

## **HANDBOOK ON GRADUATE STUDY**

We have prepared this handbook to provide a convenient source of information about Graduate College and Department of Psychology rules, regulations, procedures, services, and facilities. The information contained is for general guidance on matters of interest to faculty and students, and will be relevant throughout your graduate studies. It is a good idea to consult this handbook before you first see your advisor and when preparing to write a thesis. The handbook is updated annually.

This handbook also summarizes some University policies as a convenient reference tool. However, information on campus and University policies contained herein is for information purposes only and is subject to change without notice. For the most current information, please see the official University versions of these policies as posted on official web sites. These can be accessed through the Campus Administrative Manual home page (<http://cam.illinois.edu>).

*DEPARTMENT OF PSYCHOLOGY  
UNIVERSITY OF ILLINOIS, U-C*

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## GENERAL INFORMATION ABOUT THE PSYCHOLOGY DEPARTMENT

### **Departmental Structure**

The Department of Psychology is organized into the eight divisions listed below:

- 1) Behavioral Neuroscience
- 2) Clinical/Community
- 3) Cognitive
- 4) Cognitive Neuroscience
- 5) Developmental
- 6) Quantitative
- 7) Social-Personality-Organizational
- 8) Visual Cognition & Human Performance

Each division has its own program of graduate training, which is largely determined by the faculty in the division. There are also departmental standards that each division's graduate training program must conform to, and a department-wide faculty Graduate Education Committee (GEC) oversees the division's training programs. The GEC is chaired by the Associate Head for Graduate Studies and has a faculty representative from each division and one graduate student member (see paragraph below). Each division is managed by a faculty coordinator who is elected each year by the faculty in the division. The Division Coordinators are responsible for a variety of graduate student issues, including (but not limited to) determining the financial support available to students in the division each semester and coordinating the division's annual evaluation of its students

There is a Graduate Student Organization (GSO), which also has a representative from each division and which elects the graduate student member of the GEC. The GSO represents all department graduate students and is concerned with all issues relevant to the graduate students as well as coordinating social events. The GSO representatives are excellent sources of information about Departmental and Divisional policies and events. Talking to them provides a good way to get your questions, ideas, or concerns discussed by other graduate students and communicated to the Departmental administrators.

Key personnel in the department include the following:

Department Head:

**Wendy Heller**

*Room 315, 333-0632  
w-heller@illinois.edu  
(Chief executive officer)*

Associate Head for Undergraduate Studies:

**Bob Wickesberg**

*Room 323, 333-0022  
wickesbe@illinois.edu  
(Coordinates undergraduate advising, Course and Room assignments and scheduling)*

Director of Clinical Training (DCT):

**Howard Berenbaum**

*Room 727, 333-9624  
hberenba@illinois.edu  
(Coordinates the activities of the Clinical Division)*

Director of Budget & Research Planning:

**Mae Donaldson (Interim)**

*Room 332, 333-3361  
donaldsn@illinois.edu  
(Monitors department accounts and charges; Coordinates reservation of research space; Supervises Business Office staff)*

Associate Head for Graduate Studies:

**Nicole Allen**

*Room 323, 333-0022  
allenne@illinois.edu  
(Coordinates admissions, graduate student RA/TA support assignments, fellowship competitions; Chairs Graduate Education, Graduate Admissions, and Graduate Awards Committees; Departmental approval of theses/dissertations; Administers department travel funds)*

Graduate Student Office:

**Ashley Ramm and June Eubanks**

*Room 307, 333-2169  
aramm@illinois.edu  
jeubanks@illinois.edu  
(General information, Registration, Academic records and degree progress, Graduate assistantship processing and payroll, Petitions and waivers of department requirements, Graduate students office assignments, Graduate course permit overrides, Thesis and dissertation format reviews and dept approval; Dissertation committee appointments, Degree conferral, Graduation certification, Admissions information and processing, Appointment processing, Proctor pool, English Proficiency Interview (EPI)).*

## **Mailboxes**

Graduate student mailboxes are located on the third floor (north wall) of the Psychology Building. These boxes provide a convenient means of getting in touch with you. Important messages will sometimes be left in your mailbox so please be sure to check its contents regularly. Please do not have your personal mail (including bills) delivered to your Psychology department mailbox. If you do, the department will remind you once to make other arrangements. If your personal mail continues to be delivered to the department after that, the department will refuse delivery.

## **Communication**

At the beginning of each semester and throughout the year you will receive notices and/or forms requesting information needed by the Psychology Graduate Studies Office, 307 Psychology Building. Please provide the requested information and submit the forms as soon as possible.

The University recently switched from landline phones to a Voice Over Internet Protocol (VOIP) phone service called Lync. All Psychology graduate students automatically get a Lync phone number that can be used for local phone calls only (numbers in the 217 area code that are not considered to be long-distance). If you need to make a long-distance work-related call, ask your advisor whether your lab phone has long-distance capability and for permission to use it. If not, you must use your personal cell phone. Information about the Lync system is available online at <http://www.cites.illinois.edu/lync/index.html>.

Please inform family, friends, and undergraduate students (if you are a teaching assistant) to reach you by the following means:

1. Psychology/campus email address\*
2. Your Lync phone number
3. Provide location of your office and office hours
4. Provide location of your Psychology mailbox for messages/notes

- \* If you prefer to use another email address than your University of Illinois email address (e.g., gmail, hotmail,), it is your responsibility to check your University email frequently. The department has a number of email mailgroups set up that use University email addresses and these are often used to send important messages to graduate students. You are responsible for making sure you receive and respond to department email.

## **Graduate Degrees Offered in Psychology**

### *The Master of Science (MS)--without thesis*

The Master of Science degree in is awarded only in our Masters Programs in Applied Personnel and Applied Measurement as a terminal degree to candidates who satisfactorily complete 32 hours (as prescribed in the two respective programs) after completing an appropriate applied psychology undergraduate program.

### *The Master of Arts (MA)--with thesis*

This degree is awarded to candidates who successfully complete 32 hours of graduate work and submit an acceptable thesis. The thesis is expected to be a report of original empirical research. The Master of Arts is not designed to prepare a student for a professional position. It is, rather, a step towards the Ph.D. Note that the department does not require that students obtain a master's degree, but the equivalent of a master's thesis must be submitted to the department as part of the PhD program.

It is important to understand that, to serve as the basis for the award of a master's degree, the thesis must report a successfully completed research project. Less stringent requirements may apply to theses submitted to meet the departmental thesis requirement (see later section on master's theses).

### *The Doctor of Philosophy (PhD)*

The Doctor of Philosophy (PhD) is awarded to candidates who successfully complete an approved program in their area of specialization and meet all department and Graduate College requirements for the degree (refer to relevant sections for details).



## **SUMMARY OF GRADUATE COLLEGE REQUIREMENTS**

### **Units Required for Graduation**

If you come to Illinois with a bachelor's degree, you must complete at least 96 graduate credit hours to obtain a doctoral degree. At least 64 of these hours, including thesis credit, must be earned in courses meeting on the Urbana-Champaign campus. Thirty-two credit hours are required for a master's degree. Up to 8 of those 32 hours may be thesis (599) research credit. Enrolling in PSYC 599 obligates you to complete a master's thesis. Twenty-four hours of doctoral research credit (599) may be counted in the 96 total hour requirement.

### **Use of Previous Degrees**

If you come to Illinois with a Master's degree, you need to complete 64 additional credit hours, including 40 credit hours of coursework in order to receive a doctorate (24 hours of doctoral research credit may be counted toward the 64). You also need to fulfill our (departmental) Master's thesis requirement, either by getting a Master's thesis that you completed elsewhere approved by your division and the department, or by getting Master's-level research that you did elsewhere and that is equivalent to the thesis requirement of our department approved by your division and the department. (See departmental requirements and talk with your division Coordinator about how to get approval for work completed elsewhere.)

The University of Illinois does not generally award a graduate degree in the same field that a student already has an equivalent level (master's, doctoral) degree in. This applies regardless of what institution awarded the first degree. The basis for this policy is that you should not receive a second degree for work that is substantially similar to the work used to complete the first degree. However, a second degree may be allowed in cases where it is clear that the degree programs differ significantly. In addition, it occasionally happens that a PhD student with a previous master's degree decides not to complete our PhD program. Most such students can obtain a second master's degree if they complete either a master's thesis or master's level research project here.

The department has to provide a letter of justification to the Graduate College whenever we propose giving a student a second degree at the same level as a previously awarded degree. The letter must describe the differences between the first degree and the degree to be earned here, and those differences must be clear and substantial. The letter should include a comparison of the courses included in the first degree program with the courses taken at this University. The comparison of course work must go beyond course title and rubric to address course content and level. If the program has a research component, the letter should include a description of how the research for the first degree differs in specific ways from the research for the second degree, whether proposed (in the case of a prospective student) or completed (in the case of a current student). If either or both degree programs has internship or field experience components, the letter of justification must also indicate the differences in this area. In some cases it might be appropriate to note whether the second degree will substantially change professional qualifications in regard to specific professional employment requirements.

## **Minimum Grade Point Average**

The minimum allowable grade point average (GPA) in graduate courses is 2.75. The GPA is based on credit hours that are graded A through F, but not hours graded Credit (CR)/No Credit, Satisfactory(S)/Unsatisfactory(U), Incomplete (I) or deferred (DFR). Grades for work completed at other institutions are also not included in GPA calculation.

If your GPA in graduate courses goes below 2.75, the Graduate College will automatically send you a letter saying that you are on Academic Probation and have one semester to get your GPA back above 2.75. Students on Academic Probation are not eligible to hold assistantship appointments. If your GPA does not improve sufficiently after one semester, you will be dropped from the graduate program and the University.

## **Dealing with Incomplete Work**

If you get an “I” (Incomplete) or “DFR” (Deferred) grade, you need to complete your assignments by the last day of instruction of the following semester. For example, if you receive one of these grades for the fall semester, a letter grade must be filed by the last day of instruction in the following spring semester. This applies to all courses except master’s or doctoral research credit (599). In Psychology 599 (master’s or doctoral research) the only grade you can be given is Deferred (DFR) until after you complete your MA thesis or PhD dissertation, after which they will be converted to S/U grades. Individual research (590) is not eligible for DFR grades – a grade of (S)atisfactory or (U)nsatisfactory must be assigned at the end of the semester in which you register for the credit.

## **Off-Campus Students**

If you have passed the preliminary oral examination (prelims), are not using University facilities, and have left campus, you are not required to maintain your registration. However, when you wish to complete your dissertation, you must apply for re-entry and register during the semester in which you take your final examination.

## **Time Limits**

### *Graduate College:*

A doctoral candidate must complete all requirements within seven years of first registration in the Graduate College. A candidate for the doctoral degree who has received a master’s degree elsewhere, must complete the requirements within six years of first registration in the doctoral degree program on this campus. If you have passed prelims but have exceeded these time limits and have not continued to register as a graduate student, you may be granted re-entry if the department and the Graduate College give their approval. If more than five years elapse between your preliminary and final oral examinations, you will be required to demonstrate the currency of your knowledge by passing a second preliminary oral examination. You must be registered for

the semester during which the prelim and the final defense are taken.

*Department:*

Students who have passed the qualifying examination are entitled to take the preliminary oral examination anytime within the subsequent five years. Similarly, passing the preliminary oral examination entitles students to take the final oral examination within the subsequent five years unless their division has a more stringent requirement. Division requirements take precedence.

Students who have not passed their preliminary examinations within five years of passing their qualifying examinations will be expected to re-take and pass their qualifying examinations prior to taking their preliminary examinations (except under unusual circumstances).

Any student not completing the final oral examination (defense) within 6 years of his/her admission will be placed on Department Probation. In this case, Department Probation means the Department will not be under any obligation to continue providing financial support. Students are in good standing when they are making adequate progress toward their doctoral degrees, as determined by the division in which they are enrolled. Check with your division to determine the rules applying to you.

The student's division and the Psychology Department Head will review requests from ABD (All But Dissertation) students to schedule a final oral examination past the 5-year limit established by the Graduate College. The Department of Psychology reserves the right to determine whether the research of an ABD student is still current and relevant. In some instances, ABD students will be unable to schedule a final oral examination and deposit a dissertation.

Students exceeding the 5-year time limit will have to submit a written request for an extension of the time limit to the Department of Psychology. The request should give a detailed explanation for the delay in completing the remaining requirements for the Ph.D. degree. In addition, the departmental request should occur prior to the filing of a petition with the Graduate College for an extension on the time limit. ABD students should direct questions concerning this matter to the Associate Head for Graduate Studies and/or the Graduate Student Office in the Department of Psychology.

### **Graduate College Handbook for Graduate Students**

The most relevant Graduate College regulations are in the Graduate Student Handbook (located at <http://www.grad.illinois.edu/handbooks-policies>). Since Graduate College rules and regulations apply to all graduate students, it is a good idea to become familiar with the Graduate College Handbook.

# DEPARTMENT REQUIREMENTS FOR THE DOCTORAL DEGREE

## Departmental requirements for a doctorate in psychology include:

### Curriculum Requirements

1. Completion of 96 hours of credit
2. Completion of division core courses
3. Quantitative methods courses
4. At least two seminars
5. Approved minor courses
6. Distribution courses
7. Teaching experience

### Thesis/Dissertation Requirements

1. A master's-level thesis
2. A doctoral qualifying examination (or its equivalent)
3. Formation of a doctoral committee
4. A preliminary examination
5. A doctoral dissertation
6. A final examination (defense)

A description of each of the requirements follows.

## **The Total Unit Requirement**

The total unit requirement consists of at least 96 hours of academic credit. Of these, 64 must be earned while you are in residence on this campus.

If you enter with a master's degree (and it's approved by the department) you will be given credit for 32 hours of work, but you will still have to complete all department requirements listed below (unless you successfully petition to have one or more of them waived). Of the 96 hours required for the PhD, up to 8 may be 599 for master's thesis research and up to 24 may be 599 for dissertation research.

## **“Core” Courses**

The faculty of each of the program areas determines division course requirements for the doctoral degree. Please see later sections on requirements for your division and consult your advisor and division coordinator for information about core courses.

## **The Statistical Methods Requirement**

Proficiency in statistical methods may be demonstrated by completing both Psychology 406 and 407 with a grade not lower than B-.

Starting with the 2009-10 academic year, the department decided to also allow course sequences in some other departments to satisfy our statistics requirement. The course sequences listed below have been determined to meet the requirement. Many of the course sequences in other departments take 3 semesters to cover the material covered in 2 semesters in Psychology 406 and 407. It is a division-level decision which of these external course sequences will satisfy the statistics requirement for their students, and also whether all 3 semesters are required for the three-semester sequences. Therefore, be sure to discuss with your academic advisor and/or your Division Coordinator which of these course sequences would be best for you. In any event, you must get a grade of at least B- in all courses used to satisfy the department statistics requirement.

### *Department of Educational Psychology*

Educational Psychology 580: Statistical Inference in Education

Educational Psychology 581: Applied Regression Analysis

Educational Psychology 582: Advanced Statistical Methods

with the prerequisite of Educational Psychology 480: Educational Statistics or equivalent

### *Department of Sociology*

Sociology 485: Intermediate Social Statistics

Sociology 586: Advanced Social Statistics I

Sociology 587: Advanced Social Statistics II

with the prerequisite of Sociology 280: Introduction to Social Statistics or equivalent

### *Department of Economics (Calculus-based instruction)*

Economics 574: Econometrics I

Economics 575: Econometrics II

with the prerequisites of Mathematics 415: Applied Linear Algebra and Statistics 400: Statistics and

Probability I or equivalents

*Department of Statistics (Calculus-based instruction)*

Statistics 425: Applied Regression and Design

Statistics 426: Sampling and Categorical Data (or, Educational Psychology 589:

Categorical Data in Education and Psychology)

with the prerequisites of Statistics 400: Statistics and Probability I, and Statistics 410: Statistics and Probability II or equivalents

*Departments of Crop Sciences & Animal Sciences*

Crop Sciences 440 Applied Statistical Methods I

Animal Sciences 445 Statistical Methods

Crop Sciences 540 Applied Statistical Methods II

with the prerequisite of Math 012: Algebra, or equivalent

## **Seminar Requirement**

At least two different Psychology seminar courses, taken for at least 2 hours each, are a required part of your graduate career. Seminar courses are 500-level advanced courses in which the students carry the major responsibility for organizing the material to be covered and for making oral presentations of the material to the class.

Courses that are not permitted to be used toward the seminar requirement:

-lecture based courses

-lab courses

-those with focus on professional development

-those associated with a TA assignments (Teaching of Abnormal Psychology)

-lab meetings

-brown bags (PSYC 598)

Please seek approval for seminar courses before enrolling by consulting the Graduate Studies Office (307 Psychology). Courses must be taken for a letter grade or on a credit/no credit basis (see section on registration information).

Note: It is important that you register formally (rather than just “sit in”) for all 593 seminars, even if you have already fulfilled the department’s seminar requirement. The department must show that certain minimum enrollment levels have been reached in its seminars.

## **The Minor Requirement**

At your discretion and with the concurrence of your division coordinator and faculty advisor, the 16-hour minor requirement may be filled in one of the five ways listed below:

- a. Full (16 hours) minor in a single department outside the Department of Psychology
- b. Split minor (at least 8 hours each) in two departments outside Psychology
- c. Split minor (at least 8 hours each), half within the department and half outside
- d. Split minor (at least 8 hours each) in two divisions in the department but outside your own division
- e. Full (16 hours) minor in one division in the department, but outside your own division

The specific minor area or areas that are allowable should be discussed with your advisor. Units of

Psychology 590 (Individual Research) or their equivalent in other departments are ordinarily NOT acceptable as minor units. The minor requirement may be fulfilled at any time during your graduate career, but it is strongly recommended that it be completed prior to the preliminary oral examination.

An authorized member of the minor department or the Associate Head for Graduate Studies for the Department of Psychology must approve the courses elected in that field for a full or split minor outside the Department of Psychology.

If you take a mathematics or statistics minor, you still must satisfy the department statistics requirement using one of the course sequences described in the Statistical Methods Requirement section, and the courses used to satisfy that requirement cannot be used toward the minor. If you plan to minor in mathematics or statistics, it is a good idea to consult with the Quantitative Division Coordinator.

Courses cross-listed in two or more departments (e.g., Sociology and Psychology) may not be used as part of an extra-departmental minor without special permission from the Associate Head for Graduate Studies.

Courses used to fulfill your minor requirement should be 4 credit hours. You may elect to take any or all of your 16-hour minor requirement under the credit/no credit option. (See Credit/No Credit Options in section entitled Registration Information). Your division's core courses cannot be used toward your minor, even if you are not using them to satisfy your core course requirements.

### Behavioral Neuroscience Psychology

Courses Eligible for Minor:

PSYC 413	Psychopharmacology
PSYC 414	Brain, Learning & Memory
PSYC 417	Neuroscience of Eating and Drinking
PSYC 433	Evolutionary Neuroscience
PSYC 510	Advances in Psychobiology: Introduction for Graduate Students
PSYC 496/593	Various Seminars taught by Bio Faculty

### Cognitive Neuroscience

Courses Eligible for Minor:

PSYC 403	Memory and Amnesia
PSYC 404	Cognitive Neuroscience
PSYC 421	Principles of Psychophysiology
PSYC 427	Language and the Brain
PSYC 437	Cognitive Neuroscience Laboratory
PSYC 450	Cognitive Psychophysiology
PSYC 451	Neurobiology of Aging
PSYC 453	Cognitive Neuroscience of Vision
PSYC 496FG	Critical Thinking in Neuroimaging
PSYC 593	Causal Reasoning

### Clinical/Community Psychology

Students interested in minoring in Clinical/Community psychology should contact the Director of Clinical Training (DCT) regarding which courses each semester may be open to students from outside of the

Clinical/Community Division. Some but not all sections of 546 are eligible toward a minor requirement.

Cognitive Psychology

Recommended minor courses:

PSYC 425	Psychology of Language
PSYC 427	Language and the Brain
PSYC 450	Cognitive Psychophysiology
PSYC 503	Categories and Concepts
PSYC 514	Cognitive Science
PSYC 518	Experimental Psychology of Human Learning
PSYC 523	Problem Solving and Cognitive Skill Acquisition
PSYC 525	Psycholinguistics
PSYC 526	Adv Psycholinguistics

Developmental Psychology

Example courses for the general developmental minor:

PSYC 524	Developmental Psycholinguistics
PSYC 537	Development and Psychopathology
PSYC 540	Social Development
PSYC 569	Cognitive Development
PSYC 593	Special Topics in Social, Cognitive, or Language Development

Possible language/cognitive development minor:

PSYC 524	Developmental Psycholinguistics
PSYC 569	Cognitive Development
PSYC 593	Special Topics in Cognitive Development (e.g., Psychological Essentialism, Developmental Cognitive Neuroscience)
PSYC 593	Special Topics in Language Development (e.g., Language and Thought)

Possible social development minor:

PSYC 536	Developmental Cultural Psychology
PSYC 537	Development and Psychopathology
PSYC 540	Social Development
PSYC 593	Special Topics in Social Development (e.g., Developmental Social Neuroscience)



### Quantitative Psychology

PSYC 435	Mathematical Formulations in Psychological Theory
PSYC 466	Image and Neuroimage Analysis
PSYC 484	Ethical Practice of Statistics
PSYC 490	Measurement and Test Development Laboratory
PSYC 509	Scaling: Multidimensional Methods
PSYC 534	Models of Decision and Choice
PSYC 587	Hierarchical Linear Models
PSYC 588	Covariance Structure and Factor Models
PSYC 589	Categorical Data Analysis
PSYC 594	Multivariate Analysis in Psychology and Education
PSYC 595	Theories of Measurement I (Classical Test Theory)
PSYC 596	Theories of Measurement II (Item Response Theory)
PSYC 593	Seminar (if the seminar topic is quantitative; e.g., Cluster Analysis; Social Choice Theory; Multiway Component Analysis)

Neither PSYC 406 (Statistical Methods I) nor PSYC 407 (Statistical Methods II), nor any other courses used to satisfy the department's Statistical Methods requirement, can be used as part of a Quantitative Psychology minor.

It is recommended that PSYC 594 (Multivariate Analysis) be one of the courses selected as part of a Quantitative Psychology minor.

Sample minors:

\* Psychological Measurement: 490, 509, 594, 595, 596

\* Behavioral Statistics: 587, 588, 589, 593 (Seminar: Cluster Analysis), 594

\* Behavioral and Cognitive Modeling: 435, 466, 509, 534, 594

Graduate students with a good background in mathematics might consider earning a master's degree (MS) in Statistics <http://www.stat.illinois.edu/degrees/masters.shtml> or Applied Statistics (with a specialization in Psychometrics and Behavioral Statistics) <http://www.stat.illinois.edu/students/applmasters.shtml>.

### Social-Personality-Organizational

A minor may be completed by taking any four graduate courses offered by the SPO Division. Students should be aware that the SPO Division includes three distinct areas of psychology. An appropriate minor would focus specifically on one of these three areas: social, personality, or industrial-organizational psychology.

### Visual Cognition & Human Performance

PSYC 516	Perception
PSYC 504	Attention
PSYC 596	Spatial Cognition
Other classes and seminars taught by the faculty in the division	

Students should petition to have other courses count toward the minor.

## **The Distribution Requirement**

In order to assure familiarity with the content of Psychology outside your area of specialization, you must take general graduate survey courses in at least two other divisions (4 credit hours each). Some of these courses could constitute part of your minor OR be used to fulfill the seminar requirement, but not both. Consult with your division coordinator and advisor concerning the selection of courses to fulfill this requirement.

