completion of the continuing review process the consent form bearing the updated stamp will be sent to the investigator with the project approval letter. Again, the research participants are to be given photocopies of this date-stamped consent form.

If modifications to the form are needed the investigator should contact the Office of Research Compliance for assistance. Any revision or amendment to a study protocol or to an informed consent document must be approved by the IRB before the requested changes can be implemented unless subject safety is an immediate concern. The investigator should provide three versions of the informed consent document:

- the version that had original IRB approval,
- the version incorporating the proposed revisions with the revisions highlighted,
- the version incorporating the proposed revisions without highlighting.

The revised version without highlighting will then be date stamped and returned to the investigator along with the letter from the IRB chair approving the requested revisions.

Video/Audiotaping Procedures: Projects involving the use of videotaping or audiotaping must make specific mention of these in the consent documents including information about storage of tapes and how and when the tapes will be destroyed. The subject must have the choice of whether to participate in the video or audiotaping procedures. This consent is separate and distinct from consent to participate in the project, therefore, separate signature and date lines are required. If the IRB has approved an oral consent procedure (see "Waiver of Written Consent", below) the investigator may tape the consent process.

Additional Consent Requirements: When called for by the IRB, the research investigator must provide additional elements of information to the subject, including the possibility of currently unforeseeable risks; any additional costs to the subject that may result from participation in the research; the consequences of a subject's decision to withdraw from the research and procedures; a statement that significant new findings developed during the course of the research which may relate the subject's willingness to continue participation will be provided to the subject; and the approximate number of subjects involved in the study.

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 consent discussion, and the subject (or representative), the witness, and the researcher (or person obtaining consent) should sign the short form.

Waiver of Written Informed Consent: The IRB may waive the requirement for signed consent forms (but not consent per se) if it is found that:

1. the only record linking the subject and the research would be the consent document and the principal risk would be potential harm resulting from a breach of confidentiality; or
2. that the research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.

Waiver or Alteration of the Required Elements of Informed Consent: In cases where the research or subject well-being would be jeopardized by full consent procedures, all or some consent elements may be waived by the IRB if it is found that all four of the following conditions are met:

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

When preparing the justification for either type of waiver described above, it must be understood that the risk to subjects is not in, for example, answering the telephone, carrying on a conversation, or completing a written questionnaire, but in the content of the questions and possible answers. The waiver of all elements of consent is intended to be a very rare occurrence. Waiving the requirement for a signed, written form, or for some of the elements of informed consent does not waive the requirement that subjects be informed of the nature of the research nor that their consent (or the permission of their legally authorized representative whenever appropriate) be obtained. Requests for a full or partial waiver of informed consent procedures must be accompanied by sufficient justification. In cases where the documentation requirement is waived, the IRB may require the investigator to provide subjects with a written statement regarding the research. Requests should be submitted using the "Request for Variation of Consent Attachment" along with the "Institutional Review of Research Involving the Use of Human Subjects" form.

VI. ADDITIONAL PROTECTIONS FOR CHILDREN AND OTHER SPECIAL POPULATIONS

The IRB, in compliance with federal regulations, gives special consideration to proposed research involving: prisoners, children, persons with physical or mental handicaps, fetuses, pregnant women, in-vitro fertilization of human ova, and other potentially vulnerable groups. The additional regulations pertaining to these protected groups are located in Subpart B of the regulations (45 CFR 46, as amended).

Of particular concern at NIU is research conducted involving children as subjects. Parental permission (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 permission 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). For research conducted in settings in which general blanket participation forms have been signed by legally authorized representatives, (i.e., schools, classrooms, etc.), specific permission of the representative and assent of the child must still 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. Furthermore, verbal assent must be obtained from the minor unless the IRB determines that the capability of some or all of the minors is so limited that they cannot reasonably give assent. Information on the requirements for developing and implementing an age-appropriate assent process for minors are available from the Office of Research Compliance (ORC).

VII. COMPLIANCE WITH IRB DECISIONS

The IRB, via the ORC, shall keep research investigators aware of decisions and administrative processing affecting their respective protocols and shall return all disapproved protocols to the research investigators and to the department chair. Research investigators shall be responsible for complying with all IRB decisions, conditions and requirements.

