



PACIFICA  
GRADUATE INSTITUTE

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CLINICAL PSYCHOLOGY, Ph. D.  
DISSERTATION HANDBOOK 2015-2016

Pacifica Graduate Institute | 249 Lambert Road, Carpinteria, CA 93013  
TEL: 805.969.3626 | FAX: 805-565-1932 | [www.pacifica.edu](http://www.pacifica.edu)



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## Preface to the 2015-2016 Dissertation Handbook

The purpose of this handbook is to clarify the nature and process of doctoral dissertation research in clinical psychology as the culminating scholarly endeavor of students' psychological education at Pacifica Graduate Institute. The handbook addresses two distinctive but related basic aspects of doctoral dissertation research at Pacifica: the *research process* and the *dissertation process*. The first basic aspect, the research process, refers to the way students actually go about approaching, conceiving, designing, conducting, and reporting their research projects in clinical psychology. The second basic aspect, the dissertation process, refers to specific institutional requirements and procedures that Pacifica has established for students enrolled in the dissertation period of their program, that is, for students on the "dissertation clock." Although these two basic aspects of doctoral dissertation research support and coincide with one another, they still represent two different kinds of demands to which students must respond: the first being scholarly, the second being institutional.

The dissertation handbook contains basic, broad guidelines and standards for engaging in the research, including brief discussions of some of the kinds of approaches, methodologies, and dissertations that Pacifica Graduate Institute supports. The handbook also contains guidelines and suggestions for assembling dissertation committees as well as outlines of the technical and procedural requirements of the dissertation process at Pacifica.

The faculty of the Institute encourages students to read this manual early and carefully. Familiarity with the research and dissertation processes can help make the prospect of doing doctoral dissertation research more inviting and help integrate the research process with students' entire academic experience.

All forms pertaining to the formal, procedural aspects of the dissertation process are available on the Dissertation Resources web page. A discussion of these procedures from an institutional perspective is the subject of the next part of the Handbook, "Part 2: Seven Stages of Dissertation Research."

Another indispensable aid to students anticipating writing their doctoral dissertations is the *Publication Manual of the American Psychological Association, Sixth Edition*. It not only specifies the stylistic and editorial standards to which all publications in the field of psychology are held accountable, but also provides a common, universally understood format and framework for scientific communication within the field. Thus, all writing connected with the fulfillment of Pacifica Graduate Institute's doctoral dissertation research requirements—namely, concept papers, proposals, and final dissertations—are expected to consistently follow the guidelines. For more information, see "APA Style Guidelines" in Part 3 of this handbook.

In accordance with our plagiarism and honesty policy (refer to Student Handbook), Pacifica requires that all research and writing adheres to the professional standards of the field (clinical psychology). Such standards are outlined in APA publications on research ethics and on writing and publication.

## **Revisions to the Dissertation Handbook**

Dissertation handbooks are revised and made available at the start of each academic year. Students are required to follow the procedural guidelines and technical requirements of the dissertation handbook pertaining to the academic year in which they are working with committee members and/or submitting dissertation work. Students are also required to review revisions of dissertation academic guidelines (e.g. proposal content and structure) and accommodate these revisions wherever possible. However, students are not required to rewrite parts of their dissertation completed under guidelines that may be subsequently revised.

## **Dissertation Handbook Format**

The dissertation handbook is formatted as a book, not in accordance with APA formatting students follow for their dissertations. Do not use the appearance of this handbook as a visual guide to the format of scholarly work.

## **Changes in the 2015-2016 Dissertation Handbook**

This year's edition of the Dissertation Handbook contains minor corrections in wording and formatting, the kind of continual improvements in clarity that will be helpful to students and their committee members. Other changes to policy and process, new in the Fall of 2015, include the following:

- The Ethics Application now requires three signatures: the dissertation chair, the program's director of research, and Pacifica's Institutional Review Board (IRB) representative.
- Pacifica offers improved support for committee members to participate in an oral defense from a remote location via Skype or other video technology.
- Following APA guidelines, students must limit the title of the dissertation to no more than 12 words that fit on one or two lines of text.
- Following APA guidelines, the abstract is now limited to no more than 250 words, formatted as a single paragraph.
- Students who use color images in their work are no longer required to submit a complete set of the images to the Dissertation Office in the final phases of proofreading and publication.
- Students are not required to send the Dissertation Office a flash drive with their final, publication-ready manuscript. It uses the digital file students upload through the D2L portal to archive a copy of the work.
- Dissertations are not submitted to ProQuest for publication until the award of the student's degree has been posted by the Registrar.

**Part 1**  
**Introduction to Doctoral Dissertation Research**  
**in Clinical Psychology**

This part presents a concise introduction to doctoral dissertation research at Pacifica Graduate Institute. It begins with a discussion of the Institute's vision for research in clinical psychology and the demands this vision places on students and faculty alike. It then offers a brief but comprehensive description of research in clinical psychology.

This first part of the dissertation handbook presents a concise introduction to doctoral dissertation research at Pacifica Graduate Institute. It begins with a discussion of the Institute's vision for research in clinical psychology and the demands this vision places on students and committee members alike. It then presents an overview of the research process itself in the form of a brief but comprehensive description of research in clinical psychology. This first part of the handbook then concludes with a concise review of the dissertation process, that is, the specific formal, procedural requirements of the Institute, which must be met in order to successfully complete the dissertation processes and qualify for the degree of Doctor of Philosophy in Clinical Psychology.