### *Behavioral Neuroscience :*

PSYC 510 Advances in Psychobiology

Any of the courses eligible for the minor if the student has taken the equivalent of PSYC 210/510 previously.

### *Cognitive Neuroscience :*

PSYC 598PBC Proseminar in Cognitive Neuroscience

PSYC 421 Principles of Psychophysiology

PSYC 437 Cognitive Neuroscience Laboratory

### *Clinical/Community:*

PSYC 402 Introduction to Clinical Neuropsychology

PSYC 546 Intervention & Assessment

### *Cognitive:*

PSYC 450 Cognitive Psychophysiology

PSYC 503 Categories and Concepts

PSYC 514 Cognitive Science

PSYC 518 Experimental Psychology of Human Learning

PSYC 523 Problem Solving & Cognitive Skills Acquisition

PSYC 525 Psycholinguistics

### *Developmental:*

PSYC 423 Language Acquisition

PSYC 462 How Children Think

PSYC 465 Personality and Social Development (usually taught by EPSY)

PSYC 496 Early Social Cognition

PSYC 524 Developmental Psycholinguistics

PSYC 536 Developmental Cultural Psychology

PSYC 537 Development and Psychopathology

PSYC 540 Social Development (Cross-listed with Ed Psych 530)

PSYC 569 Cognitive Development

\*\*Note: 400-level courses are best chosen by persons without previous background in the area.

### *Quantitative:*

PSYC 435 Mathematical Formulations in Psychological Theory

PSYC 484 Ethical Practice of Statistics

PSYC 490 Laboratory in Psychological Measurement and Test Development

PSYC 509 Psychological Scaling: Multidimensional Methods

PSYC 534 Models of Decision and Choice  
 PSYC 588 Covariance Structure and Factor Models

*Social-Personality-Organizational:*

I/O Course:

PSYC 530 Foundations of Industrial-Organizational Psychology

Social Courses:

PSYC 551 Theory in Social Psychology

PSYC 552 SPO Methods

Personality Course:

PSYC 567 Personality Assessment

*Visual Cognition & Human Performance:*

PSYC 504 Theories of Attention

PSYC 516 Perception

Plus an additional 500-level course taught by a faculty member in the division.

You should consult with the coordinator of those divisions offering more than one general course for help in choosing the most appropriate alternative for you.

**The Teaching Requirement**

In order to provide classroom teaching experience, the department requires that sometime during your graduate career you teach either two class sections (a 50% TA) for one semester or one class section (a 25% TA) for two semesters. To satisfy the teaching requirement, a teaching assistantship must require you to prepare and present the course content to the students in a face-to-face setting. It is also very important that you participate in a major way in the process of evaluating the students' performance in the course. Your faculty supervisor will try to insure that, in meeting the teaching requirement, you experience the entire range of activities needed to conduct a class.

The following courses provide the requisite activities and, under ordinary circumstances, are approved for meeting the departmental teaching requirement:

Lecturing

100/105\*  
 201  
 216 (Small sections only)  
 238  
 239\*\*

Supervised Labs

103	235+	301	311	331
332	333	334	340/341\$	350
358~	363#	406	407	429
490	593BC^			

\*Does not apply to Thomas Srull's section of PSYC 100, or the assistant position for the large section

\*\*Does not include grader position

+When the ALEKS instructional program is used, only instructional TAs will receive teaching credit.

\$When supervised by a Clinical/Community Division faculty member or other appropriate course

supervisor within the department.

~Two semesters at 17% satisfies the teaching requirement

#One section at 50% satisfies the teaching requirement

^One semester at 25% satisfies the teaching requirement

Special requests to use other TA assignments to fulfill the teaching requirement can be made to the Associate Head for Graduate Studies and Graduate Education Committee. It is highly recommended that students seek prior approval for any means of fulfilling the teaching requirement other than those explicitly specified above. **Please note that approval of these special requests is not guaranteed.** You should allow sufficient time in your academic career to TA in one of the courses listed above, in the event a “special” TA assignment is not approved to meet the department teaching requirement.

Students are required to attend a mandatory orientation/training session that is provided by the University for teaching assistants prior to their first term of service as a TA. These training sessions are scheduled shortly before the beginning of each semester. If you will need to attend such a session, check the dates before making plans about when you will be away from campus. No make-up sessions are scheduled and you will simply not be able to be a TA if you do not participate in such a session. It is your responsibility to make sure you satisfy this requirement.

Students may ask their Division Coordinator to be allowed to teach a course during one of the Summer Sessions, which can be another way to satisfy the teaching requirement. However, only courses that get large enrollments during the academic year are offered during the summer, and only one section of each of those, so there are very few summer teaching positions available, and Division Coordinators are responsible for distributing them equitably if there are multiple requests from graduate students. Preference is given to advanced students who have served as a TA more than once for the course they'd like to teach. The summer teaching schedule is determined many months in advance, so pay attention for email from your Division Coordinator asking if anyone is interested in summer teaching.

## **The Master's-level Thesis**

The department requires you to complete a master's-level thesis while you are here. The main purpose of this requirement is to give you practical experience in the design, implementation, interpretation, and written description of a research project prior to undertaking doctoral-level research. It also provides an early opportunity for recognition by making it possible for you to present a paper at a professional meeting and/or submit one or more journal articles for publication. (Also see your division section for specific related requirements.)

If you have already completed a master's-level thesis before coming to Illinois, that thesis may satisfy the department's requirement. The previous master's thesis must be reviewed and approved by a two-person review committee and the Associate Head for Graduate Studies. See the Graduate Student Office (307 Psychology Building) for the appropriate signature form.

If you have not already completed a master's-level thesis, you have four ways of satisfying the department's thesis requirement:

1. Take PSYC 599 (thesis research) and conduct a research project. The thesis will then be a report on this project, to be prepared upon the successful completion of the project: The thesis will be submitted to the Graduate College and you will be awarded a master's degree. You will, of course, also fulfill the department's thesis requirement.

If you do not wish to receive a master's degree, your thesis need only demonstrate your ability to conduct a research project and to report in writing on your work. It is not necessary to await the successful completion of the work to meet the department's thesis requirement. If you elect this route, you may choose one of other three options:

2. Take PSYC 590 (Individual Research) and write a report of the research project.
3. Do a research project without taking any academic credit for it and write a report.
4. Do a research project that relates to your research assistantship with a faculty member. If you choose this option, you must demonstrate that the design and running of the project is, in large measure, your own work and not just an execution of your supervisor's instructions, and write a report.

You should choose one of the four options above before beginning the research project.

The distinction between the master's (MA) degree and the departmental master's-level thesis requirement may be confusing. The difference between the two is that a degree is awarded for a completed contribution to knowledge. Thus, the degree-earning thesis cannot be written until all aspects of the work are completed and firm conclusions can be drawn. On the other hand, the department's master's-level thesis requirement is designed as a didactic tool and as a means of evaluating your progress in developing research skills. Thus, an interim report on an ongoing investigation could suffice.

No matter which option you choose, you must set up a two-person thesis committee (consisting of a chair/director and a second reader) which will approve your research proposal, supervise data collection, and evaluate the completed project as fulfilling the thesis requirement. Please contact the Graduate Office with a finalized title for preparation of the thesis approval form.

- The chair of the committee must be a member of the Graduate Faculty and affiliated with the Psychology Department. (A zero-time appointment is not acceptable as affiliation.)
- The second reader must be a faculty member, but may be from outside the department.

*Planning the master's-level thesis.* The research plan is worked out in discussion with your research advisor. Most commonly, the problem grows directly out of the advisor's past research. Sometimes, the study is set up as a simple replication of an earlier study, the results of which were questionable or unclear. Such studies illustrate the fact that the purpose of master's-level research study is not so much to have you generate research ideas as it is to give you experience in research and to help you determine where your real research interests lie.

*Data collection.* An important phase in any research work is, of course, data collection. Insofar as is possible, the master's-level study should offer you an opportunity to gain first-hand experience with collecting data, thereby giving practice at such data collection skills as interviewing participants, instructing participants, handling animals, preparing questionnaires, and the like.

On certain problems where it is unrealistic to expect that you will be able to collect the raw data, but where you can work from someone else's protocols, you will be expected to develop skills associated with data extraction, evaluating the reliability of such extracted data, etc.

*The Master's Thesis.* If you plan to submit your thesis to the Graduate College for a master's degree, it must be written up in accordance with the "Requirements for Preparation of Theses" described later in this handbook. Submit an electronic copy to the department for format review. The department will let you know when you can submit to the Thesis office. Be sure to check thesis deadlines (both departmental

and Graduate College) in the Graduate Student Office (307 P.B.) or on the department calendar.

If you are not seeking a master's degree, you need only submit one copy of your report to the department.

## The Qualifying Exam

To take the doctoral qualifying examination, your master's-level thesis must be complete. The doctoral qualifying examination should be taken no later than the semester following the accumulation of 56 hours of graduate credit and must be passed before taking the preliminary orals. If you came to the department with a master's degree, check with your Division Coordinator concerning the timing of this examination. You may take the qualifying examination prior to earning the 56 hours of credit, and are in fact encouraged to do so. Students who have not passed their preliminary examinations within five years of passing their qualifying examinations will (except under unusual circumstances) be expected to retake and pass their qualifying examinations prior to taking their preliminary examination. The form of the qualifying examination is determined by each division's faculty and varies considerably from one division to another. See the sections on Divisional Requirements for the Doctoral Degree for additional details in all cases.

*Behavioral Neuroscience:* Written exam followed within the week by an oral exam

*Cognitive Neuroscience:* Written exam followed one week later by an oral exam

*Clinical/Community:* Written Exam and Oral Presentation

*Cognitive:* Written exam

*Developmental:* Critical review paper or written exam

*Quantitative:* The Quantitative Division requires two written "quals". Both of these are usually comprehensive critical review papers, e.g., on topics directly related to the dissertation. Qual topics may be quantitative/technical in nature or may be substantive with a clear emphasis on quantitative approaches to that topic. A two-person committee, selected in consultation with the academic advisor, evaluates the qual papers. At least one member of this committee must be a faculty member in the Quantitative Division.

*Soc-Pers-Org:* Full day, "in-class" exam

*Vis Cog & Hum Perf:* Written exam

Notify your advisor and your Division Coordinator that you intend to take some form of qualifying exam as soon as that decision is made. Please have your advisor notify the Graduate Student Office (307 P.B., 333-2169) about the results of the exam.

## Forming the Doctoral Committee

This committee is comprised of at least five members. You choose it in consultation with your doctoral thesis advisor. Most members are likely to be members of your division. The others will be faculty in other departmental divisions, or if appropriate, in other departments. The committee should be constructed so that experts in all aspects of your study will serve as members and so that at least one member represents a perspective outside your own division. Your committee chairperson (who may also be your doctoral thesis advisor) is usually, but need not be, from your own division's faculty. The Department Head or the Associate Head for Graduate Studies must approve the composition of the doctoral committee. If changes in the approved committee become necessary, written concurrence from

any member being replaced, along with the revised committee list, must be presented to the Associate Head and Graduate College for approval.

In order to meet Graduate College Guidelines, the committee must meet the following guidelines:

At least three voting members of a committee must be members of the Graduate Faculty and at least two must be tenured. If there are more than three voting members on the committee, a majority must be members of the Graduate Faculty.

The chair of the committee must be a member of the Graduate Faculty and have an appointment to the University of Illinois faculty, including Graduate College faculty members on leave, or with a zero-time appointment or emeritus status. The Director of Dissertation Research, if different from the chair, need not be a member of the Graduate Faculty.

A person who is not a member of the Graduate Faculty, but who is especially qualified to participate in an examination, may be appointed a voting member of the committee. The person's CV and a brief description of their qualifications to be on the committee must be submitted.

Please notify the Graduate Studies Office (307 P.B., 333-2169) when you have formed the committee so the appropriate forms can be filed with the Graduate College.

## **The Doctoral Dissertation**

Your dissertation advisor and your doctoral committee carry out supervision of Ph.D. research. The usual procedures to be followed in preparing to carry out the research are:

- a. Prepare a written statement of your dissertation proposal in consultation with your doctoral committee advisor. The length of the statement will vary with the nature of the problem, the hypotheses under investigation, the design of the study, and proposed methods of statistical analysis.
- b. At least two weeks before your preliminary orals you should distribute copies of the proposal to your doctoral committee.
- c. Set up a meeting with your doctoral committee to review the proposal and decide on any changes. As a general rule, this meeting will constitute the Preliminary Oral Examination (see next section).

The doctoral committee serves in an advisory capacity throughout the course of your research on the problem. It is convened whenever departures from the approved design are contemplated or if other special circumstances make a meeting desirable. Of course, the members of the committee are available for consultation and discussion, as your project progresses.

## **The Preliminary Oral Examination**

This examination is administered by your doctoral committee after you have (a) completed the master's-level thesis, (b) passed the doctoral qualifying examination, and (c) accumulated 64 graduate hours.

Your doctoral committee determines the form and content of this examination. Notify the Graduate



Student Office (307 P.B., 333-2169) of your intention to take the preliminary examination and all relevant details at least one week prior to the preliminary oral examination so the appropriate forms can be requested. You will be responsible for contacting committee members and setting up a meeting time and room. The Graduate College requires you to be registered for the entire academic term in which the preliminary exam occurs.

You may begin your doctoral dissertation research after passing the preliminary oral examination. A Preliminary Exam Result (PER) form (Pass/Fail/Deferred) must be completed by the committee and returned promptly to the Graduate Student Office.

### **The Final Oral Examination**

The final examination is essentially a defense of your dissertation research and its write-up. You should submit a complete draft of the dissertation to each committee member at least two weeks prior to the examination. Your thesis committee administers the oral examination. Two weeks prior to the examination, you must provide the Graduate Student Office with a title so that a general announcement of the time and place of the examination can be made inviting all interested faculty and graduate students to attend. A Final Exam Result Form (Pass/Fail) must be completed by the committee and returned promptly to the Graduate Student Office.

If the dissertation is approved, all members of the committee and the Department Head (or Associate Head) sign a Dissertation Approval Form. Remember to review Graduate College regulations (<http://www.grad.illinois.edu/graduate-college-thesis-requirements>), in addition to those given in this Handbook, regarding the dissertation and its submission.

Format approval is given in the Graduate Studies Office (307 P.B.), Send an electronic copy for review. Be sure to check for dissertation deadlines (both departmental and Graduate College) on the calendar or by contacting the Graduate Studies Office.

If more than one year elapses between a student's passing his/her final examination and depositing the dissertation with the Graduate College, the dissertation must be accompanied by a statement from the Department Head to the Dean of the Graduate College and a petition. The statement and petition should recommend acceptance on the basis that the thesis is essentially the one previously defended and the late award of the degree is appropriate.

## Other Requirements

In addition to the departmental requirements previously listed, each division/program has its own requirements, which apply only to students in that division/program (see pages 25-43). Each division has a weekly “brownbag” research meeting (which has somewhat different names in different divisions), which all students in the division are required to register for (PSYC 598) every semester when they are on campus. The number of credit hours to register for varies from 0 to 4, depending on division and on whether you will give a presentation in the meeting. Consult your Division Coordinator to find out how many credit hours to register for.

The following flow chart summarizes the material presented above:

1	2	3	4	5
Master's Thesis Research	Qualifying Exam (or Equivalent 56 hrs of Coursework)	Preliminary Oral Exam	Dissertation Research	Final Oral exam; 96 hours of coursework

Including other departmental requirements:

Divisional Core Courses  
Quantitative Methods (PSYC 406-407 or other allowed course sequence)  
Distribution Courses  
At least 2 Seminars  
Teaching Experience  
Minor



# DIVISIONAL REQUIREMENTS FOR THE DOCTORAL DEGREE

## Behavioral Neuroscience Division

### Courses

Courses taken by Behavioral Neuroscience Division graduate students (beyond departmental requirements) are tailored to the interests of the individual student and usually include courses in other departments. However, every semester, all graduate students in the division must take PSYC 598 BN.

### First year project

In the first year, all students must do a laboratory research project (the First Year Project). The student's advisor supervises this project. By the end of the first month of the second semester of the student's Second Year, the student must provide the faculty of the division with a written report of the project and undergo a one-hour oral examination based on the written report. The report must be submitted to the faculty at least one-week prior to the oral exam. It should not exceed 20 pages of text (exclusive of References, Tables, and Figures), and its format should correspond to that typical of journals in the student's field. It should be typed double-spaced with a 12 pt. font. The first year project may form the core of the master's thesis. Satisfactory performance on the examination is required for the student to continue in the program and proceed to complete the requirements for the Master's Degree, the qualifying exam, and the Ph.D. See section on Qualifying Exam for details on that requirement.

### Qualifying exam

1. All students will be expected to have knowledge of all areas of behavioral neuroscience equivalent in depth to the coverage in a good behavioral neuroscience textbook (such as that used in PSYC 210).
2. Students with the consent of their advisors will select a Qualls Committee of four members. Students must provide a brief list of topics in which they have specialized, and with which they will be familiar at the time of the examination. These will help guide the faculty in writing questions. Students may also wish to have one-on-one meetings with their committee members to discuss potential topics for the examination.
3. The student takes a written exam followed by an oral exam. For the written exam, each committee member supplies two questions and the student must answer one from each committee member during a five hour closed book session. The oral exam should be scheduled to take place within 10 days of the conclusion of the written exam. The oral exam will center on the questions, both answered and skipped, that were in the written exam.

## Clinical/Community Division

### *Typical Coursework*

Divisional requirements include didactic instruction, applied training, the qualifying exam, and specialty coursework. The following policies and sample course plan apply to clinical-community students:

		Expected Timetable
<i>First Year</i>		
Fall:	406	Statistical Methods I (4 Hours)*
	538	Intro to Clin-Comm Psych I (4 Hours)**
	539	Intro to Clin-Comm Psych II (4 Hours)
	532	Intro to Clin-Comm Psych III (4 Hours)
	574	Microskills & Professional Standards I (2 hours)
	575	Clinical/Community: Diversity (2 hours)
	598CC	Divisional Brownbag Seminar (0 hours)
		Select an academic curriculum advisor
		Select a research advisor
		Become involved in research
Spring:	407	Statistical Methods II (4 Hours)*
	545	Intro to Clin-Comm Psych IV (4 Hours)
	563	Res Methods: Clin/Comm Psych (4 Hours)
	574	Microskills & Professional Standards II (2 hours)
	590	Independent Research (3 hours)
	575	Clinical/Community: Diversity (2 hours)
	598CC	Divisional Brownbag Seminar (0 hours)

\*See Department Statistical Methods Requirement for details regarding other course sequences that will satisfy this requirement.

The purpose of PSYC 590 in the Spring semester is to facilitate students' obtaining a significant amount of research experience in the first year. This work may grow out of designs developed in the introductory courses or research conducted during that year, but the student is free to explore new directions as well. By default, the 590 results in a paper suitable as a master's-level thesis proposal, although the student is free to change research advisors and is also free to pursue a master's-level research project different from that developed in the 590. Other alternatives for fulfilling the 590 requirement include the completion of a research project or a scholarly review paper. The exact form can and should be worked out with the advisor.

Enrollment in 598CC is required of all clinical-community students every semester. Each student is expected to make at least two research presentations in 598CC during their residency in the graduate program.

*Second Year*

<u>Fall:</u>	546	Intervention & Assessment (Practicum)
	567	Personality Assessment (or Spring, depending on when offered)
	598CC	Divisional Seminar
		Other courses to fulfill departmental requirements
		Continue master's-level independent research
<u>Spring:</u>	546	Intervention & Assessment (Practicum)
	598CC	Divisional Seminar
		Other courses to fulfill departmental requirements
		Continue/complete master's-level independent research

The 546 courses each year are normally organized as a two-semester sequence, rather than two unrelated experiences. Enrollment in 546 is not required in any specific year, but virtually all students enroll in their second year. The Division manages a 546 selection process which the DCT will introduce to students in the Division orientation.

Ideally, the master's project (see Handbook section on the master's-level thesis as distinct from the master's degree) will be completed during the second year. Research involvement is expected to be continuous from the first semester onward, beyond what is required to complete the master's and doctoral projects. (Indeed, students should not assume that two projects done to meet minimal master's and doctoral requirements will provide adequate research training. Just as most students do more than the required amount of clinical practica, they are very strongly encouraged to gain additional research experience.) It is important to get involved in research as early as possible. Experience shows that it is particularly important to begin research and to complete the master's in a timely fashion, to avoid delaying completion of the entire program.

Students who teach 238 (Abnormal) or 239 (Community) in their second year or who are definitely scheduled to teach either in their third year will be exempt from having to write an answer to the psychopathology/problems of living question on the qualifying exam, given before the beginning of the third year. Although one semester of teaching 238 or 239 will qualify you for the exemption, note that in practical terms we will give precedence to students who are able to commit for two semesters.

*Third Year*

<u>Fall:</u>	546	Intervention & Assessment (Practicum)*
		Coursework as needed or elected
	598CC	Divisional Seminar (0 hours)
		Continue research
<u>Spring:</u>	546	Intervention & Assessment (Practicum)*
		Coursework as needed or elected
	598CC	Divisional Seminar (0 hours)
		History and Systems**
		Continue research

\*In the third year, two units of Psychology 546, organized as a two-semester sequence, must be completed in addition to the two units normally taken during the second year and must complement the first practicum and broaden the student's training. These are most often taken during the third year but may be delayed (546 taken during the summer does not count toward this requirement).

## **\*\* History and Systems**

Clinical/Community students are required to take a history and systems of psychology course. This can be satisfied using the same format via independent student described for the Breadth Courses (see below) or students can elect to take EPSY 590NH offered in the Educational Psychology Department. This course can also be completed during or beyond to the 4<sup>th</sup> year, and the timing should be discussed with one's advisor.

### *Fourth Year and Beyond*

Ongoing research is typically supplemented by additional clinical practica, occasional seminars, and remaining departmental requirements (e.g., teaching and courses for minor, breadth, and distribution).

### *Ongoing Practicum Courses*

While the division has no policy regarding practicum credit above the minimum requirement, most students take considerably more than is required. Within the constraints of other program needs of the individual, the division fully supports this. Additional practica are particularly valuable when they increase an individual's breadth of clinical experience. Furthermore, internship admissions committees typically attend to both quantity and diversity of clinical training experiences. However, the type and amount of practica should be a function of the student's educational goals. The student should weigh all of these considerations in planning each semester's course load with the advisor.

### *Doctoral Prelim and Final Defense*

Formal steps leading to the dissertation consist of the preliminary exam (oral defense of dissertation proposal), writing the dissertation thesis, and the final dissertation oral defense. Should a student want to leave campus to pursue research or internship appointments, the doctoral prelim must be scheduled before applying, and passed before the final date on which applications can be withdrawn. Ideally, the prelim is passed before applications are submitted. We strongly encourage scheduling the final oral before departure.

A predoctoral internship is generally required for any student who wishes to become a practitioner of clinical psychology and is a requirement of the program. Students are advised in choosing internship experiences appropriate to their individual career plans, but we strongly recommend pursuing an accredited internship given current trends in the field.

### *Breadth Coursework*

Students will complete 4 independent study courses involving immersion in content areas of Biological, Cognitive-Affective, Developmental, and Social Psychology by the end of their 5th year of residence in the program. The official courses are: (1) Clinical-Community: Biological (PSYC 576); (2) Clinical-Community: Cog-Aff (PSYC 577); (3) Clinical-Community: Developmental (PSYC 578); and (4) Clinical-Community: Social (PSYC 579). Students may only enroll in these courses when they are very close to accumulating 45 hours of learning activities within the domain covered by the course (see below), with the provision that at least some attention is paid to all of the major subdomains of the topic. This could occur before the fourth year, but it is likely that the accrual of these hours will occur over the first three years of doctoral training (and beyond given particular students experiences). The instructor will grant permission to enroll in the course after she/he has determined that the student: (a) has devoted at least 45 hours of effort to learning about the domain covered by the course; (b) has demonstrated sufficient breadth of coverage of the domain covered by the course; and (c) is prepared to write an independent

research paper. This is determined by the instructor prior to enrollment. The course is intended to help students review what they have already learned, expand the breadth and depth of their knowledge base, and to integrate that knowledge with clinical/community psychology – this is achieved largely, though not exclusively, by writing a paper.