If the IRB becomes aware of research 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 the start of data collection. If the investigator(s) does not respond within five business days of notification of noncompliance, the investigator(s) will be immediately informed that the research cannot proceed, or must be suspended, and will be asked to contact the signatory IRB chair or Office of Research Compliance immediately. The department chair/director or designee will also be notified of the noncompliance and asked to take appropriate action. The department chair/director or designee will be asked to report the action taken and the results to the IRB within one week. If no response is received with that week, the IRB chair will contact the department chair/director or designee by telephone. If no resolution of the problem has occurred, the

IRB chair will, if s/he deems it necessary, inform the Vice President for Research of the situation and convey the recommendation(s) of the IRB for further action, if any.

No mechanism exists, under 45 CFR 46, for retroactive IRB approval (or disapproval) of a project. Therefore, if the IRB becomes aware of research that has already been conducted without prospective IRB review and approval, the full IRB will investigate the project and report its findings and recommendations to the Vice President for Research who would then consider the IRB's recommendations in determining what action will be taken.

In considering the project the IRB:

- will determine what level of risk and category of review (Administrative, Subcommittee, or Full) would have been assigned to the project had the application been submitted and processed in the proper sequence (i.e., prior to data collection).

- will determine whether the subjects were harmed in any way or if their rights and/or welfare were infringed.
- may make a recommendation to the Vice President for Research as to whether or not the investigators should be allowed to make use of the data.
- may make a recommendation to the Vice President for Research that notification be provided to the funding agency and/or the appropriate publication outlet (journal or organization to which a manuscript or abstract has been submitted, thesis/dissertation office, etc.) that the data were collected without IRB approval. If the data were collected for a thesis or dissertation, the methods section must contain a statement that the data were collected without IRB approval.

Appeals of IRB decisions should be made in writing to the IRB, via the ORC. The IRB will review the appeal at the next regularly convened meeting. Should a researcher wish, the appeal may be made in person. For a schedule of meetings, the Office of Research Compliance should be contacted.

In the event of serious or continuing noncompliance with NIU Policy, the terms of NIU's Assurance of Compliance with DHHS, or the requirements or determinations of the IRB (e.g., deliberately conducting research without IRB approval, failure to report adverse events or unanticipated problems involving risks to subjects or others to the IRB, etc.) the IRB will first gather information regarding the allegation(s) of noncompliance and attempt to resolve the situation with the cooperation of the investigator(s) involved. If reasonable attempts to rectify the situation fail, the IRB will make an informed recommendation, referring the case to the Vice President for Research for final resolution. When appropriate and upon the recommendation of the IRB, the IRB Chair and/or the Vice President for Research will report the situation to OHRP.

VIII. PROCEDURES FOR REVIEW OF EXTERNALLY FUNDED PROJECTS

Researchers should be aware that some agencies require institutional approval of Human Subjects research at the submission stage of a grant proposal and should allow enough time for the Institutional Review Board (IRB) to review and approve their protocol before the grant submission deadline. More often, federal and private agencies require IRB approval before awarding a grant. A copy of the full grant should be attached to the IRB protocol.

NIU may be required to certify to the funding agency, for research involving human subjects, that the institution is operating under an approved Assurance and provide certification that an appropriate Institutional Review Board has, within 12 months of the budget period start date, reviewed and approved the proposed activity in accordance with the regulatory requirements consistent with 45 CFR Part 46. The Chair of the IRB will provide a letter of certification for submission to the funding agency at the request of the Office of Sponsored Projects (OSP).

During the course of a research project, subsequent supplement certification to the agency may be required when:

1. involvement of human subjects in a project is proposed and the activity previously had only indefinite plans or no plans for the involvement of human subjects, or
2. it is proposed to change the involvement of human subjects and that involvement is significantly different from that which was initially approved by the IRB.

Under no circumstances will approval of a grant account be initiated by OSP or an account opened by Grants Fiscal Administration for an externally funded project involving Human Subjects research before the investigator has obtained IRB approval. To avoid delays in the processing of awards at the agency and on an institutional level, researchers should ensure the timely review of their Human Subjects research protocols by the IRB at

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first hint of funding approval. If final details regarding all elements of the protocol are not available because they may be developed as part of the research project, a provisional protocol should be filed and approved by the IRB, allowing for the opening of a grant account. When final details are available, the provisional protocol should be modified and re-approved by the IRB prior to data collection.