## Pacifica's Vision for Research in Clinical Psychology

Pacifica Graduate Institute conceives the essential vocation of the researcher as one of asking meaningful questions which promise to open up new knowledge, understanding, or perspective in the field of clinical psychology. Within the context of this guiding vision, the Institute respects the multiple traditions of psychology and appreciates that each tradition both reveals and conceals certain aspects of the quality and character of psychological life. The Institute's commitment to interdisciplinary research excellence includes a variety of quantitative, qualitative, and theoretical methods for investigations not only from the field of clinical psychology itself but also from a variety of related disciplines. In addition, any dissertation must conform to the values and strategies for exploring and expanding knowledge. Specifically, this means that it is based on evidence, can be verified, shows researcher's awareness of their influence on the research process, and is consistent with guidelines for rigorous established research methods as well as the approaches unique to Pacifica Graduate Institute. This distinctive research mission to develop rigorous, interdisciplinary approaches to inquiry in clinical psychology places special demands on doctoral research conducted at the Institute.

First of all, it should be understood that, although its program in clinical psychology is imbued with a distinctively depth psychological emphasis, the Institute is also committed to academic excellence in the field of clinical psychology as a whole. Specifically, students are encouraged to develop dissertation projects whose content reflect clinical issues and can contribute to the field of clinical psychology as a whole. However, this can be broadly defined to include such areas as myth, religion, and literature although students who choose to write on these topics must provide links to clinically relevant applications such as therapeutic interventions or clinical disorders.

A second challenge that is distinctive for researchers at Pacifica grows out of depth psychology's concern with psychological reality as a whole. Rather than being limited to quantifiable facts, this reality is constituted by qualitative meanings that are culturally and historically configured. Both Freud and Jung, as the chief progenitors of depth psychology emphasized the importance of developing metaphoric sensibilities and of seeking evidence from a wide number of disciplines including mythology, literature, philosophy, anthropology, the arts, and religion. This inherent requirement of psychology's subject matter for interdisciplinary study calls upon researchers to understand and apply human scientific approaches to the field of clinical psychology that appreciate relevant domains of scholarship and human endeavor, while also respecting the value of natural scientific research.

A third distinctive demand for researchers at Pacifica is the continued clarification and development of research approaches and methodologies befitting its subject matter. Established human science-based approaches invite the researchers to be articulate and reflexive with respect to their research methodologies and procedures. New approaches and methodologies, in particular, must be clearly related to historical, methodological dilemmas and challenges in the field of clinical psychology and then justified on philosophical, theoretical, and scientific grounds. The cases when natural scientific approaches are appropriate also require such justification.

Fourthly, as a direct outgrowth of its depth psychological understanding of psychological life, the Institute not only acknowledges, but also seeks to illuminate the reciprocal relation between researcher and topic. The Institute's vision for research takes seriously the discovery, from both philosophical and scientific perspectives, that knower and known mutually constitute one another in the quest for knowledge, understanding, and truth. Thus, researchers can never be understood as standing impartially apart from a world of autonomous objects, but, rather, bring their own life and times to the entire research enterprise, beginning with the very act of asking their research questions. It is the Institute's understanding, therefore, that researchers are obligated to identify and clarify their basic philosophical or epistemological approach to psychological science; to identify and to work through their own personal predispositions or, in the language of depth psychology, transferences to their topics; and, thereby, to clarify how they will manage the reciprocity of knower and known in all of their research activities.

A fifth demand that is placed on depth psychological research grows out of its sensitivity to the circumstance that all knowledge and all acts of knowing are historically and culturally situated. Both the researcher and the researched appear within a particular socio-temporal context that profoundly colors both what is and what is not seen and understood. This circumstance demands that depth psychological researchers do whatever is possible to explicate the significance of this larger context as it relates to all aspects of the research process. From the kinds of questions that can be asked, to the kinds of investigative methods used, to the very parameters and possibilities of research findings, historical and cultural horizons or contexts play a significant and often largely unacknowledged role in the entire research process. Depth psychological researchers are, therefore, especially obliged to articulate what they can of the nature, influence, and implications of these horizons with respect to the research enterprise.

Additionally, it should be recognized that each of these above special circumstances have important implications for doctoral dissertation research at Pacifica that need to be understood from the perspective of both the actual *research process*, i.e., the way students actually carry out their research projects in clinical psychology, and the *dissertation procedures*, i.e., the way students fulfill Pacifica's specific technical and procedural requirements for qualifying for the degree of Doctor of Philosophy in Clinical Psychology. The following section addresses some of these implications vis-à-vis the research process as it is carried out by students at the Institute.

Finally, Pacifica encourages students to conceive of their dissertations as a process of apprenticeship. Rather than viewing one's dissertation as a magnum opus or work of a lifetime, students are invited to see their dissertation process as building on their research and clinical training at Pacifica as well as using the dissertation to develop further expertise in one or more areas of students' interest.

## Getting Started

A great deal of preparation goes into the development and design of a systematic, doctoral dissertation research project in clinical psychology. Much of this preparation occurs prior to ever putting pen to paper or fingers to keyboard. Because research at Pacifica has the special challenge of contributing both to the domain of clinical psychology and to the development of depth psychological approaches to understanding psychological life and service, it behooves students to have a general overview of the implications of this distinctive scholarly challenge for engaging the research process as a whole. This overview establishes very basic, broad, scholarly standards and expectations for research at Pacifica, regardless of the particular approaches, models, or methods students adopt for their own individual research projects. What follows immediately is an attempt to describe five primary constituents of research in clinical psychology as it is commonly experienced by doctoral candidates at Pacifica. The discussion of each of these constituents is not intended to be exhaustive or exclusive but merely to indicate general standards and parameters for doctoral research in clinical psychology.

### Imagining the Dissertation

The first questions that face students in considering doing doctoral dissertation research are “What shall I investigate?” and “How shall I go about it?” However, a depth psychological approach to research and science recognizes that lying behind these questions are already a number of attitudes and assumptions that can significantly influence students’ decisions and subsequent actions.