**Learning activities.** The following is a non-exhaustive list of types of learning activities that can be used to accumulate the 45 needed hours for each of the courses: (a) class sessions and readings in all courses students may take (including those in the Clinical/Community Introductory Sequence); (b) attending relevant brown bags (both Clinical/Community brown bags and brown bags in other divisions in the department); (c) attending talks (within the department, the university, and at conferences); (d) taking courses specifically in that content area (e.g., Developmental Psychology); and (e) independent readings. Learning activities should involve at least some engagement in all subdomains within each of the courses (e.g., for Biological, must have at least some coverage of Neuroanatomy, Cognitive Neuroscience, etc. — engaging in learning activities within only one subdomain would not meet requirements). The course instructor for each of the courses will be the ultimate judge of whether educational experiences have been sufficient in quantity and breadth and will systematically assess student competencies as part of one-on-one meetings and the written work the student completes.

**Create a portfolio.** Beginning in their first semester in the program, students are expected to keep a running list of such learning activities for each class in the form of a portfolio or spreadsheet (a template for these can be downloaded from the Division U of I Box to which all division students are invited). Progress on the completion of the required number of hours of learning activities for each course is also reported in the progress reports that students prepare each semester and discuss with their academic advisors.

**Enrolling for the courses.** Once the student is very close to completing 45 hours of engagement (e.g., at least 35 hours) in the area, they must meet with the course instructor to present their portfolio in progress (e.g., at least some engagement in all subdomains) and be approved to enroll in the course. The course would involve demonstrated mastery of knowledge in the breadth area through meetings and written work (e.g., a single paper to be agreed upon by the instructor and the student—see below). Passing the course would involve: a) meetings to be determined in consultation with the instructor, b) creating an independent study plan regarding exploration of the domain; and c) achieving a grade of B or better on the required paper. The meeting schedule and study plan will be customized for each student based on their previous background/expertise in the domain.

**Paper requirement.** A paper is required for each course, and submitted during the semester in which the student completes the required number of hours and registers for the course. The topic of the paper within each breadth domain course should be decided in consultation with the course instructor. The paper/essay must go beyond the breadth domain to address the relevance of the breadth domain to clinical/community psychology, ideally to both research and professional/applied activities. Thus, the paper should have an integrative and translation element that applies the breadth area to the students' primary areas of interest and emerging expertise.

### *Minor*

Students should develop expertise in some area outside of clinical/community psychology. This is achieved largely (though not exclusively) through completion of a minor, as indicated by departmental requirements.

### *Student Advising*

Divisional advising of students occurs through two principal mechanisms, the academic advisor and the semi-annual student guidance meeting.

The Director of Clinical Training assigns advisors to the first-year class prior to the start of the first semester. Before the end of the first semester, each student selects an academic curriculum advisor, with

the agreement of the new advisor. The academic advisor is responsible for general course and career advising, representing the students to the division and the department, signing registration forms, etc.

The formal academic advisor role is distinct from the more informal role of research supervisor. In some cases, a single faculty member serves in both roles for a given student, but this need not be the case. Furthermore, while each student has one academic advisor, the student may be involved in research with more than one faculty member simultaneously or serially. The division does not advocate an apprenticeship model, though individual students and faculty are welcome to negotiate such a relationship and often do. Students are free to change academic advisors at any time, in consultation with old and new advisors. The division and the department must be informed of each student's academic advisor.

Near the end of both fall and spring semesters, the faculty of the division hold the student guidance meeting to review each student's progress. For first year students, there is also a mid-semester progress review in both fall and spring semesters. It is assumed that each student and his or her advisor will have met shortly before the meeting to do their own review-to discuss any requests the student may wish placed before the faculty (e.g., plans to take the qualifying exam), to note significant accomplishments, to discuss any problems, etc. At the guidance meeting, the advisor summarizes the student's status in the program. Faculty and other supervisors report on the student's performance, and a consensus is reached on feedback to be given the student.

Student and advisor may meet individually to discuss the feedback, and a formal guidance letter is written by the advisor, co-signed by the Director of the Clinical Training, and placed in the student's file in the Graduate Student Office. (In the very rare event that a student's difficulties are such that their continuation in the program is in jeopardy, the Director or Associate Director of Clinical Training will attend the feedback meeting between student and advisor.) In the spring students are asked to file a form with the Graduate Student Office to acknowledge that they have received a letter. There is also a process in place for students to provide feedback or ask questions about their letter (see the Division Policy and Procedures Manual for details).

### *Qualifying Exam*

Qualifying exams are completed via written exam both in timed and multi-day formats and via oral presentation. The qualifying exam components cover Ethics/Professional Issues; Research Methods; Assessment and Intervention and Psychopathology/Problems in Living. Students should consult with the Division handbook for complete details regarding the exam components and process. The faculty expect that a student plans to take the exam on schedule unless the faculty has explicitly approved an alternative arrangement. (Alternatives are not routinely approved and are not encouraged. But a student, through the academic advisor, can always request a special arrangement concerning anything in the program.) Some exam components can be satisfied in more than one way. For example, the psychopathology/problems of living question will be waived if the student teaches Abnormal Psychology (238) or Introduction to Community Psychology (239) in their second or third year. Students are expected to carefully review the Division Policy and Procedures Handbook and work closely with their academic advisor to prepare for the qualifying exams.

### *Progress in Research and Scholarly Activities*

The faculty carefully tracks the progress of students in their research and other scholarly activities including practica. Students are expected to be engaged in various components of the research process (conceptualization, design, data analyses, writing) throughout their time in the program, not limited to work on the masters and dissertation projects. Students are expected to show competence in research skills including the writing and dissemination of scholarly work. Teaching and practice of scholarly and technical writing is a fundamental skill required for success in most career directions for which the



program prepares students. Thus, students are expected to record their engagement in scholarly writing in the semester progress charts they complete before each semester's Student Guidance meeting. Students also provide information about their experiences with scholarly writing in the student's annual self-report progress form. This provides students the opportunity to review what they think is going well and whether they think they need more mentoring or experience in the writing process. Finally, a formal evaluation of students' engagement in writing and writing competence will be conducted once a year in conjunction with the Student Guidance meetings, using a rating form designed for this purpose. Students are expected to progress sufficiently each semester so that a clear trajectory toward mastery of scholarly writing skills is evident. Students are expected to have achieved a suitable level of scholarly and technical writing competence before completing the Ph.D.

### *Applied Competency*

The faculty carefully tracks the progress of students in their applied work at the Psychological Services Center, in the community, or as part of their research (if applicable). We expect students to show competency in research skills as well as applied skills. The applied training in our program is organized to be sequential and graded. Students take Microskills and Professional Development during the first year in the program to receive basic training in listening, empathy, and reflection skills, as well as exposure to professional ethics, and the literature on supervision and consultation. Practicum courses taken in subsequent years supplement this basic training to build specific and more sophisticated skills in assessment, therapy, and community work. The training goals in each practicum are tailored to the student's current skill level. A student's applied competency is evaluated once a year by faculty supervisors at the Student Guidance meeting, using a rating form designed for this purpose. We expect students to progress sufficiently each semester so that a clear trajectory toward mastery of applied skills is evident before they apply for internship.

### *Student Self-Assessment and Faculty Competency Assessment*

In addition to the global competency assessments described regarding scholarship and applied work, students are asked to complete a comprehensive competency self-assessment based on APAs Health Service Psychologist Competencies. Faculty also review each broad domain covered in the assessment and indicate whether students are "on track" to meet the competency or whether improvement is needed. This complete assessment will be completed each spring. Students will review their self-assessment with the advisors. Advisors will review the faculty assessment in consultation with the full faculty at the Student Guidance Meeting (SGM) and any areas needing attention will be highlighted in students SGM letters. Advisors will review any areas needing improvement with advisees in a meeting following the SGM.

### *Miscellaneous Policy Notes*

With the support of the academic advisor, a student may petition the division for waiver of a division policy or substitution of an alternative means of conforming to a division policy. Such a request must be based on a strong rationale and is not routinely granted.

Conversely, while the division endeavors to avoid changing requirements for students after they enter the program, circumstances occasionally require it. The permanence of the policies enumerated here cannot be guaranteed.

There is no program requirement for summer terms. (Note that the departmental guarantee of financial support does not include paychecks during summer months.) However, summer can be a very productive time, with course and other demands minimal. Thus, continued practicum and research involvement is

typical during each summer.

## Cognitive Division

Students must attend and participate in the divisional Brownbag Seminar PSYC 598COG every semester (for 0 credit hours) and in the Cognitive Professional Seminar PSYC 593CPS once (2 credit hours), during their first two years. All students are expected to present their research in the division Brownbag. The Professional Seminar will acquaint incoming students with current faculty research, professional practices, and ethics.

Students are strongly encouraged, although not required, to acquire computer skills necessary for the use of computers for data acquisition and analysis.

Core courses: All students will be required to take at least three of the following core courses, preferably early in their graduate studies:

PSYC 450	Cognitive Psychophysiology
PSYC 503	Categories and Concepts
PSYC 514	Cognitive Science
PSYC 518	Experimental Psychology of Human Learning
PSYC 523	Problem Solving & Cognitive Skill Acquisition
PSYC 525	Psycholinguistics
PSYC 593GD	Connectionist Models of Cognition

Active involvement in research is considered to be the students' primary responsibility. The following requirements are designed to encourage students to become involved quickly and actively in both independent and collaborative research in their areas of interest.

1. First year research project. Each student will complete a research project during the first year. The written report is due no later than 5:00 pm on the first day of classes in the fall semester of the student's second year. An oral presentation is made during a bag lunch seminar early in the Fall semester of the second year. A divisional evaluation committee determines whether the written report is satisfactory. The committee must contain no fewer than two faculty members, at least one from the division, and is chosen by the student and the student's advisor.

Except in unusual circumstances, continuation to the master's degree requires satisfactory completion of the first year requirement at the prescribed time.

2. Master's-level research. The department has a master's level thesis requirement. Each student is expected to complete a master's-level research project within the first two years of graduate training. In many cases, this research will be a continuation of the first-year project. This research must be written up and approved by two division faculty members, chosen by the student and the student's advisor. If a student has completed a master's thesis at another institution, it may satisfy this requirement if approved by the Division Coordinator and the Department Head.
3. Other research. Students are expected to have published several papers by the completion of their graduate training, either as independent authors or collaboratively. Students will be encouraged to conduct their research either in collaboration with or under the direction of several different members of the division during the course of their training.

### *Qualifying Exam*

The doctoral qualifying examination will typically be completed within the third year of graduate work. To ensure breadth, four faculty (at least two from within the division) must be involved in the preparation and grading of the exam. These faculty will be chosen by the student in consultation with his or her advisor, but the committee must be approved by the Division coordinator to ensure adequate breadth.

For each committee member, the student will develop a reading list for a topic on which he or she will be examined. In normal cases, the list will consist of around 12-15 articles, though shorter or longer lists may be appropriate for some topics. (However, the student's advisor should ensure that the total amount of reading for the exam does not deviate too far from the expected.)

The student will be tested on this material in a 72-hour take-home exam in which they may consult the readings, notes, or any sources they wish. Each examiner will provide short questions of which the student will answer one in 1-3 single-spaced pages. (Thus, the student will write 4 answers during this time.)

Each faculty member will assign a pass/fail grade to the answer to their question. Failing answers will be reviewed by the whole committee. Students who fail the exam or any part of it will have one opportunity to re-take the failed part(s). Examiners have the option of composing new questions for the make-up exam.

### *Teaching*

Before they can fulfill the department teaching requirement, students in the division must successfully complete the campus TA orientation (offered shortly before the beginning of the fall and spring semesters). See the section on the department teaching requirement.

## Cognitive Neuroscience Division

### Classes

All students will attend and participate in the division brownbag seminar (PSYC 598 BC), held weekly every semester, where faculty and graduate students in the division present and discuss their research.

*Core courses:* Two core courses are required of all students in their first three years:

PSYC 598 PBC – Proseminar in Cognitive Neuroscience (survey course that gives broad coverage to various domains of cognition and their neural bases, as well as of various methodological approaches in cognitive neuroscience)

PSYC 437 – Cognitive Neuroscience Laboratory

OR

PSYC 421 – Principles of Psychophysiology

*Topical/substantive classes:* In addition, all students will take at least 2 courses on any of the topical/substantive areas of cognitive neuroscience (e.g., language, attention, memory, aging, emotion, and so forth) during their graduate career. One of those courses should emphasize cognitive issues and the other should emphasize implementation in the brain. Classes that fulfill this requirement need not be limited to those offered within the division.

For example, in the area of memory, some possible courses include:

PSYC 403	Memory and Amnesia
PSYC 414	The Brain, Learning, and Memory
PSYC 518	Exp Psych of Human Learning

In the area of vision and attention, some possible courses include:

PSYC 453	Cognitive Neuroscience of Vision
PSYC 504	Theories of Attention
PSYC 516	Perception

*Methods classes:* It is recommended that students also take more specialized classes on at least 1 of the major methodological approaches or perspectives, e.g., fMRI, neuropsychology, psychophysiology, neuroanatomy, computational modeling, or eye movements. Classes need not be limited to those offered within the division.

Some examples of such classes that are currently offered include, but are not limited to, the following:

PSYC 402	Clinical Neuropsychology
PSYC 421	Principles of Psychophysiology
PSYC 437	Cognitive Neuroscience Laboratory
PSYC 450	Cognitive Psychophysiology
PSYC 496FG	Critical Thinking in Neuroimaging
PSYC 514	Seminar in Cognitive Science
PSYC 546	Intervention & Assessment (when focused on Neuropsychology)

## Research

*First-year project:* In the first year, each student is expected to conduct a research project, supervised by the student's advisor, and to complete a written report of the research project by the first day of the second semester of the second year. A committee of 3 faculty members (at least 2 of which must be in the division) will determine whether the written report is satisfactory. In addition, an oral presentation based on the work will be made during a bag lunch seminar early in the second semester of the second year.

*Master's-level research:* The department has a master's level thesis requirement. Each student is expected to complete a master's level research project within the first two years of graduate training. In many cases, this research will be a continuation of the first-year project. Successful completion of the master's requirement includes the preparation of an acceptable written report, approved by two divisional faculty members (including the student's advisor). For additional details, see page 20. Except in unusual circumstances, continuation to the master's degree requires satisfactory completion of the first year project requirement at the prescribed time.

*Other research:* Each student will go on to conduct independent research leading to a dissertation research project. Students are expected to present the results of their research at professional meetings, and to have published several papers, either as independent authors or collaboratively, by the completion of their graduate training. They are strongly encouraged to use multiple, converging cognitive neuroscience methods in their research.

## Qualifying exam

The qualifying exam should typically be completed by the end of the third year of study. It will be administered by a committee of 4 faculty members (at least 3 from the division), chosen by the student in consultation with his/her advisor and approved by the Division Coordinator. Students, in consultation with their committee, should construct reading lists for 4 topics, with each faculty member being the primary reader on one topic. The exam will consist of a written exam followed, once the first part has been passed, by an oral exam, to be administered one week later. In the written exam, the student will be asked to answer a subset of the questions from each faculty member. The oral exam will be limited to the content of the questions from the written exam, but will include the questions that were and were not answered on the written exam.

## Developmental Division

### *Requirements*

1. Core courses: Graduate students in the Developmental Division are required to take at least three core developmental courses (see below), either two social and one cognitive, OR two cognitive and one social (seminars do not fulfill this requirement):

PSYC 524	Developmental Psycholinguistics
PSYC 536	Developmental Cultural Psychology
PSYC 537	Development and Psychopathology
PSYC 540	Social Development (Cross-listed with Ed Psych 530)
PSYC 569	Cognitive Development
2. Students are expected to attend the Developmental Division's weekly research seminar (PSYC 598 DEV) every semester. In addition, students are expected to give a presentation in the seminar at least once every other year throughout their graduate career.
3. Research: Active involvement in research is considered the student's primary responsibility. Early in the first year, students will choose a research advisor.
  - (a) First-year research requirement. Students are expected to become involved in research during their first semester in the program, and to give a talk about their research at the end of their first year in the Developmental Division's weekly research seminar. These talks will be scheduled in the last weeks of the spring semester.
  - (b) Master's-level research. Each student is expected to complete a master's level research project within the first two years of graduate training. In many cases, this research will be a continuation of the research conducted during the first year. Successful completion of the master's requirement includes the preparation of an acceptable thesis as well as an oral presentation of this project in the Developmental brown bag seminar. The written document and oral presentation must be judged acceptable by at least 2 faculty members, one of whom is the student's research advisor.
  - (c) Other research. Students are expected to present the results of their research at regional and national conferences, and to have published several papers by the completion of their graduate training. Students are encouraged to conduct research in collaboration with more than one member of the division.
4. Qualifying examination: The doctoral qualifying examination should be completed within the third year of graduate training. The student will form a committee of at least two faculty members (usually the research advisor and another faculty member from the Developmental Division) and, in consultation with this committee, select one of two options: (a) a critical review paper; or (b) a written exam. For either option, the student will meet with committee members to develop a reading list for the topics on which he or she will be examined. The reading list should cover a broad area of developmental psychology. If the paper option is selected, the student should prepare a paper that integrates issues across the areas represented on the reading list. If the written exam option is selected, the student will be given a set of essay questions developed by the committee, and will have one week to prepare answers not exceeding 20 to 30 double-spaced pages in total (the precise page limit will be decided by the

qualifying exam committee).

5. Teaching: Every student must either (a) teach one 50% or two 25% sections of Psychology 216, (b) serve as a 25% teaching assistant in the faculty-taught section of PSYC 216 and teach their own 25% section of PSYC 216, (c) serve as a teaching assistant for one 50% section or two 25% sections of PSYC 363, or (c) teach one 50% or two 25% sections of Psychology 100. Except in unusual cases, students will serve as TA's in a faculty-taught section of Psychology 216 before they teach it their own.

### *Evaluation*

The developmental faculty meets at the end of each academic year to discuss student progress. Advisors then meet individually with their students to provide details regarding the evaluation.

### *Expected Timetable*

- First year:      Select a faculty advisor  
                      Become involved in research  
                      Present preliminary results/planned research at the end of the spring semester
- Second year:    Conduct Master's-level research  
                      Present results of Master's research, and turn in Master's thesis or  
                      report, before beginning the 3<sup>rd</sup> year
- Third year:      Begin planning dissertation research  
                      Select Qualifying exam committee and develop reading list in the fall  
                      Read for Qualifying exam  
                      Complete Qualifying exam before beginning the 4<sup>th</sup> year
- Fourth year:     Select dissertation committee  
                      Pass Preliminary oral exam early in the fourth year



## Quantitative Division

Each student is assigned a faculty member of the Quantitative Division as an academic advisor. The academic advisor guides the student's graduate program and writes his or her annual progress evaluation. The academic advisor is not necessarily the faculty member with whom the student is doing research.

Students in the Quantitative Division must satisfy the general Psychology Department and Graduate College requirements for number of credit hours, teaching, residency, master's and doctoral research, and preliminary and final oral examinations described elsewhere in this handbook.

### Specific Requirements of the Quantitative Division

#### 1. Coursework

Students who have completed similar courses elsewhere and wish to be exempted from one or more courses should submit course materials to the Quantitative Division Coordinator who will determine if those courses are comparable to the courses offered at the University of Illinois.

##### A. Statistical Methods: PSYC 406 and PSYC 407

Students must successfully complete PSYC 406 (Statistical Methods I) and PSYC 407 (Statistical Methods II), equivalent courses from another department at the University of Illinois or another institution, with a minimum grade of A-. Students who enroll in PSYC 406 or in PSYC 407 but do not earn an A- or better in the course are required to retake it.

PSYC 406 and PSYC 407 should be taken in the first year. The student's academic advisor and the Quantitative Division Coordinator must approve substitution of other courses for PSYC 406 and PSYC 407.

##### B. Core Courses

###### (1) Required:

PSYC 435 Mathematical Formulations in Psychological Theory  
PSYC 490 Measurement and Test Development Laboratory  
PSYC 594 Multivariate Analysis in Psychology and Education  
PSYC 596 Theories of Measurement II

###### (2) Elective: at least 4 of the following 7

PSYC 466 Image and Neuroimage Analysis  
PSYC 484 Ethical Practice of Statistics  
PSYC 509 Psych Scaling: Multidimensional Methods  
PSYC 534 Models of Decision and Choice  
PSYC 587 Hierarchical Linear Models  
PSYC 588 Covariance Structure and Factor Models  
PSYC 589 Categorical Data Analysis in Ed/Psych, or Stat 426  
PSYC 595 Theories of Measurement I

### C. Quantitative Division Seminars

Students must take two PSYC 593 Quantitative Division seminars (not to include the Quantitative Division Research Seminar aka "Quant Brown Bag", PSYC 598QUA) or seminars on quantitative topics offered by faculty outside the Quantitative Division. These may count towards the department requirement of two graduate seminars.

### D. Quantitative Division Research Proseminar

Students should register for the Quantitative Division Research Proseminar ("Quant Brown Bag", PSYC 598) every semester of the graduate career. First-year students and second-year students should register for 0 credit hours. Advanced students giving a full-session presentation at the seminar should register for 4 credit hours; advanced students giving a joint presentation or a half-session presentation should register for 2 credit hours; and advanced students not giving a presentation should register for 0 credit hours.

Students are expected to participate in this seminar by presenting research proposals, results of ongoing and completed research, practice job talks, tutorials, and other work likely to be of interest to members of the Quantitative Division. Attendance at this seminar is required. Students are expected to arrange their schedule such that they do not have teaching or course conflicts with it.

### E. Distribution Courses

Students must take at least one general graduate survey course offered by each of two divisions other than the Quantitative Division. See the section on "The Distribution Requirement" in this handbook for a list of permissible courses offered by each division.

### F. Minor Courses

Students in the Quantitative Division must take

- (1) a full minor consisting of 16 credit hours within another division of the Psychology Department or within a department outside Psychology (such as Statistics, Mathematics, or Computer Science), or
- (2) a split minor consisting of 8 credit hours within another division of the Psychology Department and 8 credit hours within a department outside Psychology, or
- (3) a split minor consisting of 8 credit hours in each of two departments outside Psychology.

A split minor within Psychology is not allowed. The student's academic advisor must approve the choice of a minor.

### G. Outside Courses

Students must take three advanced (400-500 level) quantitative courses offered in other departments (e.g., Mathematics, Probability, Statistics, Applied Statistics, Economics, Computer Science, Philosophy, Engineering). These should be basic courses that assist the student in developing the necessary skills for coursework and research in Quantitative Psychology. Typically, these courses are part of the minor.

The student's academic advisor must approve selection of these courses.

Most students in the Quantitative Division satisfy coursework requirements F and G by completing a master's (MS) degree in Statistics, Applied Statistics (usually with a specialization in Psychometrics and Behavioral Statistics), Mathematics, or Applied Mathematics. For more information about these degrees, please consult the Web pages listed below.