IX. IRB MEMBERSHIP

According to the DHHS regulations, the IRB is made up of at least five individuals, one of whom must not be affiliated with the University in any way. The members must be of varied background including consideration of the gender and racial and cultural backgrounds of members and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human subjects. The IRB members must also possess sufficient expertise to address issues pertinent to research involving the use of human subjects. The IRB shall include at least one member whose primary concerns are in scientific areas, and at least one member whose primary concerns are in nonscientific areas.

The IRB membership is appointed by the Vice President for Research and is subject to approval by the University President. Members are appointed to three-year, renewable terms, with no term limits. Should a member resign, another individual with comparable expertise shall be selected as a replacement (see selection procedures below) to serve the remainder of the term. The NIU IRBs will each consist of the following members:

Representative of the Vice President for Research of the Graduate School, chair

Representative from the University Health Service, physician

Representative from the Office of Sponsored Projects (nonvoting member)

Faculty member, Psychological Expertise

Faculty member, Educational Expertise

Faculty member, Physiological Expertise

Faculty member, Kinesiology Expertise

Faculty member, Social Science Expertise

Faculty member at-large

Community member (not affiliated with NIU)

Selection of Faculty Members with Specific Expertise: At least two months prior to the resignation or completion of term of one of the five faculty members with specific expertise, the IRB, via the ORC, will notify the Vice President for Research to solicit nominations from departments listed under the appropriate category.

The procedure for selecting nominees is up to the discretion of the department(s) involved, though departments are advised to ascertain whether individuals are interested in serving prior to submitting nominations to the Vice President for Research. No less than two nominations from within each category may be submitted to the Vice President for Research; no maximum number of nominations has been set (though departments submitting more than two nominations are asked to rank them). Should the Vice President for Research receive fewer than two nominations from within each category, a second call for nominations must be issued. The Vice President for Research then appoints faculty members from among the nominees. The new members serve terms of three years.

(Note: Persons nominated, but not appointed as a "Faculty Member with Specific Expertise" are to be considered as nominees for the selection of the next "Faculty Member-at-Large.")

Selection of Faculty Member-At-Large: Selection of the faculty member at-large is without restriction to departmental affiliation. To solicit general nominations for the at-large member, the Vice President for Research must announce the availability of the position to the campus. Again, the procedure for selecting nominees is up to the discretion of the department(s) involved. Departments should use a rank ordering when submitting more than one nomination. The Vice President for Research then appoints the faculty member-at-large from among the nominees, including those individuals nominated, but not appointed, as "faculty member with specific expertise." The faculty member-at-large serves for a period of three years.

Based on departmental representation vis-à-vis human subjects applications in recent years, the categories listed below have been suggested. The categories are by no means fixed, and may be modified as appropriate. Further, it is recognized that the IRB will be comprised of members having expertise in qualitative and quantitative research methodologies.

Educational: CAHE, ETRA, LEPP, KNPE, LTCY, SEED

Psychological: PSYC

Kinesiology : KNPE

Physiological : KNPE, BIOS, NUHS, AHCD

Social Science: ANTH, SOCI, HIST, COMS, COMD, POLS

In the event of short-term absence, members of each IRB will serve as alternates for their expertise counterpart on the other IRB. An additional alternate may need to be appointed as an "interim" member in the event of the long-term absence of a member (e.g., due to extended illness, sabbatical leave, etc.). Appointment of alternate "interim" members will follow the same procedures used for appointment of regular members.

Should any member fail to meet the expectations of IRB membership, the IRB chair will attempt to rectify the situation by discussing the matter with the member. If the situation does not improve in an acceptable time frame, then the member will be given the option of resigning voluntarily. If all attempts to remedy the situation are unsuccessful the IRB chair, in consultation with the ORC, may recommend to the Vice President for Research that the individual's membership status be reviewed. The Vice Provost for Research, with the concurrence of the University President, will make the final decision regarding the individual's membership status on the IRB.

X. ADDITIONAL RESPONSIBILITIES OF THE IRB

The IRB reports directly to the Vice President for Research at Northern Illinois University and, through that person, to the President. Convened meetings of each IRB shall occur: (1) Once a month; or (2) at the call of the Chair when the Chair judges the meeting to be necessary or advantageous; or (3) at the call of the Chair upon the receipt of a joint written request of three or more members.