Although there are many attitudes and beliefs that can easily hinder one’s progress in conducting doctoral dissertation research in psychology, three particularly common obstacles are worth noting here.

#### *Insecurity*

For many students, writing a dissertation can bring psychological challenges in addition to the more obvious logistical demands. It is often the case that insecurities emerge about students’ own ability, intelligence, worth, knowledge, and sheer capacity to create a major piece of psychological writing. Many years of experience in educational institutions plus related experiences in family and everyday life can contribute to the development of adverse complexes that can be awakened in the dissertation process and easily undermine a person’s sense of confidence and clarity. Since, for most students, their doctoral research will lead to the first permanent and universally available record of their scholarship in clinical psychology, anticipating doing such substantive, important work often brings up the kinds of self-doubt and insecurity that have plagued them in the past. Nevertheless, it is also worth remembering that although few, if any, students find the writing of a dissertation easy, anyone who has successfully completed their graduate coursework also already has the capacity to complete this final assignment. While it is surely important to recognize and understand insecurity and self-doubt, indeed, self-doubt may serve as an important resource for taking an honest, critical (but not self-demeaning) look at their work, it is equally important to recognize that, in order to get this far, individuals must necessarily have had many successes along the way as well. It may, therefore be helpful to conceive of the whole doctoral research enterprise not only as an opportunity to pursue questions of passionate

personal interest and to make a contribution to the field, but also as an opportunity for self-knowledge, self-reflection, and self-development.

### *Grandiosity*

It is not at all uncommon for students to have almost the completely opposite fantasy about their work as well. Grandiosity is hardly an uncommon feature of the academic life! Grandiose notions about oneself and one's work are just as compelling as insecurity and can just as easily inhibit or even paralyze one's work. For example, many students harbor wishes that their research will change the whole field of clinical psychology, not to mention sizeable portions of society at large! Such wishes, too, grow out of long standing disappointments, issues, and complexes in students' lives and are just as important to understand and work through as the more adverse complexes. Furthermore, a relatively healthy narcissism, especially when balanced with an equally healthy capacity for self-doubt, can serve as a critical psychic asset for the long and arduous work of doctoral dissertation. It is helpful to remember, therefore, that although your work is not likely to change significantly the field of clinical psychology or any sizeable portion of society at large, it certainly does have the potential for making a meaningful contribution to the field, particularly within a fairly circumscribed area. Furthermore, although there is surely a place for personal creativity in such research, much of what research entails is the recognition and understanding of the work of other scholars upon whose efforts students' research is always built. The purpose of doctoral dissertation research is not to establish one's immediate preeminence in the field but rather to demonstrate one's proficiency with the literature, language, and methodology of the field in order to gain admission to it.

### *Misconstruing Doctoral Dissertation Research*

As stated in the introduction, the essential purpose of doctoral dissertation research in clinical psychology is to make a worthwhile contribution to a field dedicated to understanding psychological life and to serving those individuals, families, and groups who constitute contemporary society. Such a contribution is required to demonstrate a doctoral candidate's proficiency with the literature, language, and methodology of clinical psychology and to gain initial admission to the field. Unfortunately, many students misconstrue the purpose of doctoral research as one of writing a book or, perhaps, a series of topically related essays. Given the fact that their doctoral education in clinical psychology has required writing many such essays, it is understandable that students might think of their doctoral dissertation research in a similar fashion. Many students, therefore, think that research requires them to develop and defend an idea or position, to write a rhetorical treatise demonstrating their intelligence, insight, or facility with language, in other words, to establish their authority in the field. While being intelligent, insightful, and literary are certainly required for doctoral dissertation research, they are not the ends but the means to the goal. This goal is not to write a book, prove one's worth, or establish one's authority in the field, but merely to make a modest and deserving contribution to expanding the knowledge base of clinical psychology with a sound piece of research demonstrating one's effective, conversant familiarity with its literature, thought, language, and methodology. It is important to remember that all the great figures upon whose lives and works our own efforts in clinical psychology are built started their careers by gaining acknowledgement in and admission to their fields by conducting modest, methodologically sound studies of significant but relatively circumscribed problems and questions. In some ways doctoral dissertation research

may be compared to the final piece of work that artisans once produced to be admitted to their guilds. No one expected their work to change all of history, but merely to demonstrate a high degree of proficiency in expanding the knowledge base of their profession.

### *Assessing the Magnitude of a Dissertation*

A general criterion that is generic across doctoral dissertations is that they should be original contributions to the field. Related to this is the magnitude of what is involved. Below are a set of general guidelines that will hopefully help communicate this clearly.

The research process refers to the way students actually go about approaching, conceiving, designing, conducting, and reporting their research projects. In other words, the research process is particular manner in which students actually carry out their research projects as opposed to the dissertation process, which refers to the institutional structures and procedures required by Pacifica (See Seven Stages of Dissertation Research in the next Part).

### *Length*

Qualitative, participant-based dissertations, and theoretical dissertations should be approximately 150 to 200 pages. In contrast, quantitative, participant-based studies should be 120 to 150 pages.

### *Data Collection*

A quantitative, participant-based study will vary in terms of hours required for data collection. For example, data “collection” for an epidemiological study that utilizes pre-existing data sets may require less time but this would be compensated for by the very large number of participants that would then be available. On the other hand, intensive data collection with a clinical population involving the administration of time consuming instruments (i.e. WAIS-IV) may take more than 50 hours. Note that sample size should in part be determined by considering the number of variables in relation to the participants (roughly 30 participants per each dependent and independent variable in each group). For example, students conducting a typical survey research examining relations between three or four variables of interest should seek to find minimum 100 to 120 participants. Furthermore, such statistical procedures as scale construction have other requirements for number of participants needed, and students are encouraged to check statistical guidelines for a number of participants needed based on the analysis they plan to carry out.