Statistics: <http://www.stat.illinois.edu/degrees/masters.shtml>

Applied Statistics: <http://www.stat.illinois.edu/degrees/applmasters.shtml>

Statistics with an Analytics Concentration: <http://www.stat.illinois.edu/degrees/msanalytics.shtml>

Mathematics and Applied Mathematics: <http://www.math.illinois.edu/GraduateProgram/>

## 2. First-Year/Second-Year Research Project

The purpose of this requirement is to help the student develop the professional skills necessary for research in Quantitative Psychology and to involve him or her in research as soon as possible.

During his or her first year, each student develops a research proposal for a theoretical or computational research project under the guidance of a Quantitative Division faculty member and presents it at the Quantitative Psychology Research Proseminar ("Brown Bag") near the end of the spring semester. Students must submit a short (one or two pages) written proposal by the end of the spring semester.

The completed research culminates in a written paper and a presentation at the Quantitative Psychology Research Seminar near the end of the spring semester of the second year. The written paper must be submitted by the end of the spring semester of the second year.

Theoretical projects should result in the creation of a new or enhanced statistical methodology or a new mathematical model and should demonstrate facility with statistical methods or mathematical modeling techniques, respectively. The written paper should provide an introduction to the methodology or model, a detailed development of the methodology or model, and an analysis and discussion of the findings.

Computational projects should focus on a statistical or mathematical modeling problem and be implemented in an environment designed for such work (e.g., MATLAB, R, S+). The project should demonstrate proficiency with the chosen programming language and include either a graphical user interface, calls to external routines in a compiled language, or advanced programming techniques. The written paper should provide an introduction to the problem being addressed, an overview of the implementation, documented running code with sample data, and notes on the use of the program(s). The notes should provide sufficient information for the running of the program(s), and be in a form that can be accessed immediately by a program user.

The faculty of the Quantitative Division provide feedback on the proposal, presentations, and written paper. Some students develop the first-year/second-year research project into a master's research project or a master's thesis; other students write a separate master's thesis.

## 3. Master's Research Project or Master's Thesis

The master's research project or master's thesis may be developed from the first-year/second-year research project, or may be written on a different topic.

The master's research project or master's thesis should resemble a journal article in depth and breadth but

include somewhat more introductory material. See the section on "The Master's-Level Thesis" in this handbook for more details. Ideally, the master's research project or master's thesis should be completed by the end of the third year.

#### 4. Qualifying Exams

The Quantitative Division requires two written "quals". Both of these are usually comprehensive critical review papers, e.g., on topics directly related to the dissertation. Qual topics may be quantitative/technical in nature or may be substantive with a clear emphasis on quantitative approaches to that topic. A two-person committee, selected in consultation with the academic advisor, evaluates the qual. At least one member of this committee must be a faculty member in the Quantitative Division.

Quals should not be attempted until after the completion of the master's research project or master's thesis. Ideally, one qual should be completed by the end of the fourth year and the other prior to the preliminary oral examination (doctoral thesis proposal defense).

#### 5. Dissertation

The student's doctoral thesis (dissertation) must be on a topic in Quantitative Psychology and be directed by one of the faculty members of the Quantitative Division. A majority (3 out of 5) of the committee members must be Quantitative Division faculty members.

Dissertations concerned with the development of quantitative models and/or methodologies for psychological processes and phenomena are especially encouraged as are applications of advanced statistical and psychometric methods to the analysis of data from experimental or field research on substantive problems in Psychology.

Ideally, the preliminary oral examination for the dissertation should be completed by the end of the fifth year. Typically, the dissertation is written during the sixth year.

#### 6. Teaching

The Quantitative Division follows the Psychology Department's teaching requirement.

It is recommended that a student planning an academic career serve as a teaching assistant for one or more graduate Quantitative courses (e.g., PSYC 406, PSYC 407, PSYC 490) and/or undergraduate Quantitative courses (PSYC 235, PSYC 301).

#### 7. Training in Ethics for Research

All students in the Quantitative Division are required to complete the the University of Illinois Institutional Research Board's training and education requirements once every three years, regardless of whether they are engaged in research with human participants and regardless of their source of funding.

## Social-Personality-Organizational Division

The curriculum for SPO grad students consists of the SPO Division Brownbag Lecture Series (PSYC 598 SPO), a methods course (PSYC 552), at least one of the three introductory survey seminars: social (PSYC 551), personality (PSYC 541), or industrial-organizational (PSYC 530), and at least two additional courses that constitute a concentration in one of the three areas. Examples of currently offered graduate courses appear below, but new special topics courses may be expected to appear over the course of the students' program of study.

### Social Psychology

- 558 Attitudes
- 559 Small Groups
- 593 Cultural Psychology
- 593 Social Judgment

### Personality Psychology

- 567 Personality Assessment

### Industrial-Organizational Psychology

- 530 Foundations of IO Psychology
- 593 Current Topics in IO Psychology

### Minor Requirements:

Consistent with departmental requirements, students select a 16 hour minor or two (8 hour) split minors that are approved by their advisor and the S-P-O Division Coordinator.

### Teaching:

All students are required to meet the departmental teaching requirement.

This requirement is usually fulfilled by teaching sections of Introductory I/O Psychology, Introductory Social Psychology, Introductory Personality Psychology, or by teaching discussion/lab sections of laboratory courses. Refer to the section on the department teaching requirement.

### S-P-O Qualifying exam

#### *Format*

The Qualifying Exam will consist of a one-day exam, with a morning and afternoon segment, each lasting 4 hours. The exams will be in-class, closed book exams.

#### *Content*

There will be 9 questions total, of which the candidate must answer 6.

The questions will cover broad topics in key research areas in SPIO psychology. These questions will examine the candidates' deep understanding of the research topics (as opposed to rote memories of fragmented facts). There will be no subsections (e.g., S, P, IO) in the exam papers but the questions will cover the three areas evenly. *Although there will be no stand-alone methods section, students will be required to understand how methods influence and shape SPIO concepts. Good answers to all questions require a good grasp of research methodology.*

### *Outcome*

For each of the six questions students answer, they will receive one of five ratings.

- 5 =Excellent (an outstanding performance at a level that may be expected to be achieved occasionally)
- 4 = Good (a strong performance that you would expect to occur frequently among competent students)
- 3 = Minimally passing
- 2 = Poor (a failing performance, but with a few redeeming features; shows some familiarity with the material)
- 1 = Complete failure (very poor performance with no redeeming features)

Two faculty members will grade each question, and the two scores will be averaged to determine the students score for the question. If the two raters differ by more than 1.5 units, a third rater will be asked to evaluate the students answer to the question. If the third score closely corresponds (i.e., is within 0.5) to one of the two original scores, then the outlying grade shall not be used in determining the students score. Otherwise, the average of the three grades will be used to determine the students score.

If students receive a total grade (across both exams) greater than or equal to 3 they pass. If they receive a grade of less than 3, they fail. However, when their grade is less than 3 but greater than 2.75, a third grader will score the answers with grades less than 3. This graders rating will be averaged with those of the other two graders. If the new grade is greater than or equal to 3, students pass; otherwise, they fail. When students fail, they will be given the opportunity to retake the portion (in-class or take-home) of the exam they failed. Students will retake the exam six months from the date they took the first exam. If students fail the exam more than once, they will not be allowed to take it again. When it is necessary to have a third grader score questions, the grader will not be told the reason.

### *Feedback*

Students will be given their scores for each of the six questions. In addition, they will be given their exams back with the graders marks and comments.

### *Topics List*

For each of the major areas Social, Personality, and Industrial-Organizational there will be a list of core topics. Students will be responsible for being familiar with at least one of the lists, although they may choose to concentrate on two. The faculty in each area will develop the lists. They will be updated annually. The lists are not meant to be comprehensive. Rather, these are the core topics in the area. They are to provide a guide for students. Students are expected to have proficiency with each topic in their area(s), including both classic and contemporary theory and research. It is highly recommended that in addition to collecting resources relevant to these topics, students also familiarize themselves with the research published in the field's major journals over the last decade, as well as comprehensive handbooks that have recently been published. These sources will point to additional topics not included on the topic list, as well as provide examples of the integration of areas.

### *Time Line*

First week of June: Topics list given.

Late August or early September: Exam given.

Month of March: Make-up exam given.

### **Timetable:**

Students in the SPO program are required to complete their master's thesis (or equivalent) by the end of their second year, take and pass their qualifying examinations by the end of their third year and take and pass their preliminary examination by the end of their fourth year in order to remain in good standing in

the division. Students specializing in Organizational psychology must take and pass the final oral examination for the Ph.D. by the end of their fifth year in order to remain in good standing in the division.

## **Visual Cognition & Human Performance Division**

Students in the Visual Cognition & Human Performance (VCHP) division are expected to involve themselves in independent and collaborative research quickly and actively. To that end, the division established the following requirements:

1. VCHP brownbag. All students will enroll in the VCHP Brownbag lunch seminar (PSYC 598 VCH) each semester that they are in attendance at the University of Illinois. The seminar provides a forum for the divisional faculty and students to present their in-progress and completed research projects. Students can sign up for either 0 or 2 credit hours for the seminar, with 2-credits reserved for those who present their work in brownbag that semester.
2. First year research project. Each student will complete a research project during the first year. In September or October of the second year, the student will present this research project in the VCHP Brownbag lunch seminar (PSYC 598). The student is responsible for scheduling this presentation with the seminar coordinator. The student will also provide a written report of the research to his/her faculty committee. The written report is due no later than 1 p.m. on October 31st of the student's second year. The report will be evaluated by all the faculty members in the division. The faculty will decide, on the basis of the written report and the oral presentation, whether the student has successfully completed the first year project. Continuation in the division requires satisfactory completion (at the prescribed time) of the first year requirement.
3. Master's-level research. Each student is expected to complete a master's level research project within the first two years of graduate training. In many cases, this research will be a continuation of the first-year project. Successful completion of the master's requirement includes the preparation of an acceptable written document as well as an oral presentation of this project in the VCHP Brownbag lunch seminar (PSYC 598). The written document and oral presentation must be judged acceptable by at least two divisional faculty members, one of whom is the student's research advisor. To remain in good standing in the program, students must officially deposit their written Master's thesis project by December 31st of their third year in the program. The oral presentation can occur in the fall or spring of the third year.
4. Other research. Students are expected to have published multiple papers by the completion of their graduate training, either as independent authors or collaboratively. Students are encouraged to conduct research both with their advisor and with other members of the division or department.
5. Qualifying Examination. Ordinarily, the questions will come from a variety of areas agreed upon by the student and their faculty committee. To ensure breadth, the committee must include at least four faculty (at least two of whom are from the division). The student and advisor will work together to identify appropriate faculty members for the committee. Together with the committee, the student will develop three distinct reading lists, with each including approximately 15-20 journal articles on a single topic. The examination consists of two parts. First, the committee will provide 3 questions, one for each reading list, and the student will have 6 hours to write a brief essay response (maximum of 750 words for each essay) to each question. This exam is closed-book; students will not be informed of the questions in advance and may not consult any materials to answer these questions. The committee will then grade these responses within one week, with at least two committee members grading each response.

Students passing the first part of the exam then proceed to the second part. For the second part, students will have 1 week to write an answer to a more integrative question provided by their committee chair (in consultation with the committee). This question typically requires a synthesis of content from the reading lists and it often requires a research proposal. The essay response may not exceed 10 pages excluding

references (single-spaced, times new roman 12 point font, 1-inch margins on all sides). For part 2 of the exam, students may consult notes and references. The answer to part 2 will be graded by at least two members of the committee.

The doctoral qualifying examination must be completed by October 31st of the 4th year of graduate training.

Core Courses:

In addition to registering for the VCHP brownbag each semester, all students must take PSYC 504 (Theories of Attention), PSYC 516 (Perception), and at least one other 500-level content course taught by a faculty member in the division.

Additionally, students must also take at least two (2) graduate-level statistics courses. Students may fulfill that requirement by taking PSYC 406 and 407. Students entering the program with extensive statistics coursework or experience may petition to take more advanced statistics classes in place of one or both of those courses. Students may also petition to take graduate-level statistics survey classes offered in other departments in place of the 406/407 sequence. Students opting to take more advanced courses in place of 406/407 also must petition to do so in advance.

The statistic requirement must be completed during the first year of graduate school. Given that the available statistics offerings in other departments may vary from year to year, students who are planning to take those courses after the first year must petition to do so at the beginning of their first year.



## **FINANCIAL AID FOR GRADUATE STUDENTS**

All doctoral students in good standing in general have a guarantee of at least the equivalent of 50%-time support for six years from the date of their first enrollment in any psychology graduate program. The department determines the exact form of this support. Students remaining enrolled beyond the sixth year are placed on Department Probation and are no longer guaranteed support.

A wide variety of assistantships, traineeships, and fellowships are available for students in the doctoral programs.

Specific types of aid include: Tuition and fee waivers, research assistantships, teaching assistantships, University Fellowships, Graduate College Fellowships for U.S. citizens who are members of an underrepresented group, American Psychological Association Fellowships for students from underrepresented groups, as well as federally funded traineeships and other kinds of fellowships in some divisions.

Stipends for fellows, assistants, and trainees normally increase from year to year and are on a par with stipends available at other large universities. See your advisor or Division Coordinator or contact the Graduate Student Office for current stipend levels.

### **Research Assistantships**

These are usually paid from funds obtained by faculty members in support of their research. Appointments are, therefore, arranged through discussions between faculty members and graduate students. See your advisor or Division Coordinator for details on the procedures used in your division. Students are expected to actively participate in the research program in which they are appointed and to perform the duties assigned by their supervisor.

### **Teaching Assistantships**

These are coordinated by the Associate Heads for Graduate and Undergraduate Studies in consultation with the Division Coordinators, teaching faculty, and graduate students. If you wish to have a teaching assistantship in any given academic year, you should discuss your preferences with your advisor and/or Division Coordinator. Employment as a Teaching Assistant carries an obligation to perform such duties as assigned by the supervisor.

### **Tuition and Fees Waivers**

Students who receive at least a 25% teaching and/or research assistantship through the Psychology Department during the academic year will receive a tuition and partial fee waiver. All students are required to pay approximately \$600 per semester for specific student fees that are not covered by the partial fee waiver.

### **Illinois Distinguished Fellowships**

This program is for recruitment purposes, so only students applying for admission can be nominated. Only students of the highest caliber who represent extraordinary recruitment opportunities will receive

these fellowships. In 2016-17, the fellowship provides \$25,000 per 12-month year for three years and a tuition/service fee waiver. Fellows will be expected to carry a minimum of 12 hours in the fall and spring and 4 hours during summer session. Concurrent assistantship support of up to 50% is permissible if prior Graduate College approval is obtained.

### **University/Department Fellowships**

These are awarded to exceptionally well-qualified entering or advanced graduate students. Division faculty make the decisions about awarding these fellowships. Concurrent assistantship support of up to 50% is permissible.

### **Graduate College Fellowships**

These fellowships are restricted to incoming graduate students who are American citizens and who come from underrepresented groups. In 2016-17, one- and two-year awards provide a stipend of \$20,000 over 12 months. There are also 3-year awards called Graduate College Distinguished Fellowships that provide \$25,000 over 12 months. Students are told the duration of the fellowship when they are notified about receiving it.

Concurrent assistantship support is not allowed without prior approval of the Graduate College.

### **Graduate College Dissertation Travel Grants**

Dissertation Travel Grants subsidize travel and other costs associated with doctoral dissertation research, whether for exploring a potential dissertation topic (i.e., before the preliminary examination), or for conducting dissertation research. Application deadlines will be announced by email each year. In 2016-17, the maximum that can be requested is \$5000.

### **Graduate College Dissertation Completion Fellowships**

This fellowship is designed to help students complete the doctoral degree in a timely fashion by providing a tuition waiver and one-year stipend of \$20,000 for 2016-17 to free them from the time constraints associated with assistantships, allowing full-time devotion to the completion of the dissertation. You must have passed your preliminary exam before applying. The Graduate College will not accept applications from students who have not already passed their prelim before the application deadline. No concurrent assistantships are allowed. Application deadlines will be announced by email each year.

### **Dallenbach Fellowships**

Depending on the availability of funds, this fellowship is awarded to entering or advanced graduate students engaged in “basic research”. It is limited to a 9-month appointment and no student may hold the fellowship more than once. Concurrent assistantship support of up to 50% is allowed. No application is required, as these fellowships are administered entirely within the department. Awards are made in the same way and at the same time as University/Department Fellowships. Application deadlines will be announced by email each year if funding is available.

### **Graduate College Travel Grants**

If you will be presenting a paper at a professional meeting, you can apply to the Graduate College once each year for funds to help pay for your travel expenses. Travel support is given only if you present your paper from the podium or at a poster session. Participation as a junior author or being present while

someone else presents a jointly authored paper does not qualify for travel support. Application deadlines will be announced by email each semester. The Graduate College supplies an application form that must be completed, and you will be asked to document your expected travel expenses and provide evidence that you will be making a presentation. The department can nominate only a few students for GC Travel Grants each semester. Notification of the deadline for applying these funds will be sent by email each semester. Amounts awarded by the Graduate College typically range from \$100-350, with amount depending on distance travelled.

### **APA Travel Awards**

Competition for these awards is held once each year. To be eligible, applicants must be student affiliates of the American Psychological Association. Students who are not affiliates may apply for affiliation when they apply for the award but all materials must be received by the Science Directorate in one package. Eligibility is dependent on your research paper or poster having already been accepted by APA for presentation.

### **APA Dissertation Awards**

To be eligible, applicants must be student affiliates of the APA. Students who are not affiliates may apply for affiliation when they apply for the award but all materials must be received by the Science Directorate in one package. Awards are dependent on your proposal having been approved by your doctoral committee prior to application. That is, you must have passed prelims, after which you are considered a “PhD candidate”.

### **APA Minority Fellowships**

These fellowships are renewable as long as the student is making adequate progress. The stipend is for the academic year and may be supplemented by an assistantship of up to 50%. Application deadlines will be announced by email each year.

### **APF/COGDOP Graduate Research Scholarships in Psychology**

The American Psychological Foundation (APF) and the Council of Graduate Departments of Psychology (COGDOP) jointly sponsor competitions for scholarships every academic year. The funds may be used to defray the costs of tuition, to supplement fellowship support, to cover in part the costs of research, or to support travel to a scientific meeting. Some of them are devoted to specific research areas while others are more general, and some but not all are restricted to dissertation research. Application deadlines will be announced by email each year.

The fellowships and awards listed above each have their own specific deadlines. We will put those deadlines on the calendar at the Graduates link on the department website. The Associate Head for Graduate Studies will send out email to all graduate students about upcoming application deadlines. The Graduate College also has a website with information about graduate fellowships at <https://www.grad.illinois.edu/fellowship/>, which can be searched using criteria such as application deadline or fellowship candidate characteristics. Application forms are generally available online.

## REGISTRATION INFORMATION

Information about the courses offered by the Psychology Department each semester can be found at <https://courses.illinois.edu/>. All course registration is accomplished online. If you have questions about how to register or have any problems doing so, visit the Graduate Student Office in 307 Psychology.

### Steps in Registration

1. Read this handbook before you see your advisor
2. Work out a program with your advisor. If you are a teaching or research assistant, your program should take into account the demands of your job. In all cases, be sure that your own classes and those in which you are a teaching assistant do not conflict!
3. Complete on-line registration.

### Auditing Courses

An auditor is only a listener in the classes attended; he or she is not a participant in any part of the exercises. Auditors are not permitted in studio, laboratory, or activity courses. An audited course will appear on the student's transcript with a grade of AU. Audited hours do not count toward assessed hours. An audited course does not count toward the registration requirement for fellows. **A course that has been audited cannot be repeated for graduate credit.**

Students wishing to audit a class must make the request using an Auditor's Permit. (See the Graduate Student Office for appropriate form.) The student should take the Auditor's Permit form to the first class meeting and ask the instructor to sign, indicating approval. The form should then be submitted to the Graduate College for approval. Approval from both the instructor and the Graduate College is required. Students who are registered for less than 12 hours, not including the audited course, who do not have a tuition waiver will be charged a \$15 audit fee. The deadline to audit a course is typically the last day of the second week of class.

Whenever possible you should enroll in, rather than audit, all Psychology courses so that the department and University have accurate records about numbers of course participants. A few graduate courses allow you to register for 0 credit hours. Course descriptions in the course catalog (<http://courses.illinois.edu>) specify a course's credit options, including whether it allows registration for 0 credit hours. Particular PSYC 593 seminars may or may not allow registration for 0 credit hours in any given semester. In special circumstances, the instructor for a course that you would like to attend but that does not allow registration for 0 credit hours may allow you to register for 0 credit hours under PSYC 590 (Independent Study) rather than under the course number.

### Credit/No Credit Options

You may take as many as 16 hours of graduate work under the Credit/No Credit option. You may only take one course CR/NC per semester. These hours may be in the major, the minor, or courses satisfying the department's distribution requirement. However, since your performance in quantitative methods and conceptual foundations must be at the level of B- or better, you cannot use the CR/NC option in courses fulfilling these departmental requirements.

The same provision will hold for certain courses in the Clinical program. If you are a Clinical student, check with your advisor concerning these courses.

The CR/NC option makes it much easier for you to take electives within the department but outside your own major area (e.g. for the distribution requirement) and to take minors without the fear of getting a D or F. In the case of split or full minors outside the department, it will still be up to you to make sure that the minor department approves your sequence of courses, including the number of them which that department will allow to be taken on a credit/no credit basis. (**A+ though C- grades receive CR, D+ through F grade receives NC.**) Forms are available in Room 307.

## **Program Changes**

You may add, drop, or change credit in courses following the instructions for online registration. The Graduate College sets the deadline dates for adding and dropping courses. The date for adding courses is the 10<sup>th</sup> day of instruction and the date for dropping a course or changing to the CR/NC option is approximately 4 weeks before the semester ends. A petition must accompany changes made after the deadline. The Graduate College does not accept changes after these dates without clear and compelling justification.

## **Course Load for Fellows and Trainees**

The minimum course load for fellows or trainees is defined by The Graduate College as 12 hours or the equivalent. You may take as many as 20 hours without special petition.

A full course load (12 hours) is required of the following students:

University Fellows	National Science Foundation Fellows
APA Minority Fellows	U.S. Public Health Service Trainees
Dallenbach Fellows	Ford Fellows
Graduate College Fellows	AAUW Fellows

## **Course Load for Teaching and Research Assistants**

During the academic year, a student must be registered for a minimum of 12 hours to be considered full-time. The amount required for full-time student status is not reduced for a student holding an assistantship. The Graduate College places no restriction on the minimum number of credit hours for which a student may register in a given semester, but a student who has an assistantship must be registered during the term of the appointment, except during a summer term. You may take up to 20 hours without a petition.

## **Course Load Until Requirements Completed**

Since there is no upper limit on 590/599 registration, it is a good idea to carry a realistic load of research credit until the dissertation is completed. Keep in mind that up to 8 of the 32 hours required for the master's degree may be in 599 and 24 of the 96 hours required for the doctorate degree. All students should continue to register for hours as long as they are in residence and using research facilities and staff time. The number of hours registered for should accurately reflect the usage of research facilities and staff time. Exceptions will be made for students registering in absentia or for students lacking financial aid.

# ADVISING

## **Academic Advisor**

An academic advisor will be assigned to you shortly after your admission, and it is he or she who assists you in planning your early graduate work. Your academic advisor may or may not also be your research advisor, depending on your circumstances. You may continue to have the same academic advisor throughout your graduate career, or you may elect to change your academic advisor. For example, if you develop a research project with a faculty member other than your academic advisor, you may decide to ask your research advisor to become your academic advisor as well. You should inform your Division Coordinator and the Graduate Studies Office whenever a change of either kind of advisor is made. Note that the research advisor need not be a member of your division. You are free to choose a research advisor from among the entire department faculty.