The IRB, with the assistance of the ORC, shall prepare and maintain adequate documentation of IRB activities, including the following:

1. Copies of all research proposals reviewed, scientific evaluations, if any, that accompany the proposals, approved consent documents, progress reports submitted by research investigators (as part of continuing review or otherwise) and reports of adverse events involving subjects.

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2. Minutes of IRB meetings which shall be in sufficient detail to show the names of attendees at the meetings; actions taken by the IRB; the vote on these actions including the number of members voting for, against, and abstaining; the basis for requiring changes in or disapproving research; a written summary of the discussion of controverted issues and their resolution; and dissenting reports and opinions. If a member in attendance has a conflicting interest regarding any project, minutes shall show that this member did not participate in the review, except to provide information requested by the IRB.
3. Records of continuing review activities.
4. Copies of all correspondence between the IRB and the researchers.
5. A list of IRB members as required by 45 CFR 46.103(b)(3).
6. Written procedures for the IRB as required by 45 CFR 46.103(b)(4).
7. Statements of significant new findings provided to subjects, as required by 45 CFR 46.116(b)(5).
8. Official correspondence with OHRP.

The IRB shall provide for the maintenance of records relating to a specific research activity for at least 3 years after termination of the last IRB approval period for the activity. IRB records shall be accessible for inspection and copying by authorized representatives of HHS at reasonable times and in a reasonable manner, or shall be copied and forwarded to HHS when requested by authorized HHS representatives. Researchers are encouraged to retain personal copies of their applications, correspondence, etc. as well.

The IRB chair shall be responsible for promptly reporting information to the IRB, and, as appropriate, to the Vice President for Research for notification to the OHRP and/or appropriate department or agency heads (i) any instances of adverse events involving subjects and unanticipated problems involving risks to subjects or others involved in the research, and (ii) information concerning the IRB's reasons for the termination or suspension of IRB approval. Changes in IRB membership shall be reported to the OHRP at least annually.

Amendment of policy and procedures, as needed by the Vice President for Research, may be recommended at any time by the IRB. Proposed amendments shall be submitted to the full board for review, and must be approved by a majority of a convened meeting or by written vote following sufficient opportunity for questions and discussion. Approved amendments shall then be forwarded to the Vice President for Research for review and final approval.

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 - Students must complete both PSYC 604 and PSYC 606 during their first year in the program. Students must complete at least three (3) foundation courses (i.e., PSYC 603, PSYC 611, PSYC 620, PSYC 641, PSYC 665) by the end of their second year in the program as part of their master's degree requirements.

PSYC 603 Biopsychology
PSYC 604 Analysis of Variance and Hypothesis Testing in Psychological Research
PSYC 606 Correlation and Regression Analysis in Psychological Research
PSYC 611 Cognitive Psychology I
PSYC 620 Experimental Social Psychology
PSYC 641 Psychopathology
PSYC 665 Behavioral Development

Required Clinical Courses

PSYC 640 Theory and Assessment of Intellectual Functioning
PSYC 641 Psychopathology
PSYC 642 Personality Assessment or 646 Psychological Assessment of Children
PSYC 643 Theories of Psychotherapy
PSYC 644 Cognitive-Behavioral Theory and Techniques
PSYC 649 Ethics and Professional Issues in Psychology
PSYC 645 Developmental Psychotherapy
PSYC 654 Practicum in Psychotherapy
PSYC 655 Internship (12 months)
PSYC 671D Studies in Clinical Psychology: Clinical Research Methods
PSYC 672E Studies in Clinical Psychology: Multicultural Diversity, Supervision, and Consultation
PSYC 528 History of Psychology

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 Accreditation of the American Psychological Association; Address: 750 First St. NE, Washington DC 20002-4242; Telephone: 202-336-5500.