Qualitative dissertations have different criteria for determining the effort spent in data collection. Typically the number of participants is much smaller because the purpose of qualitative inquiry is to discover meaning of experiences for participants rather than generalize to greater population (i.e., depth of understanding versus breadth). Thus, a phenomenological study should have five to eight participants. A narrative or case studies approach may include as few as one or two participants with whom the researcher must meet multiple times to gather significant amounts of data through interviews, observations, and selection of other artifacts. The general number of participants for a Grounded Theory study would be 15 to 20 (until “saturation” has been reached). In contrast, a case study might only include two or three cases but it would be expected that this would involve an intensive amount of time spent with them, the use of a wide variety of data (i.e. direct client



interview, interviews with informants, record reviews, psychological test data), and an extended narrative describing the results of the data in the results section of the dissertation.

Theoretical dissertations typically rely on text/archival data. As was emphasized previously, they should use a multitude of sources in order to derive the theory. These should include, but not be limited to cultural analysis, published case studies, a variety of texts (including books and scholarly articles), and ethnographic material. All theoretical dissertations will be expected to not only develop a new theory relevant to clinical psychology, but this theory should also be articulated in a separate chapter of the dissertation.

### *Analysis and Presentation of Results*

A general theme implied from the above information is that there is a trade-off between the amount of time collecting data and the amount of time analyzing and discussing it. Thus an experimental design may take considerable time to create and collect the data but it may be analyzed fairly quickly through statistical analyses. In addition, the narrative of the results section would be expected to be fairly short. In contrast, phenomenological and case study data may take somewhat less time to create/collect the data, but its actual analysis and write-up may take more time. In particular, a theoretical study, which often does not use participants, is typically the longest type of dissertation and also requires a separate chapter in which the new theory is articulated.

### *Personal Process*

Above and beyond the external criteria detailed above is that doing a dissertation is an intensely personal process. It is an opportunity to enhance not only your scholarly abilities, but to grow as a person and clinician. As such, dissertations involve a reflection on and articulation of what you as a person bring into the topic. This relates to what is unsaid and to what might be referred to as the “shadow” or the psychodynamic processes you have with the topic. Insights into Organized within the format of the dissertation are various places where this process should be articulated (see also section on *Researcher Reflexivity in Qualitative Research*).

## **Approaching Research**

The research faculty of Pacifica Graduate Institute recognizes that that all research, regardless of how objective it purports to be, grows out of a particular philosophical stance that in itself destines the possibilities and limits of the research. For example, even the most stringent experimental design is based on and colored by the philosophical assumptions of logical positivism. Researchers’ recognition and understanding of their own philosophical stance is an invaluable resource in designing, conducting, and evaluating their own and others’ researches. Pacifica, therefore, strongly encourages students to articulate and examine their underlying approach to research, that is, their basic philosophical stance, their epistemological position vis-à-vis the nature of reality and human knowledge. For example, within psychology, the distinction between natural scientific psychology and human scientific psychology designates two different kinds of approaches to knowledge in the field. Likewise, experimental, phenomenological, hermeneutic, post-modern, heuristic, or imaginal can all refer to broad, basic approaches to psychology as a science, all of which incorporate one or more specific research methodologies within them. In identifying their own approach to

research, students need to consider not only the nature of their particular research interest and their philosophical assumptions about psychological science in general, but also their own personal temperament. The key distinction to remember here is that a research approach is a philosophical stance towards knowledge in the field that may draw upon a variety of methodologies. It is not a methodology in itself. Clearly, students' choice of a research approach is significantly influenced by their research question.

### **Selecting a Research Topic, Problem, and Question**

Perhaps the most significant feature in the entire research enterprise is the identification and articulation of a passionate and worthwhile research question. Once again, the Institute's commitment to the development of depth psychology makes special demands of students for it is assumed that students' research questions will grow out of important domains of their private and/or professional lives. Students are therefore not only invited to identify these autobiographical origins of their research interest, but also invited to examine their consequent predispositions or transferences to their topic.

Researchers may choose from among a number of different methods for carrying out this interrogation of their predispositions or transferences. The most frequently adopted approaches are phenomenological, case study, hermeneutic, and alchemical although quantitative approaches are also supported. Regardless of the particular method, the process of interrogating predispositions or transferences involves both identifying the predispositions or transferences as such and discussing how these predispositions or transferences will be managed throughout the research project with an eye toward maximizing openness and minimizing distortion and bias.

Another important aspect of articulating a question is establishing and clarifying its potential significance for the field of clinical psychology. Developing a research question involves, first and foremost, establishing how the research question is of concern to the field of clinical psychology. A further issue is determining where the question fits within the general field of clinical psychology (for example, personality theory, psychotherapeutic practice, testing, research, and/or some subsidiary field within these). Finally, the researcher should determine which scientific, theoretical, and/or clinical gap that the research aspires to fill.

#### *Begin with Yourself*

In selecting a research topic, students are encouraged to begin with their own experience in life and in the academic/professional field. What has a profound sense of vigor and relevance for the student is more likely to be of value in the lives of others as well. While it is certainly acceptable to select a topic for its extrinsic value (e.g., it will help one get a job or media exposure or will satisfy an employer's needs), Pacifica strongly encourages students to choose research problems that are of intrinsic intellectual interest, that is, problems that grow out of the fabric of some significant aspect of one's own being in the world. Not only will such an intrinsically valuable problem likely to be more deeply significant to others as well, but also the student's attachment to it will help carry the student through the many months of labor ahead. Without such intellectual passion, a project can easily grow cold before the dissertation is completed.