The academic advisor has the general responsibility of discussing with you all matters involving the department and the Graduate College. The academic advisor is in a sense your primary contact with the department, although of course you are free to consult at any time with other members of the department, your program faculty, Division Coordinator, Graduate Student office, and with the Department Head or the Associate Head for Graduate Studies.

## **Master's Thesis Advisor**

The master's-level thesis is approved in final form by a master's thesis director, a second reader, and the Department Head. The Department Head's approval is normally implicit except in rare instances where questions or concerns arise.

It is not advisable to undertake master's-level research until this committee has been approved. When you have selected a thesis advisor, he or she may become your academic advisor also, if that seems desirable. The Associate Head for Graduate Studies can arrange such a change.

## **Ph.D. Dissertation Advisor**

Toward the completion of the course requirements for the Ph.D. degree, select an advisor for your doctoral dissertation research. Your academic advisor and Division Coordinator are available for consultation concerning the choice of a dissertation advisor. Your dissertation advisor is usually, but need not be, from your own division's faculty.

## EDUCATIONAL PROGRESS AND EVALUATION OF GRADUATE STUDENTS

Divisions vary in how students can prepare themselves in their specialties. They also vary in how they assess student progress and discuss academic preparation and career plans. Consequently, you should be familiar with your own division's educational aims and plans, and consult with your advisor or Division Coordinator if there are questions about your progress.

In addition to continual informal feedback, each student is more formally evaluated by division faculty each year and that evaluation is given to both the students and the Associate Head for Graduate Studies. The primary information on which the formal evaluation is based includes course grades, progress on research, progress in meeting degree program deadlines, professional conduct, and the like.

Students may be placed on department probation if faculty in their division are concerned about their behavior and/or progress in the program. In such cases, students will receive official written notification from their division outlining the reasons for being put on probation, what they need to do to be taken off probation, when it will be determined whether or not they can be taken off probation, who will make that evaluation, and the consequences of failing to meet the terms of probation.

Being placed on probation does not necessarily mean that financial support will be withdrawn from the student (though it does mean that financial support could be withdrawn). It means faculty are concerned about the progress and/or behavior of the student and want to send a strong message that certain steps must be taken to rectify the situation. The Graduate Studies Office must also receive notification from the division if this action is being taken for any student in the department.

Students can be placed on department probation if they are not making satisfactory progress toward the degree or if they do not complete their Ph.D. degree within six (6) years of enrolling in the program. The consequence of being placed on department probation is that the department's guarantee of financial support is withdrawn, regardless of how long the student has been in the program. It is the responsibility of each student and his/her academic advisor to pay close attention to the nature and pace of the student's progress toward the Ph.D.

Per the *Graduate College Handbook* for Graduate Students and Advisers: Members of the University of Illinois campus community are expected to adhere to the highest standards of professional conduct in carrying out their teaching, research and service responsibilities. Such conduct is subject to norms and ethical codes that vary somewhat among disciplines, as well as to differing individual perceptions and interpretations, but certain general ethical guidelines reflecting the commitment of the campus to these standards are applicable to all University of Illinois faculty, staff and graduate assistants.

It is recommended that all graduate students review the *Graduate College Handbook* in further detail. In particular, see Responsible Professional Conduct: Guidelines for Teaching, Research, and Service at <http://www.grad.illinois.edu/> In addition, refer to the Appendix here for APA's Code of Conduct.

### Minimum Grade Point Average

The minimum grade point average for graduate students is 2.75. The following Graduate College requirements hold concerning probationary status for those who fall below this minimum:

At the end of the first term in which a student has completed at least 12 cumulative hours (all hours excluding 599 credit) with a GPA of less than 2.75, a warning letter will be sent to the student by the Graduate College with a copy to the Department.

A student who has received such a warning letter and who has not raised their GPA to 2.75 upon the completion of 12 additional cumulative hours will be placed on Academic Probation (which means they cannot receive any degree) for a maximum of one term (semester or summer session). After one term on Academic Probation, no further registration will be permitted unless the GPA has been raised to at least 2.75 and the department petitions the Graduate College to lift probation.

Advisors and departments take factors other than satisfactory grades into consideration in determining qualifications for advanced degrees. An adequate GPA does not in itself ensure continuance in an advanced degree program. Many departments keep records of deferred and plus and minus grades, as well as written evaluations by instructors. These factors, along with other skills and aptitudes, are considered by departments in determining satisfactory progress and in decisions to permit students to continue in masters and doctoral degree programs.

### **Academic Progress Toward the Ph.D.**

The Graduate Education Council has compiled a list of expectations of “normal academic progress” towards the Ph.D. although some variation in progress is to be expected. Some students arrive with a master’s degree in hand. Some have half-time jobs and some do not. Some subject areas allow faster progress than others. Unduly slow progress, however, is clearly to be avoided. The Council’s guidelines follow:

#### *First Year:*

Requirements: Complete 24-32 hours. Complete Quantitative Methods Courses.

Suggestions: Begin master’s-level research

#### *Second Year:*

Requirements: Complete 48-64 hours

Suggestions: This is the optimal time to have the master’s-level thesis finished. The second semester would be a good time to take the Qualifying Examination, particularly for students on fellowships or traineeships and those who entered with a master’s degree.

#### *Third Year:*

Requirements: Complete 72-96 hours. Take the Qualifying Examination during the first semester if not already taken and passed.

Suggestions: The Preliminary Examination should be taken during the second semester.

(Remember that the Qualifying Examination, or equivalent, and master’s-level research must be completed before the Preliminary Examination can be scheduled. The minor should be completed as well).

Start the dissertation. Some students, particularly those who came into the program with a master’s degree, may complete the program and receive the Ph.D.

#### *Fourth Year:*

Requirements: Complete 96 hours. Take the Preliminary Examination during the first semester, if not already taken. Start the dissertation if not already ongoing.

Suggestions: Complete the dissertation and receive the degree.



If you have questions about your progress, you should consult with your advisor or Division Coordinator.

Your progress toward the doctoral degree is under the general supervision of the division faculty during the period prior to the Preliminary Examination and under the supervision of your doctoral committee thereafter.

For first year students, the annual review of progress will include evaluation of their writing abilities. Students who do not write well will be required to take a special non-credit-writing course (offered by the English Department).

## **PETITIONS, INTERDIVISION TRANSFERS, APPEALS, AND LEAVES OF ABSENCE**

### **Graduate College Petitions**

The requirements and procedures of the Graduate College may be found in A Handbook for Graduate Students and Advisors (<http://www.grad.illinois.edu/gradhandbook>). You may petition the Dean of the Graduate College for exceptions to these rules if you find yourself in special circumstances. However, informal consultation with your advisor or the Associate Head for Graduate Studies is usually helpful before completing a petition form. Forms for petitions may be obtained at the Graduate College website: <http://www.grad.illinois.edu/petitions/>

### **Department Petitions**

If you wish to be exempted from rules, regulations, or procedures of the Department of Psychology, you may submit a petition. This merely consists of a written statement, which justifies the request. Give the letter to your advisor who will transmit it with his or her recommendation to the Division Coordinator and the Associate Head for Graduate Studies.

### **Inter-Division Transfers**

If you wish to transfer to another division within the department, your first step should be to consult with your advisor and with the coordinators of the divisions involved. The next step is to formally request an inter-division transfer by writing a letter to the coordinator of the new division, with a copy to the Graduate Student Office. The faculty of the division to which you are requesting admission will then consider your request. They may approve your request, in which case you are immediately enrolled in the new division. However, the faculty may decide they want you to go through the full admissions process at the usual time so they can consider your application in the context of others applying then. If the new division does not approve, the Associate Head for Graduate Studies will inform you of that fact and invite you to discuss with appropriate faculty some alternative plan for further study in the area of your new interests.

NOTE: It is important to realize that these transfers are not always routine. Divisions must consider a transfer request in the context of admissions applications for that year. A student with a weak record in one division may not be viewed as a good prospect by another division. Please do not assume that you can transfer until you have confirmation that the division will accept you.

### **Appeals of Division and Departmental Decisions**

*Policy and Procedures on Grievances by Graduate Students in the Department of Psychology* (see the appendix to this handbook): The purpose of this policy is to protect the interests of graduate students in the Department of Psychology by providing informal and formal means of seeking resolution in case of an inappropriate action of a member of the faculty or administrative staff or an inappropriate application of a department policy. Any graduate student in the Department of Psychology may informally pursue or formally file a grievance when s/he believes that a decision or behavior adversely affects his/her status as a graduate student.

*Policy and Procedures on Grievances by Graduate Students in the Department of Psychology* specifies the policy and describes the procedures to be used to resolve grievances by graduate students in this department. It was approved by the Graduate College on May 6, 2002. A grievance may arise when a graduate student believes that his/her status as a graduate student, or University appointment based on student status, has been adversely affected by an incorrect or inappropriate decision or behavior.

There are also campus and Graduate College policies and procedures that must be adhered to, and department policies do not override or supersede those. For more information on campus and Graduate College policies, see *The Graduate College Handbook of Policy and Requirements for Students, Faculty, and Staff* at <http://www.grad.illinois.edu/gradhandbook>.

If you disagree with any faculty decision concerning you or your status in the department, your first step would typically be to discuss the matter informally with the faculty involved. If that doesn't solve the problem, your next step would be to go to your Division Coordinator and/or the Associate Head for Graduate Studies.

If you are not satisfied with the decision of your Division Coordinator and/or the Associate Head for Graduate Studies, you can appeal by writing a letter containing pertinent information to the Department Head (or, if the grievance involves the Department Head, to Assistant Dean Anne Kopera of the Graduate College). At any time, you may discuss the problem with any faculty member, including the Department Head and the Associate Head for Graduate Studies. Refer to the Appendix for a description of the complete policy.

### **Student Access to Academic File**

Students may examine their own academic file simply by completing a request form in the Graduate Studies Office (Room 307). Please submit your request two days in advance. The Graduate Studies Office staff will remove from the folder any material, such as letters of recommendation, which were provided on a confidential basis. Students may make copies of any documents contained in their folder.

### **Leaves of Absence**

According to the Graduate College, "a student who must interrupt his or her graduate program for an acceptable reason may do so and with departmental approval, reenter within one year of last registration, provided the time limit has not been exceeded. A student holding student loans should consult the lender before terminating his or her student status. International students leaving campus are required to secure clearance from the Office of International Student Services.

Department policy states: "Psychology graduate students need to complete a departmental leave of absence form prior to their departure. These forms can be obtained from the Graduate Student Office (307 P.B.). Graduate students are required to give the department and their division three months notification concerning their return from a leave of absence. A student who expects to return in the fall semester should contact their Division Coordinator and/or the Associate Head for Graduate Studies no later than June 1; for the spring semester no later than October 1. The department needs sufficient notification to complete student support plans and office assignments for each semester. Students who have not exceeded the department's time limit and remain in good standing in their division are entitled to financial support."

## **REQUIREMENTS FOR PREPARATION OF MASTER'S THESES AND PH.D. DISSERTATIONS**

### **General Instructions**

The general format of master's theses and doctoral dissertations are described at the Graduate College website (<http://www.grad.illinois.edu/thesis/format>).

Before your thesis/dissertation can be submitted to the department for approval, it must have been reviewed and approved by all members of your thesis/dissertation committee. Approval is conveyed by signing the Thesis/Dissertation Approval (TDA) form. (Contact the Graduate Student Office regarding preparation of the forms.) After all members have signed, submit an electronic copy of your thesis/dissertation to the Graduate Studies Office and the signed Thesis/Dissertation Approval (TDA) form for department approval. After your thesis/dissertation has been reviewed and approved, you will be authorized to submit for Graduate College approval.

All theses and dissertations must be deposited electronically in the Graduate College. Instructions for electronic deposit are located at <http://www.grad.illinois.edu/submit-etd>.

### **Considerations**

1. You cannot receive a degree unless you are on the Graduate College Degree Conferral List. Contact the Graduate Student Office for information and instructions on how to add your name to the degree conferral list.
2. Degree certification approval takes place in the Graduate Student Office once you have submitted your thesis/dissertation and your Committee Approval form. Once the department certification has been completed, your thesis/dissertation will be forwarded to the Department Head for approval.
3. The Head of the Department must approve all theses/dissertations. Submit these documents for approval by the department deadline, which will be posted on the department website. Email reminders will also be sent about these deadlines. No Ph.D. dissertation will be approved until you have completed all other departmental requirements and responsibilities.

# DEPARTMENT FACILITIES

## Libraries

### Education and Social Science Library

The primary collection of psychology journals and books can be found at the **Education and Social Science Library**, 100 Main Library Building, 1408 West Gregory Drive, two blocks from the Psychology Building. Many older journal volumes and books are located in the Main Book Stacks on the second floor of the Main Library. The library provides electronic access to most of the journals they subscribe to, and hard copies of books and journals can be ordered for delivery to your department mailbox through an online interface. You will find links to various library services at <http://www.library.illinois.edu/>.

### Other University of Illinois Libraries

The University of Illinois Library system has more than 40 libraries. Those with materials relevant to research in psychology include the Applied Health Sciences Library, Biology Library, Grainger Engineering Library, and the Health Sciences Library. The library website given above includes a list of all of the libraries and their locations

## **Copying Services and Office Supplies**

### **Location: 338 Psychology Building**

Alix Abbott in room 338 is responsible for instructing faculty, staff and students on the use of the walk-up equipment in that office.

Teaching assistants are invited to use these services for preparation of course outlines, quizzes, etc. Copy codes to be used for copying course materials will be supplied to teaching assistants and faculty at the start of each semester.

Office Hours: Monday through Friday 8:30 a.m. – 12 p.m. and 1 p.m. – 5 p.m. Alix will not be available for assistance between 12 p.m. and 1 p.m., but the walk-up area will be open.

If faculty and graduate students need to copy materials after hours they must see Alix. She can give you the training you will need to run the copiers on your own, and give you the combination for the door lock once you've received that training.

Graduate teaching assistants may obtain supplies for the courses they are teaching in the supplies cabinet in room 338. This would include pencils, pads of paper, index cards, etc.

Research assistants should check with their supervisors before obtaining supplies for their work or operating the copy machine (located in room 338) since these materials will be charged against a research grant or contract.

**DO NOT attempt to repair the copy machines yourself.** It could cause unnecessary damage. If you have questions, please ask Alix (338 inner room).

## Room Reservations

Carleen McCormick (333-0022, [cmccormi@illinois.edu](mailto:cmccormi@illinois.edu), room 321 Psyc Bldg) handles classroom, meeting room, and computer lab scheduling. Email her if you need to reserve a room within the Psychology Building or elsewhere on campus. Please note that M-F 9:00 a.m. – 2:00 p.m. are the most popular times on campus to hold classes and therefore the most difficult times to find free space. There is no guarantee that space will be available.

### Computer Labs:

Experiments that require computers can sometimes be run in rooms 35, 37, 219A, 289 and 453D.

Computer rooms can be reserved by visiting:

<https://apps.atlas.illinois.edu/PsychRooms/Calendars/Calendars.aspx>

1. Room requests can be made up to one month in advance.
2. Requests for up to 8 hours per week in one room or multiple rooms will be filled on a first-come/first-served basis.
3. The maximum number of hours per week is determined per faculty member, so requests from multiple lab members associated with the same faculty member are summed.
4. New requests have priority over requests for additional hours and will be filled as soon as they are received.
5. Exceptions to these guidelines may be granted in special circumstances, but only with departmental approval.

### Conference Calls & Video Conferencing:

Room 318 is the only conference room equipped with a phone jack. Contact Firmino Pinto by email ([pinto@illinois.edu](mailto:pinto@illinois.edu)) to reserve a conference phone for a preliminary exam and/or final oral defense if one or more committee members cannot be physically present. Contact Carleen McCormick ([cmccormi@illinois.edu](mailto:cmccormi@illinois.edu)) to schedule the use of room 318. (Note that the request to use a conference phone is separate from the request to use room 318, which will not normally have a conference phone available unless you have separately requested that.)

Room 211 has recently been set up as a videoconference facility. Contact Carleen McCormick ([cmccormi@illinois.edu](mailto:cmccormi@illinois.edu)) to schedule it.

## **Mailing Services**

### **Location: 308 & 312 Psychology Building**

Dana Loschen is in charge of incoming and outgoing U.S. mail. Outgoing mail should be dropped off in room 312. The postage meter is for office use only. The department does not provide stamps for personal use. (Providing you supply your own postage, you may put personal outgoing mail in the outgoing mail container in 312, but you cannot have any of your personal mail delivered or forwarded to your department address. That includes bills. If you do have personal mail delivered to the department, you will be reminded about this policy. If your personal mail continues to be delivered to the department after you've been reminded, the department will refuse delivery of such items.) U.S. postal employees pick up and deliver mail, Monday through Friday between 11:30 a.m. and 2:30 p.m. Dana distributes incoming mail to 3<sup>rd</sup> floor mailboxes.

The University utilizes an intercampus mailing facility. A blue campus mailbox is located next to the main elevators on the 3<sup>rd</sup> floor. Campus mail is only picked up once a day at 7:30 a.m. and delivered later in the day, after which it will be distributed to the 3<sup>rd</sup> floor mailboxes.

Items that are too large to be placed in mailboxes will be stored in the mailroom (312), and an email will be sent to the recipient.

UPS is the designated shipping vendor for the University. Please take packages to Dana before 12:00 p.m. to allow processing time before they are picked up. Dana keeps a supply of UPS materials, and takes care of completing the forms. You will need to supply an account number (typically one of your faculty advisor's accounts) to charge the shipment to. Any prepaid packages using UPS service should be taken to the mailroom(312) for pick-up. (Please note that it could take several days for package pick-up as it is only done when deliveries are made).

Dana also oversees the departmental fax machine, located in room 308. Any faxes received on your behalf will be placed in your mailbox. Unidentified faxes will be left in room 308 for 2 weeks and then discarded. To send a fax, you need to fill out a fax cover sheet and supply an account number to which the fax charge will be assessed (typically one of your faculty advisor's accounts). Dana will return the original to your mailbox after the fax has been sent. There is no personal faxing.



# RESEARCH WITH HUMAN SUBJECTS

## Department Subject Pools and Human Subjects Committee (HSC)

The Psychology Department provides two online subject pools that department members can use to obtain participants for their research. One is the **Course Credit Subject Pool** and the other is the **Paid Subject Pool**. Both are administered by the Subject Pool Coordinator ([psych-subjects@illinois.edu](mailto:psych-subjects@illinois.edu), 217-300-0828).

The Human Subjects Committee (HSC) of the Department of Psychology serves two major functions: (1) to allocate subjects from the Psychology Department Course Credit Subject Pool, and (2) to oversee the review process for protection of human subjects. Questions concerning human subjects should be directed first to the Subject Pool Coordinator in Room 305 ([psych-subjects@illinois.edu](mailto:psych-subjects@illinois.edu), 217-300-0828). Any questions the coordinator cannot answer will be directed to faculty member chairing the Human Subjects Committee.

**For the most up to date and detailed information about the subject pools and Human Subjects Committee, please go to: <http://www.psychology.illinois.edu/services/subject/>**

## Course Credit Subject Pool

Each student enrolled in PSYC 100 is required to serve as a participant in 6 hours of research as part of their educational experience in psychology. In addition, students in some 200- and 300-level courses also have the option of participating in research for extra course credit. Department faculty members, postdoctoral fellows/trainees, and graduate students may request subject hours from the Course Credit Subject Pool. The deadline to request a total number of subject hours for the semester is 5pm on the first day of classes each semester. The request form is available online on the department website at <http://www.psychology.illinois.edu/services/subject/credit/downloads/>, which you can also get to from the department website under Services > Subject Pool > Course Credit Subject Pool > Psychology Course Credit Subject Pool Documents. You want the “Request for allocation of subject hours using the Psychology Course Credit Subject Pool” form, which you can [complete](#) and submit online. (The “Request to activate a study...” form that you also see at the link is not used until later, after you have received your allocation of hours. When you are notified about your allocation, you will be given instructions about how to use that other form.)

Subject hours for the Course Credit Subject Pool are allocated by a standard set of procedures and a formula intended to make the allocations as fair as possible. (There is always demand for many more subjects than the Course Credit Subject Pool can supply, especially in the spring semester when PSYC 100 enrollment is smaller than in the fall.) At some point in the second half of the semester, you will be notified by email that the Course Credit Subject Pool is going into “free-for-all” mode, after which the allocation of hours you received at the beginning of the semester no longer applies. In free-for-all mode, the allocations for all approved studies in the system are increased to a very large number, and what determines how many participants sign up for your studies from then until the end of the semester is simply the competition from other studies. This encourages researchers to begin their studies as early in the semester as possible and helps prevent available hours from going unused.

## **Paid Subject Pool**

In summer 2011, the department set up a parallel online Paid Subject Pool system. It uses the same software and works in the same way as the Course Credit Subject Pool, and is administered by the same Subject Pool Coordinator. For more information about how to use this system, go to <http://www.psychology.illinois.edu/services/subject/paid/>.

## **Protection of Human Subjects**

No research can be conducted until after it has been approved by the campus Institutional Review Board (IRB). All research using the Psychology Course Credit Subject Pool must also be approved by the Psychology Human Subjects Committee. Documentation of IRB approval must be on file with the Subject Pool Coordinator before any studies can be scheduled using either the Course Credit or Paid Subject Pools. Go to <http://www.psychology.illinois.edu> for detailed instructions.

The campus IRB (<https://www.oprs.research.illinois.edu/> ) must review and approve all research studies before they can be run, in order to assure adequate protection of human subjects. The review process provides an independent evaluation of the appropriateness of the procedures to be used in each experiment, helps catch errors that investigators might not have noticed, and also provides protection to investigators in the event that a subject complains about their study. The IRB requires all researchers to complete online training (available at their website) before projects will be approved. Such training has to be updated regularly. The IRB will notify researchers when they need to update their training. Documentation of IRB approval must be supplied to the Subject Pool Coordinator before studies using either the Course Credit or Paid Subject Pools can be set up in the online systems.

The department has an important additional criterion for the Course Credit Subject Pool beyond those considered by the IRB, which is that the study should provide an educational experience for students. Toward that end, all studies using subjects from the Course Credit Subject Pool must provide an educational debriefing at the end of the study, in either written or spoken form, or both.

### **Special note on questionnaires or surveys:**

If your research involves obtaining responses by telephone, e-mail, or web response, and you mention your affiliation with the Department of Psychology in the course of communication, you must register your study with the Subject Pool Coordinator, even if the subjects will not be drawn from the department Subject Pools. This allows the department to acknowledge responsibility for legitimate research and to knowledgeably deny association with all others.

## CAMPUS POLICY ON SEXUAL HARASSMENT

All students in the Psychology Department should be aware of the Campus Policy on Sexual Harassment.

The Code on Campus Affairs and Regulations Applying to all Students defines sexual harassment as:

"... Any unwanted sexual gesture, physical contact, or statement, which a reasonable person would find offensive, humiliating or an interference with his or her required tasks or career opportunities at the University."

"Campus Policy on Sexual Harassment" is stated as follows:

"The University of Illinois will not tolerate sexual harassment of students or employees and will take action to provide remedies when such harassment is discovered. The University environment must be free of sexual harassment in work and study.

In order to assure that the University is free of sexual harassment; appropriate sanctions will be imposed on offenders in a case by case manner."

Excerpts from "Statement on Consenting Sexual Relationships"

1. A romantic or sexual relationship between a teacher, teaching assistant, advisor, or similarly situated member of the faculty or staff and a student, or between a supervisor and an employee, is inadvisable even when both individuals apparently enter into the relationship willingly.

a. The respect and trust accorded such individuals by a student, as well as the responsibility the teacher in particular exercises in giving praise, blame, grades, or recommendations for further study and future employment, may unduly influence the student's decision to begin or continue a romantic or sexual relationship.

b. The responsibility a supervisor exercises with regard to praise, blame, salary, promotion, and job assignments likewise may unduly influence an employee's decision about such a relationship with a supervisor.