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.
6. 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 (699). Permit form require for initial registration only. Graduate secretary will obtain permission in future semesters.*	3. Semester thesis work begun, with permission of adviser; credit hours determined by adviser. Continuous enrollment required until formal approval of thesis by the Graduate School.
4. Apply for <i>conditional</i> admission into doctoral program. Graduate secretary will notify you and provide instructions.	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. Apply for IRB or IACUC participant approval.*	6. Prior to data collection.
7. File thesis proposal.*	7. When approved by committee.
8. Appointment of thesis examination committee and scheduling of oral defense.*	8. When thesis is completed to committee satisfaction.
9. File report of oral defense and approved thesis. Adviser provides information to graduate secretary who will submit to Graduate School.	9. When corrections in thesis made to satisfaction of examination committee.
10. Complete Foundation courses.	10. Prior to award of M.A.
11. Apply to Graduate School for graduation through MyNIU. www.grad.niu.edu	11. Approximately six months before Graduation is anticipated. See Graduate School web site for deadlines:

* indicates that a form or permit is required. See the graduate secretary for forms or find links at: <http://www.niu.edu/psyc/graduate/current/masters.shtml>

See the Graduate School web page for other important filing deadlines: www.grad.niu.edu

DOCTORAL PROGRAM

<u>Procedures</u>	<u>Notes:</u>
1. Approval for continuation in Doctoral program. Graduate secretary completes necessary paperwork.	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. Student informs graduate secretary of date and committee members.	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 director and committee*	6. Anytime following step (1)
7. File doctoral program of courses.*	7. Immediately upon appointment of dissertation director.
8. Register for dissertation hours (799A).* Permit form required for initial registration only. Graduate secretary will obtain permission in future semesters.	8. When dissertation work begun, after appointment of director; credit hours determined by director. Continuous enrollment required until formal approval of dissertation by the Graduate School.
9. File approved dissertation proposal.*	9. Upon approval by committee. Prior to formal collection of data.
10. Apply for IRB or IACUC participant approval.*	10. Prior to data collection.
11. File admission to candidacy. Graduate secretary completes necessary paperwork.	11. After candidacy exam passed, approved proposal is filed, but <i>before</i> defense.
12. Appointment of oral defense committee and scheduling of oral examination.*	12. When dissertation is completed to the satisfaction of the committee.
13. File results of oral defense and approved dissertation. Graduate secretary submits to the Graduate School.	13. When corrections in dissertation made to satisfaction of examination committee.
14. Apply to Graduate School for graduation through MyNIU.	14. Approximately six months before graduation is anticipated. See Graduate School web site for deadlines: www.grad.niu.edu

* indicates that a form or permit is required. See the graduate secretary for forms or find links at: <http://www.niu.edu/psyc/graduate/current/phd.shtml>

Departmental Policies Pertaining to
Thesis and Dissertation Committees

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

a) Under 'Composition of Examination and Thesis Committees'

The thesis committee and the final comprehensive examination committee shall each consist of at least three voting members approved by the department chair or designee. A comprehensive examination committee needs no additional approval; however, a thesis committee must be nominated by the department and appointed by the dean of the graduate school. Committees must be appointed no later than the conclusion of the semester or term preceding that in which the student will defend the thesis or take the examination. A student intending to write a thesis should identify a prospective faculty director for the thesis and thesis committee members as soon as possible. The thesis director and thesis committee will judge the acceptability of the work. At any time, a faculty member may decline to serve as director or committee member of any particular thesis project. With the consent of the department and the approval of the graduate school dean, a student may propose to alter the composition of a thesis committee, provided that the faculty to be removed from and/or added to the committee expressly consent to the change. If a student wishes to remove a faculty member from a thesis committee, and the faculty member does not consent to be removed, the student may appeal to the dean of the Graduate School. The dean will make a decision with input from the student, the faculty members involved, the department chair, the committee chair, and the director of graduate studies; the decision of the dean will be final.

All members of the comprehensive examination and thesis committee must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University. With regard to the voting members of the comprehensive examination and thesis committee:

- A majority must be tenured or tenure-track faculty members at Northern Illinois University.
- At least one-half of the members must be full or senior members of the graduate faculty at Northern Illinois University.
- All members must belong to the graduate faculty in the student's program or a closely related one as determined by the department chair (or designee).