Of course, intentionally selecting a topic on the basis of personal or professional interests or concerns carries with it some special challenges of its own. Such a topic is likely

to come with some significant emotional involvement. It is therefore important, first of all, that the research problem not generate so much personal emotion that the student is unable to maintain an open mind while conducting research. Hence, if students want to research an issue that possesses much intensity in their life, some consideration should be given to whether the issue has been worked through adequately on a personal level. Secondly, it is especially crucial with such topics that students be prepared to attend to the depth psychological dimensions of research, that is, to be steadily vigilant with respect to their personal predispositions, transferences, and complexes in relation to the problem throughout the research experience.

### *Consider the Other*

Once students have begun to have a sense of what general topic or problem may have sufficient intrinsic intellectual interest to merit their devotion of so much time, energy, and expense, students must ask how this topic or problem may be of concern to others. Essentially, this means identifying ways in which the topic is of value to other members of society, including, of course, other clinical psychologists. Therefore, students should ask themselves how the topic or problem they are considering might contribute to the expansion of knowledge or understanding in clinical psychology. In short, how might new knowledge and understanding of the student's topic make a difference to others in the field of clinical psychology? How might future scholars use the work to advance their own efforts? What insights into problems or issues might the work yield? How might your research findings be used in teaching, parenting, clinical practice, or other applied settings? If the answers to all of these questions are unclear, the area may lack theoretical or practical relevance. In order to be sustainable, an area should carry academic, personal, and community meaningfulness.

An important aspect of identifying the significance of the topic for others is surveying relevant literatures in the field. This preliminary survey of published articles, books, and dissertations on the proposed topic or problem has two purposes. On the one hand students need to determine whether or not the topic has already been addressed in the manner in which students are considering addressing it. If it has been addressed in such a manner, then the question is whether or not it is already too overworked to carve out a special undeveloped area or approach. If it hasn't been addressed and there is, in fact, little or no existing literature on the topic, then students need to determine if there is sufficient justification for undertaking the study of an area that, on first glance at least, doesn't seem to concern others in the field. Uncovering from 20 to 100 references in the first run is a good sign, because it demonstrates that the need for research on the problem is recognized but, at the same time, not overly worked. Admittedly, many excellent topics will yield fewer or more references than this number. Although it is remotely possible that students have selected a topic that is so new or so unusual that no author has written about them, this is rarely the case. In such instances, as noted above, the student's challenge is to determine whether or not the topic actually *should* be of concern to clinical psychology in spite of the lack of apparent historical interest.

### *Hone the Question*

One of the greatest difficulties beginning researchers have is developing an appropriately dimensioned focus for their investigation. There is a tendency to become too general or expansive in one's research aspirations to then design an effective research plan,

one with a realistic promise of addressing the problem and answering the question. For example, a study on gender identity is not only likely to yield thousands of articles and books to survey but also so broad as to contain innumerable potential research questions. In such a circumstance, it would be prudent to delimit the question by selecting a specific aspect of gender identity, a specific population to investigate, or a specific, untried, methodological or theoretical approach to the problem. Of course, students could choose to delimit the problem in all three ways.

Once having identified a research topic and a research problem, the challenge is to further sharpen and structure the research problem by formulating a specific research question. The following example of one such possible sequence is offered to illustrate some of the possibilities for honing the research question. This example is not at all prescriptive in nature but used merely to indicate this aspect of honing the research question:

- *Research Topic:* Gender identity in pre-adolescent Latino-American males.
- *Research Problem:* There is currently no literature or research in clinical psychology offering a depth psychological understanding of gender identity in pre-adolescent Latino-American males.
- *Research Question:* What is an object relations perspective regarding gender identity in pre-adolescent Latino-American males?

The point here is that although at first, students might have only a hunch or intuition about the area, eventually it will have to be formulated into an appropriate and effective research problem and research question. Before students can begin to design a potentially fruitful research project, the topic needs to be stated in the form of a clear research problem and a specific research question. One of the most common impediments to this process is a researcher's scientific ambitions. It is not at all unusual for students to wish to answer a number of often widely divergent questions on the same topic. For example, a student working on the above example may want to answer the following additional questions: is gender identity in pre-adolescent Latino-American males in some way related to gang affiliation? How does gender identity in pre-adolescent Latino-American males influence their educational experience? Does gender identity in pre-adolescent Latino-American males eventually impact the rates of teenage pregnancy among Latino-American youth? How does gender identity in pre-adolescent Latino-American males correlate with adult employment records? How does gender identity in pre-adolescent Latino-American males correlate with adult criminality? Not only do such questions imply a number of unexamined assumptions and biases but also such questions inordinately add to the demands that are placed on the research and, therefore, inevitably on the researcher. Prudent researchers, try to reign in their ambitions and focus on the least possible number of unknowns. There is nothing wrong and, indeed, much right with asking a single, carefully worded research question. Every question the researcher asks, the researcher will also need to answer. Additionally, every word in the question will have to be explained. Along with relevance, parsimony and elegance are preeminent values for researchers to embrace asking their research questions, not only for their own sake, but for that of their eventual readers as well.

For students who are doing quantitative studies, please note that the process of honing the research question may take a somewhat different form, often concluding with the

statement of a research hypothesis. Nevertheless, clarity and parsimony are just as crucial for quantitative studies as they are for qualitative ones.

### Getting the Research Approved

The dissertation chair closely reviews the research design and ethics application. Once the ethics application is acceptable, the chair forwards the form to the Institutional Review Board (IRB) of Pacifica Graduate Institute. Students are not permitted to begin their proposed research until the ethics application has been submitted to the Dissertation Office with the approval of both the Chair and the IRB. Any research completed before the ethics form has been approved cannot be included in the student's study.

### Gathering Data

Having selected a relevant research question, students' next methodological concern is to decide what kind of data they will be drawing upon to answer their question. There are three general kinds of data upon which psychological research is based. These are participant-based data, text-based data, and arts-based data.