2. Faculty and staff members therefore should avoid entering into romantic relationships with individuals over whom they have academic, professional, or supervisory responsibility even when it appears to be by mutual consent. They also are cautioned against assuming professional or supervisory responsibility for those with whom they have existing romantic relationships.

a. **Because the very real possibility of undue influence exists in these situations, such relationships are inappropriate for faculty and staff members of the University of Illinois.**

b. **Because of the unequal nature of such relationships, if a charge of sexual harassment is subsequently lodged, it may be difficult to establish innocence on grounds of mutual consent.**

3. When sexual harassment is found to have occurred, the University will vigorously pursue disciplinary action.

Procedures for complaints of sexual harassment are set out in the Campus Code.

If you have any questions about this matter, the department encourages you to contact the Associate Head for Graduate Studies (323 Psychology Building, 333-0022).

## **APPENDIX 1**

### **Graduate College Policy and Procedures on Grievances by Graduate Students**

# Graduate College Policy and Procedures on Grievances by Graduate Students

## I. OVERVIEW

1. **Purpose.** All members of the University community are expected to observe high standards of professional conduct and ethical behavior in graduate education. In a large and heterogeneous scholarly community, problems may emerge among students, faculty and administrators. The purpose of this policy document is to outline the process through which graduate students can constructively address concerns about the decisions or behaviors of faculty or administrators that the students believes have adversely affected their status as a graduate student.
  
2. **Availability.** The policy outlined in this document is available to all current graduate students of the Graduate College. It is also available to former graduate students provided they meet the timeliness requirements specified herein.
  
3. **Applicability.** This policy applies when a graduate student believes that an incorrect or inappropriate decision or behavior of a faculty member or administrator has adversely affected the student's status. Examples include, but are not limited to:
  - Failure to follow a departmental or Graduate College policy in a manner that results in significant prejudice against the student;
  - Failure to follow departmental or Graduate College procedures for assessing degree milestones such as qualifying examinations, comprehensive examinations, preliminary examinations, recitals, etc.;
  - Improper termination from a program;
  - Requiring personal services unrelated to academic duties;
  - Retaliation for exercising grievance rights.

This policy does not apply in cases involving:

- Challenges to Graduate College Petition decisions;
- The exercise of professional judgment in evaluating student academic performance/progress;
- Student-to-student conflicts (see [www.conflictresolution.illinois.edu](http://www.conflictresolution.illinois.edu));
- Academic misconduct such as breaches of academic integrity in research and publication (see [research.illinois.edu/ai/index.asp](http://research.illinois.edu/ai/index.asp));
- Employment specific issues, including those covered by collective bargaining agreements (i.e. teaching assistantships and administrative graduate assistantships) (see [www.ahr.illinois.edu/employees/ler.html](http://www.ahr.illinois.edu/employees/ler.html));

- Cases that arise under the *Student Code*, including academic integrity or capricious grading claims (see [admin.illinois.edu/policy/code/](http://admin.illinois.edu/policy/code/));
  - Cases involving alleged discrimination or sexual harassment ([see the Campus Administrative Manual](#)).
4. **Non-exclusivity.** This policy does not override or supersede any other policies or procedures as established in the University Statutes and campus policies.
  
  5. **Duty to Cooperate.** Students availing themselves of the grievance process, and all faculty, staff, and administrators have a duty to cooperate and provide information and materials relevant to the investigation of a grievance. It shall at all times be the responsibility of the Parties to ensure that the Graduate College has accurate contact information to facilitate communications as described in these procedures.

## II. DEFINITIONS

1. **Business Day** - Means Monday through Friday, excluding University and campus holidays and reduced service days.
  
2. **Conflict of Interest** - A conflict of interest is a significant professional or personal involvement with the facts or the Parties to a dispute. Any party or administrator who has a conflict of interest in a dispute under this policy or a concern about a conflict on the part of another shall promptly report it to the Intake Dean. The Intake Dean shall refer the matter to the Dean, who shall decide how to address any conflict of interest, unless the conflict lies with the Dean, in which case, the alleged conflict will be referred to the Office of the Provost for resolution.
  
3. **Consultant** - A person intended to provide advice to a Grievant or the Subject of a grievance. The Consultant shall not directly participate in any proceedings, but may be consulted during the process. If any party's consultant at any meeting is an attorney, all participants must be informed at least three (3) business days prior to such a meeting.
  
4. **Dean** - The Dean of the Graduate College at Urbana-Champaign or his/her designee. The Dean has responsibility for graduate programs and related policies and procedures. The Dean is the final arbiter of disputes under this policy. In the event a grievance is filed against the Dean, these responsibilities shall be referred to the Office of the Provost for handling and any appeals will be to the Chancellor or his/her designee.

5. **Grievant** - The student in the Graduate College who has filed a grievance pursuant to this policy.
  
6. **Intake Dean (ID)** – A person who has been identified by the Dean to handle a particular dispute; usually an assistant or associate dean in the Graduate College. The Intake Dean will, as appropriate, facilitate informal discussions and/or mediation of disputes, receive information and facilitate discussions and/or mediation after a grievance has been filed at the administrative action stage, prepare a written report of the efforts to resolve the matter and provide this and other relevant background information as needed to the Review Dean, if different from the Intake Dean.
  
7. **Parties** - Refers to the Grievant and all Subjects named in a grievance collectively.
  
8. **Review Dean (RD)** – A person who the Dean may identify to oversee the formal review process – usually an assistant or associate dean in the Graduate College; may be the same person as the Intake Dean. The Review Dean is responsible for providing administrative support for the Review Panel, maintaining documentation, and keeping the Parties informed as to the status of a grievance.
  
9. **Subject(s)** - The person or persons named in the grievance. If a grievance generally references a department or unit, the Subject shall be the Director or Head of the department or Unit.

### **III. ALTERNATIVE AVENUES FOR RESOLUTION**

1. **General Campus Resources.** University policy strongly encourages all students who believe they have a dispute or conflict to use all appropriate avenues for informal resolution before initiating the Graduate College grievance process described herein. Students may seek advice about how to address their situation informally from their faculty advisers, their director of graduate studies, their unit executive officer, the Graduate College (see IV.A. below), the Office of the Dean of Students, and the Office of International Student Affairs before pursuing a formal Graduate College grievance.

2. **Departmental Grievance.** A student may elect to pursue a grievance with the student's department/unit, if the [department has a written grievance policy](#) which has been [approved by the Dean of the Graduate College](#).
  1. Appeal. A party dissatisfied with the outcome of a department/unit grievance finding may appeal the decision on procedural grounds to the Graduate College. An appeal must be filed in writing with an Intake Dean within **ten (10) business days** of the date of the departmental decision being appealed (see IV.B.1.b below).
  2. Reporting. The department/unit shall annually report to the Graduate College Dean the number of grievances filed under the departmental procedures.

#### **IV. PROCEDURES FOR PURSUING A GRADUATE COLLEGE GRIEVANCE**

1. **Informal Resolution.** A graduate student wishing to initiate the Graduate College grievance process must start with an Intake Dean. The student will meet with an Intake Dean who will review the matter and materials and attempt to assist the student in resolving the issue at the informal level through discussion or mediation. This process must be initiated within **sixty (60) business days** of the decision or behavior resulting in the grievance. The Intake Dean may attempt to mediate a resolution for matters that do not meet the deadline, but such matters will not be submitted for a formal review under IV.C.
2. **Administrative Action.**
  1. Written Grievance. A student may file a written grievance:
    1. if an informal resolution is unsuccessful, provided the written grievance is filed within **ten (10) business days** of the date the Intake Dean advises the Grievant and the Subject that no further efforts will be made at the informal stage; or
    2. to appeal a departmental grievance decision, provided the written grievance is filed within **ten (10) business days** of the date of the departmental grievance decision being appealed.
  2. Content and Submission of Grievance. The written grievance should include at least the following:
    1. a statement by the student summarizing the concern(s)
    2. the name(s) of the University faculty, staff or administrators involved
    3. the date(s) of the alleged incident(s)



4. a statement concerning what outcome or action the student would like to see result from the grievance

The grievance should be delivered to the Graduate College Dean.

3.

1. Handling. Once a written grievance has been submitted and reviewed, the Intake Dean will contact the student to arrange a meeting to discuss it. The Intake Dean will review the written grievance and supporting documentation provided by the Grievant and may conduct further inquiries and/or solicit additional information as warranted. The Intake Dean may also facilitate additional discussions between the Parties to try to resolve the matter at the administrative level.

2. Outcomes.

1. Agreed Disposition. If the Intake Dean is successful in resolving the matter by agreement, the Intake Dean shall prepare a report which includes: 1) the grievance(s), 2) the response(s), 3) the finding(s), and 4) the resolution.
  2. Unresolved Grievance. If the Intake Dean is unsuccessful in resolving the matter by agreement, the Intake Dean shall prepare a report which includes: 1) the grievance(s), 2) the response(s), 3) the findings, and 4) what efforts were taken or proposed to resolve the matter administratively.
  3. Report Distribution. The reports referenced under A & B will be submitted to the Dean with copies to the Grievant and the Subject(s) of the Grievance.
3. Request for Formal Review. The Grievant or the Subject(s) may request a formal review of unresolved grievances by submitting the Request within **ten (10) business days** from the date of the Intake Dean's Report to the Dean.

4. **Formal Review of Unresolved Grievances.**

1. Acceptance of Grievance by Dean. Upon receipt of a request for formal review, the Dean will review the request along with the Intake Dean's Report of Administrative Action and other relevant materials to consider whether any issues merit further investigation and review. If the grievance is declined, the Dean will notify the person seeking review in writing and explain the decision. The Dean's decision is final.
2. Appointment of Review Panel. If the Grievance is accepted, the Dean shall appoint a panel of five (5) people to investigate the matter and provide recommendations. The Panel shall consist of: 1) one member of the Graduate

College Executive Committee; 2) one faculty member from the unit in which the matter originated; 3) one faculty member at large; and 4) two active graduate students at large. The faculty member at large will chair the Panel.

3. Written Charge.

1. In General. The Dean shall define the subject matter of the review in a written charge. The charge may, but need not address every allegation contained in the request for Formal Review. The charge may also include additional matters that, in the opinion of the Dean, warrant investigation. The charge shall be provided to the Panel, Review Dean (who may or may not be the same person as the Intake Dean), and the Parties to the Grievance.

2. Content. The written charge shall also include:

1. The identities of the Panel members and a statement that either party may challenge a Panel member on the grounds of a Conflict of Interest within **five (5) business days** of receipt of the Written Charge;

2. A statement that both parties may submit any additional materials relevant to the Written Charge that they want considered by the Panel within **ten (10) business days** of receipt of the Written Charge; and

3. A statement that a Party must make a written request for a meeting with the Panel within **ten (10) business days** of receipt of the Written Charge if such a meeting is desired, and that the Panel will decide if a meeting is warranted.

3. Conflict of Interest. If the Dean believes a legitimate Conflict of Interest exists, the Dean will replace the Panel member as appropriate.

4. Preliminary Review Panel Session(s). After the time granted to the Parties to provide additional materials, the Review Dean shall convene the Panel Members to:

1. Review the process, discuss the Written Charge and review the materials received during the Administrative Action and pursuant to IV.C.3;

2. Review any requests for a meeting and decide if a meeting would be helpful in making findings and recommendations regarding the Written Charge;
3. Provide direction on whether it wants the Review Dean to seek any additional information relevant to the Written Charge from any of the parties or other sources; and
4. Confirm that the Review Dean has provided copies of written materials received by the Panel to all Parties to the Grievance.
5. Meeting Notice. If the Panel concludes a meeting is necessary, the Review Dean shall send notice of a meeting no fewer than **five (5) business** days prior to the meeting. The notice must include the date, place and time of the meeting and a statement that each party may have a Consultant present at the meeting. Continuances may be granted by the Panel Chair with good cause shown.
6. Meeting Attendance. Attendance is restricted to the Grievant, Subject(s) and their respective Consultants, Panel members, the Review Dean, and if necessary, a representative from the Office of University Legal Counsel. If oral statements from witnesses will be received, the witness may be present only while making the statement or responding to questions. Both Parties shall be permitted to be present throughout the meeting but are not required to attend. Any person, including a Party, who disrupts a meeting or who fails to adhere to the directives of the Chair may be removed from the meeting.
7. Meeting Purpose and Structure. The purpose of a meeting under this policy is to allow the Panel to hear directly from the Grievant, Subject(s), and witnesses in order to better attempt to resolve the dispute. While there may be adversarial components, the meeting is not intended to be a trial. Formal rules of evidence shall not apply. All Parties shall treat each other with dignity and respect. Parties may each make a brief opening statement, and then respond to questions from the Panel. The Parties may suggest questions to be asked of each other. The Chair shall decide whether or not to pose the questions. If witnesses will be called, each Party may ask questions directly of his/her witness, but it will be in the Chair's

discretion whether or not questions to another's party's witnesses will be through the Chair or directly by the Party. The confidentiality of all information shall be preserved.

8. Deliberations. The deliberations of the Panel are confidential. All Parties shall be excluded during the Panel's deliberations. The conclusions and recommendations of the Panel must be agreed to by a simple majority of the Panel hearing the matter. The conclusions and recommendations of the Panel must be based on a preponderance of the evidence (more probably true than not true).
  
9. Panel Report. The Panel shall submit a written report to the Dean as soon as practical that includes at least the following:
  1. a copy of the Written Charge from the Dean;
  2. a statement of the relief sought by the Grievant;
  3. the response of the Subjects;
  4. general description of the investigative process;
  5. a citation of relevant policies;
  6. findings of fact that support the Panel's conclusions;
  7. a recommendation of appropriate redress for the Grievant(s), if applicable; and
  8. any recommended changes in policies and procedures to minimize the probability of recurrence, if applicable
  
10. Opportunity to Comment. Copies of the Report shall be provided to the Parties. A party may submit written comments to the Dean of the Graduate College concerning the Report to the Dean within **five (5) business** days of receipt of the Report.
  
11. Action and Disposition of the Grievance; Disclosures. As soon as practical following the receipt of the Report and all written comments concerning the Report, the Dean shall determine what disposition to make of the case.
  1. If the Dean concludes that the grievance has not been proved, the grievance will be deemed not sustained and dismissed.
  
  2. If the Dean concludes that the grievance has been sustained, the Dean will proceed in accordance with the University Statutes and relevant University rules and regulations. The Dean may prescribe redress for the grievant,

recommend modification of policies, or recommend changes in the procedures for implementation of such policies, as appropriate.

3. If the Dean concludes that these procedures have not been followed, or the interests of fairness or thoroughness require further investigation, the Dean may direct the Panel to revisit any relevant issues and submit a revised Report within a certain time frame. The Dean shall identify the specific errors or concerns and provide direction to the Panel as to appropriate corrective measures. The Panel will only address the issues raised by the Dean and submit a supplemental report to the Dean for consideration.

The Final Disposition shall be provided to the Parties in writing. The Dean's disposition is final unless appealed as provided for herein. The Dean may authorize the release of a copy of the Disposition on a need to know basis with due regard for privacy rights of employees and students under federal and state law and University policy (see also, V.F).

12. Appeal. A party may file an appeal to the Urbana-Champaign Provost within **ten (10) business days** from the date of the Dean's Written Disposition. The sole grounds for appeal are material violations of these procedures that have resulted in significant prejudice against the Party appealing. The appeal must be in writing and must specify the nature of the procedural error. The Provost's decision on appeal shall be final.

## **V. GENERAL PROVISIONS**

1. **Record Keeping; Reporting.** After completion of a grievance review and exhaustion of available appeals, the Review Dean shall return any original documents and materials to the persons who furnished them. The College grievance file is subject to destruction on a date six (6) years beyond the grievant's time limit for completion of the degree. Departments/units that handle department level grievances shall annually report to the Dean of the Graduate College the number of grievances filed under the departmental procedures.
2. **Interim Action.** At any time after a grievance has been filed and before final disposition of the case, the Dean, with the approval of the Provost, may take interim administrative action determined to best serve the interest of the Grievant, other students in the same

academic unit or the Subject, to protect the best interest of the University, to preserve evidence, or to protect resources.

3. **Consultation with Legal Counsel.** The Graduate College may consult the Office University Legal Counsel at any time during the informal or formal processing of a grievance.
4. **Timeliness and Procedural Changes.** All actions prescribed in this document should be conducted expeditiously. Every effort should be made to resolve a grievance within one year of the beginning of Administrative Action. Extensions of time periods specified in this document may be granted by the Intake Dean, Panel Chair, or Dean as the case may be, with good cause shown. The Dean may make other reasonable alterations of the procedures set forth in this document, provided that the alteration does not impair the ability of a Grievant to pursue a grievance or the Subjects to respond. Any alterations of these procedures must be communicated to the Parties.
5. **Failure to Participate, Withdrawal, Termination.** The grievance may proceed regardless of the failure of the Grievant or Subject(s) to participate, so long as all required notices have been given. The Grievant may submit a written request to withdraw the grievance at any time; however, the Dean shall have the sole discretion to decide whether to grant or deny the request. Withdrawal from the University by the Grievant or termination of employment by the Subject at the University shall not necessarily terminate the proceedings.
6. **Confidentiality.** All persons involved in administering this policy shall exercise diligent efforts to keep information received or learned during the course of a grievance as confidential. Nothing in these provisions alters privacy rights of employees and students provided in federal and state laws and University policies and procedures. Notwithstanding the foregoing, in the event the Dean concludes that a student has knowingly filed a false grievance, the Dean may authorize the release and use of all materials submitted in this process for use in any disciplinary proceedings.

## **APPENDIX 2**

### **American Psychological Association Ethical Principles of Psychologists and Code of Conduct**



AMERICAN PSYCHOLOGICAL ASSOCIATION

# ETHICAL PRINCIPLES OF PSYCHOLOGISTS AND CODE OF CONDUCT

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Adopted August 21, 2002  
Effective June 1, 2003

With the 2010 Amendments  
Adopted February 20, 2010  
Effective June 1, 2010



# ETHICAL PRINCIPLES OF PSYCHOLOGISTS AND CODE OF CONDUCT

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**2010 AMENDMENTS TO THE  
2002 "ETHICAL PRINCIPLES OF  
PSYCHOLOGISTS AND CODE OF  
CONDUCT"**

## INTRODUCTION AND APPLICABILITY

The American Psychological Association's (APA's) Ethical Principles of Psychologists and Code of Conduct (hereinafter referred to as the Ethics Code) consists of an Introduction, a Preamble, five General Principles (A–E), and specific Ethical Standards. The Introduction discusses the intent, organization, procedural considerations, and scope of application of the Ethics Code. The Preamble and General Principles are aspirational goals to guide psychologists toward the highest ideals of psychology. Although the Preamble and General Principles are not themselves enforceable rules, they should be considered by psychologists in arriving at an ethical course of action. The Ethical Standards set forth enforceable rules for conduct as psychologists. Most of the Ethical Standards are written broadly, in order to apply to psychologists in varied roles, although the application of an Ethical Standard may vary depending on the context. The Ethical Standards are not exhaustive. The fact that a given conduct is not specifically addressed by an Ethical Standard does not mean that it is necessarily either ethical or unethical.

This Ethics Code applies only to psychologists' activities that are part of their scientific, educational, or professional roles as psychologists. Areas covered include but are not limited to the clinical, counseling, and school practice of psychology; research; teaching; supervision of trainees; public service; policy development; social intervention; development of assessment instruments; conducting assessments; educational counseling; organizational consulting; forensic activities; program design and evaluation; and administration. This Ethics Code applies to these activities across a variety of contexts, such as in person, postal, telephone, Internet, and other electronic transmissions. These activities shall be distinguished from the purely private conduct of psychologists, which is not within the purview of the Ethics Code.

Membership in the APA commits members and student affiliates to comply with the standards of the APA Ethics Code and to the rules and procedures used to enforce them. Lack of awareness or misunderstanding of an Ethical Standard is not itself a defense to a charge of unethical conduct.

The procedures for filing, investigating, and resolving complaints of unethical conduct are described in the current Rules and Procedures of the APA Ethics Committee. APA may impose sanctions on its members for violations of the standards of the Ethics Code, including termination of APA membership, and may notify other bodies and individuals of its actions. Actions that violate the standards of the Ethics Code may also lead to the imposition of sanctions on psychologists or students whether or not they are APA members by bodies other than APA, including state psychological associations, other professional groups, psychology boards, other state or federal agencies, and payors for health services. In addition, APA may take action against a member after his or her conviction of a felony, expulsion or suspension from an affiliated state psychological association, or suspension or loss of licensure. When the sanction to be imposed by APA is less than expulsion, the 2001 Rules and Procedures do not guarantee an op-

portunity for an in-person hearing, but generally provide that complaints will be resolved only on the basis of a submitted record.

The Ethics Code is intended to provide guidance for psychologists and standards of professional conduct that can be applied by the APA and by other bodies that choose to adopt them. The Ethics Code is not intended to be a basis of civil liability. Whether a psychologist has violated the Ethics Code standards does not by itself determine whether the psychologist is legally liable in a court action, whether a contract is enforceable, or whether other legal consequences occur.

The modifiers used in some of the standards of this Ethics Code (e.g., *reasonably*, *appropriate*, *potentially*) are included in the standards when they would (1) allow professional judgment on the part of psychologists, (2) eliminate injustice or inequality that would occur without the modifier, (3) ensure applicability across the broad range of activities conducted by psychologists, or (4) guard against a set of rigid rules that might be quickly outdated. As used in this Ethics Code, the term *reasonable* means the prevailing professional judgment of psychologists engaged in similar activities in similar circumstances, given the knowledge the psychologist had or should have had at the time.

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The American Psychological Association's Council of Representatives adopted this version of the APA Ethics Code during its meeting on August 21, 2002. The Code became effective on June 1, 2003. The Council of Representatives amended this version of the Ethics Code on February 20, 2010. The amendments became effective on June 1, 2010 (see p. 15 of this pamphlet). Inquiries concerning the substance or interpretation of the APA Ethics Code should be addressed to the Director, Office of Ethics, American Psychological Association, 750 First Street, NE, Washington, DC 20002-4242. The Ethics Code and information regarding the Code can be found on the APA website, <http://www.apa.org/ethics>. The standards in this Ethics Code will be used to adjudicate complaints brought concerning alleged conduct occurring on or after the effective date. Complaints will be adjudicated on the basis of the version of the Ethics Code that was in effect at the time the conduct occurred.

The APA has previously published its Ethics Code as follows:

- American Psychological Association. (1953). *Ethical standards of psychologists*. Washington, DC: Author.
- American Psychological Association. (1959). Ethical standards of psychologists. *American Psychologist*, 14, 279–282.
- American Psychological Association. (1963). Ethical standards of psychologists. *American Psychologist*, 18, 56–60.
- American Psychological Association. (1968). Ethical standards of psychologists. *American Psychologist*, 23, 357–361.
- American Psychological Association. (1977, March). Ethical standards of psychologists. *APA Monitor*, 22–23.
- American Psychological Association. (1979). *Ethical standards of psychologists*. Washington, DC: Author.
- American Psychological Association. (1981). Ethical principles of psychologists. *American Psychologist*, 36, 633–638.
- American Psychological Association. (1990). Ethical principles of psychologists (Amended June 2, 1989). *American Psychologist*, 45, 390–395.
- American Psychological Association. (1992). Ethical principles of psychologists and code of conduct. *American Psychologist*, 47, 1597–1611.
- American Psychological Association. (2002). Ethical principles of psychologists and code of conduct. *American Psychologist*, 57, 1060–1073.