A provisional member of the graduate faculty may, with a full or senior member of the graduate faculty, co-chair a comprehensive examination or thesis committee.

b) Under 'Requirements for Doctoral Degrees' – 'Composition of Committees'

Committees to conduct the candidacy examination and the oral defense of the dissertation will be nominated by the chair of the student's department, approved by the college, and appointed by the dean of the Graduate School. Candidacy examination committees must be appointed no later than the conclusion of the semester or term preceding the semester or term in which the student will take the examination; dissertation committees must be formed before or soon after the student passes the candidacy examination. Membership of candidacy and dissertation examining committees will include representatives of major and minor fields. The number of voting members on such committees

normally will be three to five, and at least three are required. All members of the committee must hold the status of full, senior, or provisional member of the graduate faculty or serve as graduate faculty scholars at Northern Illinois University. With regard to the voting members of the comprehensive examination and thesis committee:

- A majority must be tenured or tenure-track faculty members at Northern Illinois University.
- At least one-half of the members must be senior members of the graduate faculty at Northern Illinois University.
- All members must belong to the graduate faculty in the student's program or a closely related one as determined by the department chair (or designee).

A graduate faculty scholar or a full member of the graduate faculty may, with a senior member of the graduate faculty, co-chair a dissertation committee. In addition, the dean of the Graduate School or the dean's designee 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.

Curricular Area Candidacy Exam Procedures

All students in a Ph.D. program within the Psychology Department are required to pass an extensive candidacy examination that includes a written component. The doctoral candidacy examination shall sample the student's knowledge and ability to integrate theory and research relevant to the student's area of concentration.

Clinical

Students must prepare a portfolio that includes materials from each of the following categories:

Category A: Research Productivity

1. *One 1st authored full-length manuscript* submitted and accepted for review to a peer-reviewed publication
and
2. *One additional 1st, 2nd, or 3rd authored full-length manuscript* submitted and accepted for review to a peer-reviewed publication.

It is permissible that either of these manuscripts be co-authored by faculty members. The student's faculty mentor must approve the submissions for them to be included in the portfolio. Manuscripts or publications based on work done prior to the formal start of program studies at NIU are not acceptable. The 1st authored manuscript (i.e., A1) must be empirical research and cannot be a write-up of your thesis. The additional manuscript (i.e., A2) may be either a literature review or empirical research, and could be a write-up of your thesis. Students may petition the clinical faculty to request submission of other publication formats (e.g., brief reports) for the additional manuscript.

Category B: Engagement in the Broader Professional Community

1. *One 1st authored poster presentation* at a regional, national, or international professional conference
and
2. *One 1st authored paper presentation or two additional 1st or co-authored poster presentations* at regional, national, or international professional conference(s)

Conference presentations will be based on research engaged in while at NIU. It is permissible that these presentations be co-authored by faculty members. The faculty mentor must approve the presentations for them to be included in the portfolio.

Conference presentations based on work done prior to the formal start of program studies at NIU are not acceptable. Presentations must be given at more than one conference (e.g., multiple years of the same meeting or meetings of multiple professional organizations).

Category C: Clinical Competence in Assessment and Psychotherapy

1. A passing evaluation on an assessment case conference (typically held during the 2nd year in the program)
and
2. A passing evaluation on a therapy case conference (typically held during the 3rd year in the program)

Students should submit hard copies of their PowerPoint slides along with a copy of the case conference evaluation forms for faculty review. Criteria for evaluation of case conferences are outlined in the PSC Case Conference Presentations document.

Failed case conferences can be repeated only once each. Students who fail to pass on the repeated case conference will have failed the candidacy examination.

Submission of portfolio

After the completion of their thesis and with the endorsement of their faculty mentor, students can electronically submit their portfolio in a single pdf to the DCT. The clinical faculty will review portfolios at each regularly scheduled clinical faculty meeting. To permit adequate time for faculty to review portfolios, students should submit them at least one week before any of these meetings.

The majority of the clinical faculty will need to approve the portfolio for the student to pass the candidacy examination. If the portfolio is not approved by the majority of the clinical faculty, the student will receive feedback regarding which categories were not considered satisfactory. They then will have six months to address these issues and resubmit their portfolio. If their revised portfolio continues to not be approved by the majority of the clinical faculty, they will have failed the candidacy examination.

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

Candidates for the doctoral program are required to take comprehensive exams at the end of their third year. Exams are offered once a year in August before the beginning of the fall semester. The Area Coordinator will request confirmation from students sitting for the exam.

The exam is administered over two consecutive days from 8 AM to 5 PM. The exam includes three sections: I/O Psychology, Social Psychology, and Quantitative Methods/Experimental Design (Tools). 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).

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.