#### Participant-Based Data

Participant-based data is data that is gathered directly from selected research participants, sometimes referred to as "informants" or "subjects." The particular kind of data provided by such participants depends on researchers' overall approach to research as well as their particular research methodology. Regardless of the approach and methodology, all participant-based studies deal with empirical data, that is, the actual, concrete responses, behaviors, or words of real persons. Naturally, since these data are obtained from the responses, lives, and/or words of human participants or "human subjects," all such studies must adhere to specific ethical procedures and guidelines established by The American Psychological Association, Pacifica Graduate Institute, and any other institution directly involved in the research project. There are two different kinds of data used in participant-based studies: quantitative and qualitative.

*Quantitative data.* Quantitative, participant-based data are generally used in studies designed, for example, to demonstrate the relationship between two or more psychological variables; to prove a specific psychological hypothesis; to compare similarities or differences between particular social, ethnic, or developmental populations; or to evaluate certain psychological interventions. Such data may be gathered in a number of ways including, for example, psychological tests such as the MMPI-2, multiple choice or Likert-type scale survey questionnaires, structured protocols or surveys requiring only brief responses from participants, and controlled experiments. Sometimes previously collected data can be used such as is sometimes used in large scale epidemiological research. In each of these cases, the data that are gathered are analyzed using established statistical methods.

*Qualitative data.* Qualitative, participant-based data refers to various forms of descriptive data, that is, descriptions of human experience in written or recorded form. Qualitative data may also be gathered in a number of ways depending on researchers' overall approach and particular methodology. For example, *phenomenological* studies are usually based on descriptive, qualitative data from solicited written narratives or open-ended face-to-face interviews. *Interdisciplinary, qualitative studies* such as grounded theory, symbolic interactionism, conversational analysis, case studies, or biography, are based on first person reports,

observations, or documents describing concrete human events or behaviors. *Ethnographic and participant observation studies* are also based on descriptive, qualitative data usually in the form of field notes, interviews, some form of electronic recordings, or both. Certain *hermeneutic* studies may also be based on descriptive, qualitative data, two examples being, first, a case study drawing on a patient's lived experiences and/or therapeutic dialog or, second, descriptive data from solicited protocols or interviews, either of which can provide material for some kind of depth psychological analysis (see next section on Analyzing Data). It should be noted that the alchemical hermeneutic method, which is typically not a stand-alone method, can be combined with other methods to allow a more comprehensive presence of the researcher in the work.

*Researcher reflexivity in qualitative research.* Because qualitative research methods involve the use of self as a tool of research inquiry, it is important that students attend to the processes of how their own experiences related to their topic and shape their relation to this topic. These processes must be clearly articulated not only in the initial statement of why and how students arrived at their topic, but also throughout their selection of methods, data collection, data analysis, and dissertation write-up. The following statements about reflexivity may help illuminate the importance of this process.

Reflexivity requires an awareness of the researcher's contribution to the construction of meanings throughout the research process, and an acknowledgment of the impossibility of remaining "outside of" one's subject matter while conducting research. Reflexivity then, urges researchers "to explore the ways in which a researcher's involvement with a particular study influences, acts upon and informs such research." (Nightingale & Cromby, 1999, p. 228)

There are two types of reflexivity: personal reflexivity and epistemological reflexivity. "Personal reflexivity" involves reflecting upon the ways in which our own values, experiences, interests, beliefs, political commitments, wider aims in life and social identities have shaped the research. It also involves thinking about how the research may have affected and possibly changed us, as people and as researchers. "Epistemological reflexivity" requires us to engage with questions such as: How has the research question defined and limited what can be "found?" How has the design of the study and the method of analysis "constructed" the data and the findings? How could the research question have been investigated differently? To what extent would this have given rise to a different understanding of the phenomenon under investigation? Thus, epistemological reflexivity encourages us to reflect upon the assumptions (about the world, about knowledge) that we have made in the course of the research, and it helps us to think about the implications of such assumptions for the research and its findings. (Willig, 2001, p. 10)

Each specific qualitative methodology often contains specific instructions for how the researcher accomplishes such reflexivity. For example, in phenomenology this process is termed *epoche* or *bracketing* (Giorgi, 1985; Moustakas, 1994), in grounded theory it is called *memoing* (Strauss & Corbin, 1999), and in ethnography it is *participant observer reflexivity process* (Richardson, 2000). In addition, the alchemical hermeneutic method (Romanyshyn, 2007) can allow the researcher to be reflexive not only regarding their conscious but also unconscious processes related to research. Students are strongly encouraged to find methodological articles and books related to their approach and use the suggestions of key

methodologists within their selected approach about how to attend to the process of reflexivity throughout the research process.

### *Text-Based Data*

The second general kind of data upon which psychological research at Pacifica is based is textual or, as it is sometimes called, archival. Text-based data are generally drawn from published or unpublished texts or manuscripts of a scholarly, scientific, literary, or theoretical nature. *Scientific texts* might include reports or analyses of research in various domains of study, including among them, of course, clinical psychology. This might include meta-analyses or analyzing large scale epidemiological data. *Scholarly texts* might include, for instance, works from literature, religion, history, or the arts. For example, essays offering cultural, scientific, or literary criticism are one such kind of scholarly text. *Literary texts* include, for example, poetry, short stories, novels, folk stories, mythology, biographies, letters, or published diaries. Finally, *theoretical texts* are works presenting theoretical perspectives on psychological life, including for instance, personality, human development, social existence, ethnicity, psychopathology, and psychotherapy. These may include such widely known thinkers as Freud, Jung, Winnicott, Klein, Bion, Hillman, van den Berg, Boss, May, and Corbin as well as those of Institute scholars like Romanyshyn, Paris, and Corbett. It should be noted that texts of one kind or another always constitute the basic material for literature reviews conducted in preparation for research. Such a review provides knowledge on the topic, evaluates the quality of research that has been done, and identifies gaps in the field. However, this preliminary use of texts found in a literature review should not be confused with the later process of evaluating text-based data for intensive analysis as a part of a theoretical or hermeneutic study. This later process involves analyzing the texts in such a way as to form new connections, extract central themes, and ultimately to construct a new theory or some other new way of understanding the topic.