Request copies of the APA's Ethical Principles of Psychologists and Code of Conduct from the APA Order Department, 750 First Street, NE, Washington, DC 20002-4242, or phone (202) 336-5510.

In the process of making decisions regarding their professional behavior, psychologists must consider this Ethics Code in addition to applicable laws and psychology board regulations. In applying the Ethics Code to their professional work, psychologists may consider other materials and guidelines that have been adopted or endorsed by scientific and professional psychological organizations and the dictates of their own conscience, as well as consult with others within the field. If this Ethics Code establishes a higher standard of conduct than is required by law, psychologists must meet the higher ethical standard. If psychologists' ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to this Ethics Code and take steps to resolve the conflict in a responsible manner in keeping with basic principles of human rights.

## **PREAMBLE**

Psychologists are committed to increasing scientific and professional knowledge of behavior and people's understanding of themselves and others and to the use of such knowledge to improve the condition of individuals, organizations, and society. Psychologists respect and protect civil and human rights and the central importance of freedom of inquiry and expression in research, teaching, and publication. They strive to help the public in developing informed judgments and choices concerning human behavior. In doing so, they perform many roles, such as researcher, educator, diagnostician, therapist, supervisor, consultant, administrator, social interventionist, and expert witness. This Ethics Code provides a common set of principles and standards upon which psychologists build their professional and scientific work.

This Ethics Code is intended to provide specific standards to cover most situations encountered by psychologists. It has as its goals the welfare and protection of the individuals and groups with whom psychologists work and the education of members, students, and the public regarding ethical standards of the discipline.

The development of a dynamic set of ethical standards for psychologists' work-related conduct requires a personal commitment and lifelong effort to act ethically; to encourage ethical behavior by students, supervisees, employees, and colleagues; and to consult with others concerning ethical problems.

## **GENERAL PRINCIPLES**

This section consists of General Principles. General Principles, as opposed to Ethical Standards, are aspirational in nature. Their intent is to guide and inspire psychologists toward the very highest ethical ideals of the profession. General Principles, in contrast to Ethical Standards, do not represent obligations and should not form the basis for imposing sanctions. Relying upon General Principles for either of these reasons distorts both their meaning and purpose.

## **Principle A: Beneficence and Nonmaleficence**

Psychologists strive to benefit those with whom they work and take care to do no harm. In their professional actions, psychologists seek to safeguard the welfare and rights of those with whom they interact professionally and other affected persons, and the welfare of animal subjects of research. When conflicts occur among psychologists' obligations or concerns, they attempt to resolve these conflicts in a responsible fashion that avoids or minimizes harm. Because psychologists' scientific and professional judgments and actions may affect the lives of others, they are alert to and guard against personal, financial, social, organizational, or political factors that might lead to misuse of their influence. Psychologists strive to be aware of the possible effect of their own physical and mental health on their ability to help those with whom they work.

## **Principle B: Fidelity and Responsibility**

Psychologists establish relationships of trust with those with whom they work. They are aware of their professional and scientific responsibilities to society and to the specific communities in which they work. Psychologists uphold professional standards of conduct, clarify their professional roles and obligations, accept appropriate responsibility for their behavior, and seek to manage conflicts of interest that could lead to exploitation or harm. Psychologists consult with, refer to, or cooperate with other professionals and institutions to the extent needed to serve the best interests of those with whom they work. They are concerned about the ethical compliance of their colleagues' scientific and professional conduct. Psychologists strive to contribute a portion of their professional time for little or no compensation or personal advantage.

## **Principle C: Integrity**

Psychologists seek to promote accuracy, honesty, and truthfulness in the science, teaching, and practice of psychology. In these activities psychologists do not steal, cheat, or engage in fraud, subterfuge, or intentional misrepresentation of fact. Psychologists strive to keep their promises and to avoid unwise or unclear commitments. In situations in which deception may be ethically justifiable to maximize benefits and minimize harm, psychologists have a serious obligation to consider the need for, the possible consequences of, and their responsibility to correct any resulting mistrust or other harmful effects that arise from the use of such techniques.

## **Principle D: Justice**

Psychologists recognize that fairness and justice entitle all persons to access to and benefit from the contributions of psychology and to equal quality in the processes, procedures, and services being conducted by psychologists. Psychologists exercise reasonable judgment and take precautions to ensure that their potential biases, the boundaries of

their competence, and the limitations of their expertise do not lead to or condone unjust practices.

## **Principle E: Respect for People's Rights and Dignity**

Psychologists respect the dignity and worth of all people, and the rights of individuals to privacy, confidentiality, and self-determination. Psychologists are aware that special safeguards may be necessary to protect the rights and welfare of persons or communities whose vulnerabilities impair autonomous decision making. Psychologists are aware of and respect cultural, individual, and role differences, including those based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status, and consider these factors when working with members of such groups. Psychologists try to eliminate the effect on their work of biases based on those factors, and they do not knowingly participate in or condone activities of others based upon such prejudices.

### **ETHICAL STANDARDS**

#### **1. Resolving Ethical Issues**

##### **1.01 Misuse of Psychologists' Work**

If psychologists learn of misuse or misrepresentation of their work, they take reasonable steps to correct or minimize the misuse or misrepresentation.

##### **1.02 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority**

If psychologists' ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and take reasonable steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. Under no circumstances may this standard be used to justify or defend violating human rights.

##### **1.03 Conflicts Between Ethics and Organizational Demands**

If the demands of an organization with which psychologists are affiliated or for whom they are working are in conflict with this Ethics Code, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and take reasonable steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. Under no circumstances may this standard be used to justify or defend violating human rights.

##### **1.04 Informal Resolution of Ethical Violations**

When psychologists believe that there may have been an ethical violation by another psychologist, they attempt to resolve the issue by bringing it to the attention of that indi-

vidual, if an informal resolution appears appropriate and the intervention does not violate any confidentiality rights that may be involved. (See also Standards 1.02, Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority, and 1.03, Conflicts Between Ethics and Organizational Demands.)

#### **1.05 Reporting Ethical Violations**

If an apparent ethical violation has substantially harmed or is likely to substantially harm a person or organization and is not appropriate for informal resolution under Standard 1.04, Informal Resolution of Ethical Violations, or is not resolved properly in that fashion, psychologists take further action appropriate to the situation. Such action might include referral to state or national committees on professional ethics, to state licensing boards, or to the appropriate institutional authorities. This standard does not apply when an intervention would violate confidentiality rights or when psychologists have been retained to review the work of another psychologist whose professional conduct is in question. (See also Standard 1.02, Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority.)

#### **1.06 Cooperating With Ethics Committees**

Psychologists cooperate in ethics investigations, proceedings, and resulting requirements of the APA or any affiliated state psychological association to which they belong. In doing so, they address any confidentiality issues. Failure to cooperate is itself an ethics violation. However, making a request for deferment of adjudication of an ethics complaint pending the outcome of litigation does not alone constitute noncooperation.

#### **1.07 Improper Complaints**

Psychologists do not file or encourage the filing of ethics complaints that are made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

#### **1.08 Unfair Discrimination Against Complainants and Respondents**

Psychologists do not deny persons employment, advancement, admissions to academic or other programs, tenure, or promotion, based solely upon their having made or their being the subject of an ethics complaint. This does not preclude taking action based upon the outcome of such proceedings or considering other appropriate information.

### **2. Competence**

#### **2.01 Boundaries of Competence**

(a) Psychologists provide services, teach, and conduct research with populations and in areas only within the boundaries of their competence, based on their education, training, supervised experience, consultation, study, or professional experience.

(b) Where scientific or professional knowledge in the discipline of psychology establishes that an understanding of factors associated with age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, or socioeconomic status is essential for effective implementation of their services or research, psychologists have or obtain the training, experience, consultation, or supervision necessary to ensure the competence of their services, or they make appropriate referrals, except as provided in Standard 2.02, Providing Services in Emergencies.

(c) Psychologists planning to provide services, teach, or conduct research involving populations, areas, techniques, or technologies new to them undertake relevant education, training, supervised experience, consultation, or study.

(d) When psychologists are asked to provide services to individuals for whom appropriate mental health services are not available and for which psychologists have not obtained the competence necessary, psychologists with closely related prior training or experience may provide such services in order to ensure that services are not denied if they make a reasonable effort to obtain the competence required by using relevant research, training, consultation, or study.

(e) In those emerging areas in which generally recognized standards for preparatory training do not yet exist, psychologists nevertheless take reasonable steps to ensure the competence of their work and to protect clients/patients, students, supervisees, research participants, organizational clients, and others from harm.

(f) When assuming forensic roles, psychologists are or become reasonably familiar with the judicial or administrative rules governing their roles.

## **2.02 Providing Services in Emergencies**

In emergencies, when psychologists provide services to individuals for whom other mental health services are not available and for which psychologists have not obtained the necessary training, psychologists may provide such services in order to ensure that services are not denied. The services are discontinued as soon as the emergency has ended or appropriate services are available.

## **2.03 Maintaining Competence**

Psychologists undertake ongoing efforts to develop and maintain their competence.

## **2.04 Bases for Scientific and Professional Judgments**

Psychologists' work is based upon established scientific and professional knowledge of the discipline. (See also Standards 2.01e, Boundaries of Competence, and 10.01b, Informed Consent to Therapy.)

## **2.05 Delegation of Work to Others**

Psychologists who delegate work to employees, supervisees, or research or teaching assistants or who use the ser-

vices of others, such as interpreters, take reasonable steps to (1) avoid delegating such work to persons who have a multiple relationship with those being served that would likely lead to exploitation or loss of objectivity; (2) authorize only those responsibilities that such persons can be expected to perform competently on the basis of their education, training, or experience, either independently or with the level of supervision being provided; and (3) see that such persons perform these services competently. (See also Standards 2.02, Providing Services in Emergencies; 3.05, Multiple Relationships; 4.01, Maintaining Confidentiality; 9.01, Bases for Assessments; 9.02, Use of Assessments; 9.03, Informed Consent in Assessments; and 9.07, Assessment by Unqualified Persons.)

## **2.06 Personal Problems and Conflicts**

(a) Psychologists refrain from initiating an activity when they know or should know that there is a substantial likelihood that their personal problems will prevent them from performing their work-related activities in a competent manner.

(b) When psychologists become aware of personal problems that may interfere with their performing work-related duties adequately, they take appropriate measures, such as obtaining professional consultation or assistance, and determine whether they should limit, suspend, or terminate their work-related duties. (See also Standard 10.10, Terminating Therapy.)

# **3. Human Relations**

## **3.01 Unfair Discrimination**

In their work-related activities, psychologists do not engage in unfair discrimination based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, socioeconomic status, or any basis proscribed by law.

## **3.02 Sexual Harassment**

Psychologists do not engage in sexual harassment. Sexual harassment is sexual solicitation, physical advances, or verbal or nonverbal conduct that is sexual in nature, that occurs in connection with the psychologist's activities or roles as a psychologist, and that either (1) is unwelcome, is offensive, or creates a hostile workplace or educational environment, and the psychologist knows or is told this or (2) is sufficiently severe or intense to be abusive to a reasonable person in the context. Sexual harassment can consist of a single intense or severe act or of multiple persistent or pervasive acts. (See also Standard 1.08, Unfair Discrimination Against Complainants and Respondents.)

## **3.03 Other Harassment**

Psychologists do not knowingly engage in behavior that is harassing or demeaning to persons with whom they interact in their work based on factors such as those persons' age, gender, gender identity, race, ethnicity, culture, national

origin, religion, sexual orientation, disability, language, or socioeconomic status.

### **3.04 Avoiding Harm**

Psychologists take reasonable steps to avoid harming their clients/patients, students, supervisees, research participants, organizational clients, and others with whom they work, and to minimize harm where it is foreseeable and unavoidable.

### **3.05 Multiple Relationships**

(a) A multiple relationship occurs when a psychologist is in a professional role with a person and (1) at the same time is in another role with the same person, (2) at the same time is in a relationship with a person closely associated with or related to the person with whom the psychologist has the professional relationship, or (3) promises to enter into another relationship in the future with the person or a person closely associated with or related to the person.

A psychologist refrains from entering into a multiple relationship if the multiple relationship could reasonably be expected to impair the psychologist's objectivity, competence, or effectiveness in performing his or her functions as a psychologist, or otherwise risks exploitation or harm to the person with whom the professional relationship exists.

Multiple relationships that would not reasonably be expected to cause impairment or risk exploitation or harm are not unethical.

(b) If a psychologist finds that, due to unforeseen factors, a potentially harmful multiple relationship has arisen, the psychologist takes reasonable steps to resolve it with due regard for the best interests of the affected person and maximal compliance with the Ethics Code.

(c) When psychologists are required by law, institutional policy, or extraordinary circumstances to serve in more than one role in judicial or administrative proceedings, at the outset they clarify role expectations and the extent of confidentiality and thereafter as changes occur. (See also Standards 3.04, Avoiding Harm, and 3.07, Third-Party Requests for Services.)

### **3.06 Conflict of Interest**

Psychologists refrain from taking on a professional role when personal, scientific, professional, legal, financial, or other interests or relationships could reasonably be expected to (1) impair their objectivity, competence, or effectiveness in performing their functions as psychologists or (2) expose the person or organization with whom the professional relationship exists to harm or exploitation.

### **3.07 Third-Party Requests for Services**

When psychologists agree to provide services to a person or entity at the request of a third party, psychologists attempt to clarify at the outset of the service the nature of the relationship with all individuals or organizations involved. This clarification includes the role of the psychologist (e.g.,

therapist, consultant, diagnostician, or expert witness), an identification of who is the client, the probable uses of the services provided or the information obtained, and the fact that there may be limits to confidentiality. (See also Standards 3.05, Multiple Relationships, and 4.02, Discussing the Limits of Confidentiality.)

### **3.08 Exploitative Relationships**

Psychologists do not exploit persons over whom they have supervisory, evaluative, or other authority such as clients/patients, students, supervisees, research participants, and employees. (See also Standards 3.05, Multiple Relationships; 6.04, Fees and Financial Arrangements; 6.05, Barter With Clients/Patients; 7.07, Sexual Relationships With Students and Supervisees; 10.05, Sexual Intimacies With Current Therapy Clients/Patients; 10.06, Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients; 10.07, Therapy With Former Sexual Partners; and 10.08, Sexual Intimacies With Former Therapy Clients/Patients.)

### **3.09 Cooperation With Other Professionals**

When indicated and professionally appropriate, psychologists cooperate with other professionals in order to serve their clients/patients effectively and appropriately. (See also Standard 4.05, Disclosures.)

### **3.10 Informed Consent**

(a) When psychologists conduct research or provide assessment, therapy, counseling, or consulting services in person or via electronic transmission or other forms of communication, they obtain the informed consent of the individual or individuals using language that is reasonably understandable to that person or persons except when conducting such activities without consent is mandated by law or governmental regulation or as otherwise provided in this Ethics Code. (See also Standards 8.02, Informed Consent to Research; 9.03, Informed Consent in Assessments; and 10.01, Informed Consent to Therapy.)

(b) For persons who are legally incapable of giving informed consent, psychologists nevertheless (1) provide an appropriate explanation, (2) seek the individual's assent, (3) consider such persons' preferences and best interests, and (4) obtain appropriate permission from a legally authorized person, if such substitute consent is permitted or required by law. When consent by a legally authorized person is not permitted or required by law, psychologists take reasonable steps to protect the individual's rights and welfare.

(c) When psychological services are court ordered or otherwise mandated, psychologists inform the individual of the nature of the anticipated services, including whether the services are court ordered or mandated and any limits of confidentiality, before proceeding.

(d) Psychologists appropriately document written or oral consent, permission, and assent. (See also Standards 8.02,

Informed Consent to Research; 9.03, Informed Consent in Assessments; and 10.01, Informed Consent to Therapy.)

### **3.11 Psychological Services Delivered to or Through Organizations**

(a) Psychologists delivering services to or through organizations provide information beforehand to clients and when appropriate those directly affected by the services about (1) the nature and objectives of the services, (2) the intended recipients, (3) which of the individuals are clients, (4) the relationship the psychologist will have with each person and the organization, (5) the probable uses of services provided and information obtained, (6) who will have access to the information, and (7) limits of confidentiality. As soon as feasible, they provide information about the results and conclusions of such services to appropriate persons.

(b) If psychologists will be precluded by law or by organizational roles from providing such information to particular individuals or groups, they so inform those individuals or groups at the outset of the service.

### **3.12 Interruption of Psychological Services**

Unless otherwise covered by contract, psychologists make reasonable efforts to plan for facilitating services in the event that psychological services are interrupted by factors such as the psychologist's illness, death, unavailability, relocation, or retirement or by the client's/patient's relocation or financial limitations. (See also Standard 6.02c, Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work.)

## **4. Privacy and Confidentiality**

### **4.01 Maintaining Confidentiality**

Psychologists have a primary obligation and take reasonable precautions to protect confidential information obtained through or stored in any medium, recognizing that the extent and limits of confidentiality may be regulated by law or established by institutional rules or professional or scientific relationship. (See also Standard 2.05, Delegation of Work to Others.)

### **4.02 Discussing the Limits of Confidentiality**

(a) Psychologists discuss with persons (including, to the extent feasible, persons who are legally incapable of giving informed consent and their legal representatives) and organizations with whom they establish a scientific or professional relationship (1) the relevant limits of confidentiality and (2) the foreseeable uses of the information generated through their psychological activities. (See also Standard 3.10, Informed Consent.)

(b) Unless it is not feasible or is contraindicated, the discussion of confidentiality occurs at the outset of the relationship and thereafter as new circumstances may warrant.

(c) Psychologists who offer services, products, or information via electronic transmission inform clients/patients of the risks to privacy and limits of confidentiality.

### **4.03 Recording**

Before recording the voices or images of individuals to whom they provide services, psychologists obtain permission from all such persons or their legal representatives. (See also Standards 8.03, Informed Consent for Recording Voices and Images in Research; 8.05, Dispensing With Informed Consent for Research; and 8.07, Deception in Research.)

### **4.04 Minimizing Intrusions on Privacy**

(a) Psychologists include in written and oral reports and consultations, only information germane to the purpose for which the communication is made.

(b) Psychologists discuss confidential information obtained in their work only for appropriate scientific or professional purposes and only with persons clearly concerned with such matters.

### **4.05 Disclosures**

(a) Psychologists may disclose confidential information with the appropriate consent of the organizational client, the individual client/patient, or another legally authorized person on behalf of the client/patient unless prohibited by law.

(b) Psychologists disclose confidential information without the consent of the individual only as mandated by law, or where permitted by law for a valid purpose such as to (1) provide needed professional services; (2) obtain appropriate professional consultations; (3) protect the client/patient, psychologist, or others from harm; or (4) obtain payment for services from a client/patient, in which instance disclosure is limited to the minimum that is necessary to achieve the purpose. (See also Standard 6.04e, Fees and Financial Arrangements.)

### **4.06 Consultations**

When consulting with colleagues, (1) psychologists do not disclose confidential information that reasonably could lead to the identification of a client/patient, research participant, or other person or organization with whom they have a confidential relationship unless they have obtained the prior consent of the person or organization or the disclosure cannot be avoided, and (2) they disclose information only to the extent necessary to achieve the purposes of the consultation. (See also Standard 4.01, Maintaining Confidentiality.)

### **4.07 Use of Confidential Information for Didactic or Other Purposes**

Psychologists do not disclose in their writings, lectures, or other public media, confidential, personally identifiable information concerning their clients/patients, students, research participants, organizational clients, or other recipi-

ents of their services that they obtained during the course of their work, unless (1) they take reasonable steps to disguise the person or organization, (2) the person or organization has consented in writing, or (3) there is legal authorization for doing so.

## **5. Advertising and Other Public Statements**

### **5.01 Avoidance of False or Deceptive Statements**

(a) Public statements include but are not limited to paid or unpaid advertising, product endorsements, grant applications, licensing applications, other credentialing applications, brochures, printed matter, directory listings, personal resumes or curricula vitae, or comments for use in media such as print or electronic transmission, statements in legal proceedings, lectures and public oral presentations, and published materials. Psychologists do not knowingly make public statements that are false, deceptive, or fraudulent concerning their research, practice, or other work activities or those of persons or organizations with which they are affiliated.

(b) Psychologists do not make false, deceptive, or fraudulent statements concerning (1) their training, experience, or competence; (2) their academic degrees; (3) their credentials; (4) their institutional or association affiliations; (5) their services; (6) the scientific or clinical basis for, or results or degree of success of, their services; (7) their fees; or (8) their publications or research findings.

(c) Psychologists claim degrees as credentials for their health services only if those degrees (1) were earned from a regionally accredited educational institution or (2) were the basis for psychology licensure by the state in which they practice.

### **5.02 Statements by Others**

(a) Psychologists who engage others to create or place public statements that promote their professional practice, products, or activities retain professional responsibility for such statements.

(b) Psychologists do not compensate employees of press, radio, television, or other communication media in return for publicity in a news item. (See also Standard 1.01, Misuse of Psychologists' Work.)

(c) A paid advertisement relating to psychologists' activities must be identified or clearly recognizable as such.

### **5.03 Descriptions of Workshops and Non-Degree-Granting Educational Programs**

To the degree to which they exercise control, psychologists responsible for announcements, catalogs, brochures, or advertisements describing workshops, seminars, or other non-degree-granting educational programs ensure that they accurately describe the audience for which the program is intended, the educational objectives, the presenters, and the fees involved.

### **5.04 Media Presentations**

When psychologists provide public advice or comment via print, Internet, or other electronic transmission, they take precautions to ensure that statements (1) are based on their professional knowledge, training, or experience in accord with appropriate psychological literature and practice; (2) are otherwise consistent with this Ethics Code; and (3) do not indicate that a professional relationship has been established with the recipient. (See also Standard 2.04, Bases for Scientific and Professional Judgments.)

### **5.05 Testimonials**

Psychologists do not solicit testimonials from current therapy clients/patients or other persons who because of their particular circumstances are vulnerable to undue influence.

### **5.06 In-Person Solicitation**

Psychologists do not engage, directly or through agents, in uninvited in-person solicitation of business from actual or potential therapy clients/patients or other persons who because of their particular circumstances are vulnerable to undue influence. However, this prohibition does not preclude (1) attempting to implement appropriate collateral contacts for the purpose of benefiting an already engaged therapy client/patient or (2) providing disaster or community outreach services.

## **6. Record Keeping and Fees**

### **6.01 Documentation of Professional and Scientific Work and Maintenance of Records**

Psychologists create, and to the extent the records are under their control, maintain, disseminate, store, retain, and dispose of records and data relating to their professional and scientific work in order to (1) facilitate provision of services later by them or by other professionals, (2) allow for replication of research design and analyses, (3) meet institutional requirements, (4) ensure accuracy of billing and payments, and (5) ensure compliance with law. (See also Standard 4.01, Maintaining Confidentiality.)

### **6.02 Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work**

(a) Psychologists maintain confidentiality in creating, storing, accessing, transferring, and disposing of records under their control, whether these are written, automated, or in any other medium. (See also Standards 4.01, Maintaining Confidentiality, and 6.01, Documentation of Professional and Scientific Work and Maintenance of Records.)

(b) If confidential information concerning recipients of psychological services is entered into databases or systems of records available to persons whose access has not been consented to by the recipient, psychologists use coding or other techniques to avoid the inclusion of personal identifiers.



(c) Psychologists make plans in advance to facilitate the appropriate transfer and to protect the confidentiality of records and data in the event of psychologists' withdrawal from positions or practice. (See also Standards 3.12, Interruption of Psychological Services, and 10.09, Interruption of Therapy.)