Theoretical dissertations are one type of study that can emerge from text/archival data. However, it is crucial to insure that theoretical dissertations have sufficient depth and rigor. Thus, they will be rigorously evaluated in terms of how they situate the new theory in a comprehensive review of the field, and demonstrate a unique and substantive contribution to clinical psychology. In addition, theoretical dissertations will use a multitude of sources in order to derive the theory. These can include, but not be limited to, previous theoretical work, case histories, quantitative research, literature/myth, cultural analysis, and ethnographic material. Finally, any theoretical dissertation will include a chapter that clearly and specifically articulates the new theory that has been developed as a result of the project.

### *Arts-Based Data*

A specific outgrowth of Pacifica's commitment to interdisciplinary study of psychological life is that students' researches in depth psychology often draw upon material emanating from the arts. Classical paintings, drawings, sketches, photography, and sculptures may all be used as primary data in depth psychological research. The artistic creations of patients in psychotherapy have often been used as an important source of data in clinical case studies. Motion picture, theater, music, and dance productions are all arts-based sources of data that can provide rich material for depth psychological researches in clinical psychology. Cultural or ethnic ritual, dance, or song also fall under the category of art-based data. In addition, historical artifacts such as ancient engravings or woodcuts (e.g., the

Rosarium or Thurneisser woodcuts), or illuminated manuscripts (e.g., *Les Vaisseaux D'Hermes*) are sometimes used as primary sources of data for alchemical, hermeneutic investigations. Architecture, archeological ruins, or the artifacts of ancient cultures can also be used as data for researches in depth psychology.

In most cases, arts-based data is used to supplement, corroborate, or strengthen findings grounded primarily in participant-based or text-based data. However, in some cases arts-based data provides the primary evidence upon which studies in depth psychology draw. If this is the case, it would still need to fulfill the general research criteria of being evidentiary in that it can be verified/falsified, replicated, be able to be transferred to other groups/contexts, and have internal consistency. Lastly, as a word of caution, students are discouraged from utilizing arts-based dissertations unless they have extensive prior experience in working with and analyzing various art mediums. For example, those who have no training or significant clinical experiences with art-based therapy approaches should not consider using art interpretation in their dissertations.

### *Heterogeneous, Interdisciplinary Data*

Although most research in depth psychology draws primarily on one of the kinds of data delineated above, most dissertations also include several types of data. In addition to drawing on the natural and human sciences, they have also drawn on philosophy, literature, the arts, and the humanities to clarify, enrich, and even substantiate their findings as depth psychologists. Pacifica understands that its students will often, though not necessarily, follow suit. Nevertheless, even given the historical heterogeneity of data used in depth psychological research, it still falls upon researchers to justify their choices of data with reference to their particular research topics and to treat each kind of data used in a manner that is respectful of its distinctive nature, possibilities, and limitations. For example, archival/text-based and art-based data are used for rhetorical or dialectical argument, not to demonstrate empirical fact. Likewise, quantitative data is used to demonstrate probabilities, demonstrate correlations, make predictions, or prove or disprove discrete empirically verifiable hypotheses. It is not as useful in elucidating lived, hidden, or underlying meanings of psychological life. Thus, depth psychological researchers need to be cognizant of the nature of the various kinds of data selected for inclusion in a study and to articulate their distinctive possibilities and limitations for the development of new knowledge and understanding in relation to the research topic in particular and clinical psychology in general.

### *Analyzing Data*

Having developed a research question, identified a research approach, and decided which kind of data is most appropriate for their study, students' next methodological concern is choosing a method and procedure for analyzing their data. Obviously, the particular research question and the nature of the data being used will particularly influence students' choice of method for data analysis.

Participant-based data requires researchers to make sense of a whole body of information drawn from the responses, words, and lives of a select group of human participants.



### *Analyzing Quantitative, Participant-Based Data*

Participant-based quantitative data invariably require some form of statistical analysis using specific statistical techniques. Initially, the outcome of such an analysis is given in mathematical language and usually presented in tables and charts. Nevertheless, such data always require some kind of verbal analysis, which involves the selection and discussion of salient findings as well as a discussion of the implications of these findings for knowledge in the field of clinical psychology.

### *Analyzing Qualitative, Participant-Based Data*

Participant-based qualitative data require some kind of qualitative analysis. Methods and procedures for analyzing qualitative data come from a variety of traditions including hermeneutics, phenomenology, ethnography, grounded field theory, heuristics, linguistics, and semiotics. Currently, the most frequently used methodologies for the analysis of qualitative data at Pacifica are phenomenology, hermeneutics and, though to a much lesser extent, grounded theory. Within each of these broad methodological approaches or traditions there are a variety of possible methods from which to choose. For example, *phenomenology* includes such broadly conceived approaches as pure or descriptive phenomenology, hermeneutic or existential phenomenology, and dialectical phenomenology, to name only a few. Phenomenological investigations in depth psychology may draw from any of the above approaches in choosing or developing a specific methodological stance and set of analytic procedures. *Hermeneutics* includes a similar variety of broadly conceived approaches including methodological hermeneutics, ontological hermeneutics, and critical hermeneutics. Hermeneutics in depth psychology may draw from any of the above approaches in choosing or developing a specific methodological stance and set of interpretive procedures. For example, a specific methodology being developed at Pacifica has been called imaginal hermeneutics and, more recently, alchemical hermeneutics. Similarly, *heuristics* includes a variety of broadly conceived approaches including, for example, a plethora of atheoretical exploratory, discovery oriented methods in psychology as well as a specific, experiential method used in humanistic psychology.