### **6.03 Withholding Records for Nonpayment**

Psychologists may not withhold records under their control that are requested and needed for a client's/patient's emergency treatment solely because payment has not been received.

### **6.04 Fees and Financial Arrangements**

(a) As early as is feasible in a professional or scientific relationship, psychologists and recipients of psychological services reach an agreement specifying compensation and billing arrangements.

(b) Psychologists' fee practices are consistent with law.

(c) Psychologists do not misrepresent their fees.

(d) If limitations to services can be anticipated because of limitations in financing, this is discussed with the recipient of services as early as is feasible. (See also Standards 10.09, Interruption of Therapy, and 10.10, Terminating Therapy.)

(e) If the recipient of services does not pay for services as agreed, and if psychologists intend to use collection agencies or legal measures to collect the fees, psychologists first inform the person that such measures will be taken and provide that person an opportunity to make prompt payment. (See also Standards 4.05, Disclosures; 6.03, Withholding Records for Nonpayment; and 10.01, Informed Consent to Therapy.)

### **6.05 Barter With Clients/Patients**

Barter is the acceptance of goods, services, or other nonmonetary remuneration from clients/patients in return for psychological services. Psychologists may barter only if (1) it is not clinically contraindicated, and (2) the resulting arrangement is not exploitative. (See also Standards 3.05, Multiple Relationships, and 6.04, Fees and Financial Arrangements.)

### **6.06 Accuracy in Reports to Payors and Funding Sources**

In their reports to payors for services or sources of research funding, psychologists take reasonable steps to ensure the accurate reporting of the nature of the service provided or research conducted, the fees, charges, or payments, and where applicable, the identity of the provider, the findings, and the diagnosis. (See also Standards 4.01, Maintaining Confidentiality; 4.04, Minimizing Intrusions on Privacy; and 4.05, Disclosures.)

### **6.07 Referrals and Fees**

When psychologists pay, receive payment from, or divide fees with another professional, other than in an employ-

er-employee relationship, the payment to each is based on the services provided (clinical, consultative, administrative, or other) and is not based on the referral itself. (See also Standard 3.09, Cooperation With Other Professionals.)

## **7. Education and Training**

### **7.01 Design of Education and Training Programs**

Psychologists responsible for education and training programs take reasonable steps to ensure that the programs are designed to provide the appropriate knowledge and proper experiences, and to meet the requirements for licensure, certification, or other goals for which claims are made by the program. (See also Standard 5.03, Descriptions of Workshops and Non-Degree-Granting Educational Programs.)

### **7.02 Descriptions of Education and Training Programs**

Psychologists responsible for education and training programs take reasonable steps to ensure that there is a current and accurate description of the program content (including participation in required course- or program-related counseling, psychotherapy, experiential groups, consulting projects, or community service), training goals and objectives, stipends and benefits, and requirements that must be met for satisfactory completion of the program. This information must be made readily available to all interested parties.

### **7.03 Accuracy in Teaching**

(a) Psychologists take reasonable steps to ensure that course syllabi are accurate regarding the subject matter to be covered, bases for evaluating progress, and the nature of course experiences. This standard does not preclude an instructor from modifying course content or requirements when the instructor considers it pedagogically necessary or desirable, so long as students are made aware of these modifications in a manner that enables them to fulfill course requirements. (See also Standard 5.01, Avoidance of False or Deceptive Statements.)

(b) When engaged in teaching or training, psychologists present psychological information accurately. (See also Standard 2.03, Maintaining Competence.)

### **7.04 Student Disclosure of Personal Information**

Psychologists do not require students or supervisees to disclose personal information in course- or program-related activities, either orally or in writing, regarding sexual history, history of abuse and neglect, psychological treatment, and relationships with parents, peers, and spouses or significant others except if (1) the program or training facility has clearly identified this requirement in its admissions and program materials or (2) the information is necessary to evaluate or obtain assistance for students whose personal problems could reasonably be judged to be preventing them from performing their training- or professionally related activities in a competent manner or posing a threat to the students or others.

## **7.05 Mandatory Individual or Group Therapy**

(a) When individual or group therapy is a program or course requirement, psychologists responsible for that program allow students in undergraduate and graduate programs the option of selecting such therapy from practitioners unaffiliated with the program. (See also Standard 7.02, Descriptions of Education and Training Programs.)

(b) Faculty who are or are likely to be responsible for evaluating students' academic performance do not themselves provide that therapy. (See also Standard 3.05, Multiple Relationships.)

## **7.06 Assessing Student and Supervisee Performance**

(a) In academic and supervisory relationships, psychologists establish a timely and specific process for providing feedback to students and supervisees. Information regarding the process is provided to the student at the beginning of supervision.

(b) Psychologists evaluate students and supervisees on the basis of their actual performance on relevant and established program requirements.

## **7.07 Sexual Relationships With Students and Supervisees**

Psychologists do not engage in sexual relationships with students or supervisees who are in their department, agency, or training center or over whom psychologists have or are likely to have evaluative authority. (See also Standard 3.05, Multiple Relationships.)

# **8. Research and Publication**

## **8.01 Institutional Approval**

When institutional approval is required, psychologists provide accurate information about their research proposals and obtain approval prior to conducting the research. They conduct the research in accordance with the approved research protocol.

## **8.02 Informed Consent to Research**

(a) When obtaining informed consent as required in Standard 3.10, Informed Consent, psychologists inform participants about (1) the purpose of the research, expected duration, and procedures; (2) their right to decline to participate and to withdraw from the research once participation has begun; (3) the foreseeable consequences of declining or withdrawing; (4) reasonably foreseeable factors that may be expected to influence their willingness to participate such as potential risks, discomfort, or adverse effects; (5) any prospective research benefits; (6) limits of confidentiality; (7) incentives for participation; and (8) whom to contact for questions about the research and research participants' rights. They provide opportunity for the prospective participants to ask questions and receive answers. (See also Standards 8.03, Informed Consent for Recording Voices and Images in Research; 8.05,

Dispensing With Informed Consent for Research; and 8.07, Deception in Research.)

(b) Psychologists conducting intervention research involving the use of experimental treatments clarify to participants at the outset of the research (1) the experimental nature of the treatment; (2) the services that will or will not be available to the control group(s) if appropriate; (3) the means by which assignment to treatment and control groups will be made; (4) available treatment alternatives if an individual does not wish to participate in the research or wishes to withdraw once a study has begun; and (5) compensation for or monetary costs of participating including, if appropriate, whether reimbursement from the participant or a third-party payor will be sought. (See also Standard 8.02a, Informed Consent to Research.)

## **8.03 Informed Consent for Recording Voices and Images in Research**

Psychologists obtain informed consent from research participants prior to recording their voices or images for data collection unless (1) the research consists solely of naturalistic observations in public places, and it is not anticipated that the recording will be used in a manner that could cause personal identification or harm, or (2) the research design includes deception, and consent for the use of the recording is obtained during debriefing. (See also Standard 8.07, Deception in Research.)

## **8.04 Client/Patient, Student, and Subordinate Research Participants**

(a) When psychologists conduct research with clients/patients, students, or subordinates as participants, psychologists take steps to protect the prospective participants from adverse consequences of declining or withdrawing from participation.

(b) When research participation is a course requirement or an opportunity for extra credit, the prospective participant is given the choice of equitable alternative activities.

## **8.05 Dispensing With Informed Consent for Research**

Psychologists may dispense with informed consent only (1) where research would not reasonably be assumed to create distress or harm and involves (a) the study of normal educational practices, curricula, or classroom management methods conducted in educational settings; (b) only anonymous questionnaires, naturalistic observations, or archival research for which disclosure of responses would not place participants at risk of criminal or civil liability or damage their financial standing, employability, or reputation, and confidentiality is protected; or (c) the study of factors related to job or organization effectiveness conducted in organizational settings for which there is no risk to participants' employability, and confidentiality is protected or (2) where otherwise permitted by law or federal or institutional regulations.

## 8.06 Offering Inducements for Research Participation

(a) Psychologists make reasonable efforts to avoid offering excessive or inappropriate financial or other inducements for research participation when such inducements are likely to coerce participation.

(b) When offering professional services as an inducement for research participation, psychologists clarify the nature of the services, as well as the risks, obligations, and limitations. (See also Standard 6.05, Barter With Clients/Patients.)

## 8.07 Deception in Research

(a) Psychologists do not conduct a study involving deception unless they have determined that the use of deceptive techniques is justified by the study's significant prospective scientific, educational, or applied value and that effective nondeceptive alternative procedures are not feasible.

(b) Psychologists do not deceive prospective participants about research that is reasonably expected to cause physical pain or severe emotional distress.

(c) Psychologists explain any deception that is an integral feature of the design and conduct of an experiment to participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the data collection, and permit participants to withdraw their data. (See also Standard 8.08, Debriefing.)

## 8.08 Debriefing

(a) Psychologists provide a prompt opportunity for participants to obtain appropriate information about the nature, results, and conclusions of the research, and they take reasonable steps to correct any misconceptions that participants may have of which the psychologists are aware.

(b) If scientific or humane values justify delaying or withholding this information, psychologists take reasonable measures to reduce the risk of harm.

(c) When psychologists become aware that research procedures have harmed a participant, they take reasonable steps to minimize the harm.

## 8.09 Humane Care and Use of Animals in Research

(a) Psychologists acquire, care for, use, and dispose of animals in compliance with current federal, state, and local laws and regulations, and with professional standards.

(b) Psychologists trained in research methods and experienced in the care of laboratory animals supervise all procedures involving animals and are responsible for ensuring appropriate consideration of their comfort, health, and humane treatment.

(c) Psychologists ensure that all individuals under their supervision who are using animals have received instruction in research methods and in the care, maintenance, and handling of the species being used, to the extent appropriate

to their role. (See also Standard 2.05, Delegation of Work to Others.)

(d) Psychologists make reasonable efforts to minimize the discomfort, infection, illness, and pain of animal subjects.

(e) Psychologists use a procedure subjecting animals to pain, stress, or privation only when an alternative procedure is unavailable and the goal is justified by its prospective scientific, educational, or applied value.

(f) Psychologists perform surgical procedures under appropriate anesthesia and follow techniques to avoid infection and minimize pain during and after surgery.

(g) When it is appropriate that an animal's life be terminated, psychologists proceed rapidly, with an effort to minimize pain and in accordance with accepted procedures.

## 8.10 Reporting Research Results

(a) Psychologists do not fabricate data. (See also Standard 5.01a, Avoidance of False or Deceptive Statements.)

(b) If psychologists discover significant errors in their published data, they take reasonable steps to correct such errors in a correction, retraction, erratum, or other appropriate publication means.

## 8.11 Plagiarism

Psychologists do not present portions of another's work or data as their own, even if the other work or data source is cited occasionally.

## 8.12 Publication Credit

(a) Psychologists take responsibility and credit, including authorship credit, only for work they have actually performed or to which they have substantially contributed. (See also Standard 8.12b, Publication Credit.)

(b) Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as department chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are acknowledged appropriately, such as in footnotes or in an introductory statement.

(c) Except under exceptional circumstances, a student is listed as principal author on any multiple-authored article that is substantially based on the student's doctoral dissertation. Faculty advisors discuss publication credit with students as early as feasible and throughout the research and publication process as appropriate. (See also Standard 8.12b, Publication Credit.)

## 8.13 Duplicate Publication of Data

Psychologists do not publish, as original data, data that have been previously published. This does not preclude republishing data when they are accompanied by proper acknowledgment.

## 8.14 Sharing Research Data for Verification

(a) After research results are published, psychologists do not withhold the data on which their conclusions are based from other competent professionals who seek to verify the substantive claims through reanalysis and who intend to use such data only for that purpose, provided that the confidentiality of the participants can be protected and unless legal rights concerning proprietary data preclude their release. This does not preclude psychologists from requiring that such individuals or groups be responsible for costs associated with the provision of such information.

(b) Psychologists who request data from other psychologists to verify the substantive claims through reanalysis may use shared data only for the declared purpose. Requesting psychologists obtain prior written agreement for all other uses of the data.

## 8.15 Reviewers

Psychologists who review material submitted for presentation, publication, grant, or research proposal review respect the confidentiality of and the proprietary rights in such information of those who submitted it.

# 9. Assessment

## 9.01 Bases for Assessments

(a) Psychologists base the opinions contained in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, on information and techniques sufficient to substantiate their findings. (See also Standard 2.04, Bases for Scientific and Professional Judgments.)

(b) Except as noted in 9.01c, psychologists provide opinions of the psychological characteristics of individuals only after they have conducted an examination of the individuals adequate to support their statements or conclusions. When, despite reasonable efforts, such an examination is not practical, psychologists document the efforts they made and the result of those efforts, clarify the probable impact of their limited information on the reliability and validity of their opinions, and appropriately limit the nature and extent of their conclusions or recommendations. (See also Standards 2.01, Boundaries of Competence, and 9.06, Interpreting Assessment Results.)

(c) When psychologists conduct a record review or provide consultation or supervision and an individual examination is not warranted or necessary for the opinion, psychologists explain this and the sources of information on which they based their conclusions and recommendations.

## 9.02 Use of Assessments

(a) Psychologists administer, adapt, score, interpret, or use assessment techniques, interviews, tests, or instruments in a manner and for purposes that are appropriate in light of the research on or evidence of the usefulness and proper application of the techniques.

(b) Psychologists use assessment instruments whose validity and reliability have been established for use with members of the population tested. When such validity or reliability has not been established, psychologists describe the strengths and limitations of test results and interpretation.

(c) Psychologists use assessment methods that are appropriate to an individual's language preference and competence, unless the use of an alternative language is relevant to the assessment issues.

## 9.03 Informed Consent in Assessments

(a) Psychologists obtain informed consent for assessments, evaluations, or diagnostic services, as described in Standard 3.10, Informed Consent, except when (1) testing is mandated by law or governmental regulations; (2) informed consent is implied because testing is conducted as a routine educational, institutional, or organizational activity (e.g., when participants voluntarily agree to assessment when applying for a job); or (3) one purpose of the testing is to evaluate decisional capacity. Informed consent includes an explanation of the nature and purpose of the assessment, fees, involvement of third parties, and limits of confidentiality and sufficient opportunity for the client/patient to ask questions and receive answers.

(b) Psychologists inform persons with questionable capacity to consent or for whom testing is mandated by law or governmental regulations about the nature and purpose of the proposed assessment services, using language that is reasonably understandable to the person being assessed.

(c) Psychologists using the services of an interpreter obtain informed consent from the client/patient to use that interpreter, ensure that confidentiality of test results and test security are maintained, and include in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, discussion of any limitations on the data obtained. (See also Standards 2.05, Delegation of Work to Others; 4.01, Maintaining Confidentiality; 9.01, Bases for Assessments; 9.06, Interpreting Assessment Results; and 9.07, Assessment by Unqualified Persons.)

## 9.04 Release of Test Data

(a) The term *test data* refers to raw and scaled scores, client/patient responses to test questions or stimuli, and psychologists' notes and recordings concerning client/patient statements and behavior during an examination. Those portions of test materials that include client/patient responses are included in the definition of *test data*. Pursuant to a client/patient release, psychologists provide test data to the client/patient or other persons identified in the release. Psychologists may refrain from releasing test data to protect a client/patient or others from substantial harm or misuse or misrepresentation of the data or the test, recognizing that in many instances release of confidential information under these circumstances is regulated by law. (See also Standard 9.11, Maintaining Test Security.)

(b) In the absence of a client/patient release, psychologists provide test data only as required by law or court order.

### 9.05 Test Construction

Psychologists who develop tests and other assessment techniques use appropriate psychometric procedures and current scientific or professional knowledge for test design, standardization, validation, reduction or elimination of bias, and recommendations for use.

### 9.06 Interpreting Assessment Results

When interpreting assessment results, including automated interpretations, psychologists take into account the purpose of the assessment as well as the various test factors, test-taking abilities, and other characteristics of the person being assessed, such as situational, personal, linguistic, and cultural differences, that might affect psychologists' judgments or reduce the accuracy of their interpretations. They indicate any significant limitations of their interpretations. (See also Standards 2.01b and c, Boundaries of Competence, and 3.01, Unfair Discrimination.)

### 9.07 Assessment by Unqualified Persons

Psychologists do not promote the use of psychological assessment techniques by unqualified persons, except when such use is conducted for training purposes with appropriate supervision. (See also Standard 2.05, Delegation of Work to Others.)

### 9.08 Obsolete Tests and Outdated Test Results

(a) Psychologists do not base their assessment or intervention decisions or recommendations on data or test results that are outdated for the current purpose.

(b) Psychologists do not base such decisions or recommendations on tests and measures that are obsolete and not useful for the current purpose.

### 9.09 Test Scoring and Interpretation Services

(a) Psychologists who offer assessment or scoring services to other professionals accurately describe the purpose, norms, validity, reliability, and applications of the procedures and any special qualifications applicable to their use.

(b) Psychologists select scoring and interpretation services (including automated services) on the basis of evidence of the validity of the program and procedures as well as on other appropriate considerations. (See also Standard 2.01b and c, Boundaries of Competence.)

(c) Psychologists retain responsibility for the appropriate application, interpretation, and use of assessment instruments, whether they score and interpret such tests themselves or use automated or other services.

### 9.10 Explaining Assessment Results

Regardless of whether the scoring and interpretation are done by psychologists, by employees or assistants, or by

automated or other outside services, psychologists take reasonable steps to ensure that explanations of results are given to the individual or designated representative unless the nature of the relationship precludes provision of an explanation of results (such as in some organizational consulting, preemployment or security screenings, and forensic evaluations), and this fact has been clearly explained to the person being assessed in advance.

### 9.11 Maintaining Test Security

The term *test materials* refers to manuals, instruments, protocols, and test questions or stimuli and does not include *test data* as defined in Standard 9.04, Release of Test Data. Psychologists make reasonable efforts to maintain the integrity and security of test materials and other assessment techniques consistent with law and contractual obligations, and in a manner that permits adherence to this Ethics Code.

## 10. Therapy

### 10.01 Informed Consent to Therapy

(a) When obtaining informed consent to therapy as required in Standard 3.10, Informed Consent, psychologists inform clients/patients as early as is feasible in the therapeutic relationship about the nature and anticipated course of therapy, fees, involvement of third parties, and limits of confidentiality and provide sufficient opportunity for the client/patient to ask questions and receive answers. (See also Standards 4.02, Discussing the Limits of Confidentiality, and 6.04, Fees and Financial Arrangements.)

(b) When obtaining informed consent for treatment for which generally recognized techniques and procedures have not been established, psychologists inform their clients/patients of the developing nature of the treatment, the potential risks involved, alternative treatments that may be available, and the voluntary nature of their participation. (See also Standards 2.01e, Boundaries of Competence, and 3.10, Informed Consent.)

(c) When the therapist is a trainee and the legal responsibility for the treatment provided resides with the supervisor, the client/patient, as part of the informed consent procedure, is informed that the therapist is in training and is being supervised and is given the name of the supervisor.

### 10.02 Therapy Involving Couples or Families

(a) When psychologists agree to provide services to several persons who have a relationship (such as spouses, significant others, or parents and children), they take reasonable steps to clarify at the outset (1) which of the individuals are clients/patients and (2) the relationship the psychologist will have with each person. This clarification includes the psychologist's role and the probable uses of the services provided or the information obtained. (See also Standard 4.02, Discussing the Limits of Confidentiality.)

(b) If it becomes apparent that psychologists may be called on to perform potentially conflicting roles (such

as family therapist and then witness for one party in divorce proceedings), psychologists take reasonable steps to clarify and modify, or withdraw from, roles appropriately. (See also Standard 3.05c, Multiple Relationships.)

### **10.03 Group Therapy**

When psychologists provide services to several persons in a group setting, they describe at the outset the roles and responsibilities of all parties and the limits of confidentiality.

### **10.04 Providing Therapy to Those Served by Others**

In deciding whether to offer or provide services to those already receiving mental health services elsewhere, psychologists carefully consider the treatment issues and the potential client's/patient's welfare. Psychologists discuss these issues with the client/patient or another legally authorized person on behalf of the client/patient in order to minimize the risk of confusion and conflict, consult with the other service providers when appropriate, and proceed with caution and sensitivity to the therapeutic issues.

### **10.05 Sexual Intimacies With Current Therapy Clients/Patients**

Psychologists do not engage in sexual intimacies with current therapy clients/patients.

### **10.06 Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients**

Psychologists do not engage in sexual intimacies with individuals they know to be close relatives, guardians, or significant others of current clients/patients. Psychologists do not terminate therapy to circumvent this standard.

### **10.07 Therapy With Former Sexual Partners**

Psychologists do not accept as therapy clients/patients persons with whom they have engaged in sexual intimacies.

### **10.08 Sexual Intimacies With Former Therapy Clients/Patients**

(a) Psychologists do not engage in sexual intimacies with former clients/patients for at least two years after cessation or termination of therapy.

(b) Psychologists do not engage in sexual intimacies with former clients/patients even after a two-year interval except in the most unusual circumstances. Psychologists who engage in such activity after the two years following cessation or termination of therapy and of having no sexual contact with the former client/patient bear the burden of demonstrating that there has been no exploitation, in light of all relevant factors, including (1) the amount of time that has passed since therapy terminated; (2) the nature, duration, and intensity of the therapy; (3) the circumstances of termination; (4) the cli-

ent's/patient's personal history; (5) the client's/patient's current mental status; (6) the likelihood of adverse impact on the client/patient; and (7) any statements or actions made by the therapist during the course of therapy suggesting or inviting the possibility of a posttermination sexual or romantic relationship with the client/patient. (See also Standard 3.05, Multiple Relationships.)

### **10.09 Interruption of Therapy**

When entering into employment or contractual relationships, psychologists make reasonable efforts to provide for orderly and appropriate resolution of responsibility for client/patient care in the event that the employment or contractual relationship ends, with paramount consideration given to the welfare of the client/patient. (See also Standard 3.12, Interruption of Psychological Services.)

### **10.10 Terminating Therapy**

(a) Psychologists terminate therapy when it becomes reasonably clear that the client/patient no longer needs the service, is not likely to benefit, or is being harmed by continued service.

(b) Psychologists may terminate therapy when threatened or otherwise endangered by the client/patient or another person with whom the client/patient has a relationship.

(c) Except where precluded by the actions of clients/patients or third-party payors, prior to termination psychologists provide pretermination counseling and suggest alternative service providers as appropriate.

## 2010 AMENDMENTS TO THE 2002 “ETHICAL PRINCIPLES OF PSYCHOLOGISTS AND CODE OF CONDUCT”

The American Psychological Association’s Council of Representatives adopted the following amendments to the 2002 “Ethical Principles of Psychologists and Code of Conduct” at its February 2010 meeting. Changes are indicated by underlining for additions and striking through for deletions. A history of amending the Ethics Code is provided in the “Report of the Ethics Committee, 2009” in the July-August 2010 issue of the *American Psychologist* (Vol. 65, No. 5).

Original Language With Changes Marked

### Introduction and Applicability

If psychologists’ ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to this Ethics Code and take steps to resolve the conflict in a responsible manner. ~~If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing authority~~ in keeping with basic principles of human rights.

### 1.02 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority

If psychologists’ ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and take reasonable steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. ~~If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing legal authority. Under no circumstances may this standard be used to justify or defend violating human rights.~~

### 1.03 Conflicts Between Ethics and Organizational Demands

If the demands of an organization with which psychologists are affiliated or for whom they are working are in conflict with this Ethics Code, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and to the extent feasible, resolve the conflict in a way that permits adherence to the Ethics Code. take reasonable steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. Under no circumstances may this standard be used to justify or defend violating human rights.

## NOTES





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750 First Street, NE  
Washington, DC 20002-4242

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