Regardless of the broadly conceived approach to data analysis and the particular kind of methodology researchers choose within that approach, researchers still need to identify and articulate their particular psychological or *theoretical set or sets*, that is, the kind of conceptual lens or lenses through which they intend to consider and analyze their data. For instance, in conducting a hermeneutic study, researchers need to articulate the particular interpretive framework with which they hope to elucidate and structure their findings. Those employing some kind of depth psychological hermeneutic would need to specify, for example, whether they will be interpreting their data through the lens of Freudian, Kleinian, Kohutian, Jungian, Hillmanian, existential, or some other particular depth psychological theory. Such researchers also need to articulate, where possible, specific theoretical formulations they anticipate playing a central part in their analysis of data, whether these theoretical constructs come from personality theory (e.g., libido, self, ego, complexes, archetypes, etc.), developmental theory (e.g., fixation, oedipal or pre-oedipal issues, individuation, etc.), psychotherapeutic theory (e.g., transference, projective identification, conjunctio, etc.), or some other kind of theory in depth psychology.

### *Communicating with Colleagues*

Finally, after developing a research question, identifying a research approach, deciding on which kind of data is most appropriate for their study, and choosing a method and procedure for analyzing their data, students carry out their research and report what has occurred in the doctoral dissertation itself. The primary purpose of the doctoral dissertation manuscript is to show students' competency in applying a research method to a clinically relevant topic and articulating the results of their study. The primary audience of the dissertation work is the student's dissertation committee. However, the dissertation will also report the focus, structure, outcomes, and implications of the research to scientific colleagues in the field, to the academic community as a whole, and, ultimately, to the community of scholars at large. Although the specific form, organization, and language of this manuscript is largely dependent on the particular topic, the researcher, the research process, and the research findings, there are a number of general matters that should always be addressed within the manuscript. These matters include, among others, the topic, question, literature review, method, findings, evaluation, and implications of both the findings and the method for the field of clinical psychology, and suggestions for further research in the field. Thus, it is important to remember that dissertations will be a public documents accessible to a wide audience through online venues.

## **Part 2**

### **Seven Stages of Dissertation Research**

This part describes the seven stages of completing a doctoral dissertation, including information about timelines, procedures, and processes that doctoral students should know thoroughly before they begin. It also includes important tips to ease the process of completing the dissertation-related degree requirements at Pacifica, suggestions for working with the dissertation committee, and information about when and how to stay in touch with Pacifica's Dissertation Office.

This part describes how researching, writing, and publishing a doctoral dissertation at Pacifica unfolds over time. It blends an explanation of the institutional processes and requirements with reflections upon the specific milestones in the student's creative process. Students who remain mindful of both aspects, institutional and creative, and integrate them in a truly comprehensive understanding of writing a dissertation, will enjoy a far smoother and more satisfying research experience.

Learning the seven steps in dissertation research early in the process will greatly help students anticipate the tasks ahead, manage their time well, and stay in touch with the people who can help along the way. The seven steps, listed below and outlined graphically in the flowchart on the next page, are explained in the remainder of this part of the dissertation handbook. The completion of one step is a threshold necessary to move to the next step in the sequence: it is a linear process. For students who initially registered for dissertation work before fall quarter of 2012, steps six and seven are in reverse order,

- Step One: Writing the Concept Paper
- Step Two: Registering for Dissertation Writing
- Step Three: Forming the Dissertation Committee
- Step Four: Writing the Research Proposal and Ethics Application
- Step Five: Completing the Dissertation Research
- Step Six: Preparing the Manuscript for Publication
- Step Seven: Passing the Oral Defense

# 7 STEPS FOR SUCCESSFUL DISSERTATION COMPLETION

PACIFICA GRADUATE  
INSTITUTE  
CLINICAL PSYCHOLOGY  
PROGRAM

## STEP 1: CONCEPT PAPER APPROVAL

During the third year of coursework, student submits concept paper to research faculty for approval. Faculty reviews work and sends approval form, along with paper, to Dissertation Office.

## STEP 2: REGISTRATION

Student reviews eligibility requirements for registration, then submits 2-year dissertation registration form to Dissertation Office.

## STEP 3: FORM THE DISSERTATION COMMITTEE

Student selects chair from program faculty list. Chair submits appointment form to Dissertation Office. Next, student works with chair to select reader, who signs and submits appointment form to chair. Then student works with chair to select external reader, who submits a CV for chair's review. Chair then forwards CV and appointment forms to Dissertation Office.

## STEP 4: ETHICS AND PROPOSAL APPROVAL

Student submits Ethics Application and proposal to chair and IRB (as needed) for review. After both are approved by chair, student submits work to other committee members who review work and submit proposal approval forms to chair, who then forwards forms to Dissertation Office.

## STEP 5: FINAL DRAFT APPROVAL

Student completes research and writing under chair guidance. When chair has approved final draft, student forwards it to reader and external reader for review/approval. They will then send approval forms to chair who will forward all approvals to Dissertation Office.

## STEP 6: PREPARING THE MANUSCRIPT FOR PUBLICATION

Using D2L, student submits manuscript, which is then sent to Pacifica's proofreader. When the proofed copy is returned with corrections noted, the Dissertation Office sends it to the student for revision. After the student completes the revisions, the Dissertation Office spot-checks the revised manuscript to ensure that it is now ready for publication.

Student must submit forms, print-ready manuscript, and be in good standing with Business Office before proceeding to Step 7.

## STEP 7: ORAL DEFENSE

When the student has completed all step 6 requirements, the committee chair can schedule the oral defense. Students should coordinate with committee members for a suitable date, keeping in mind the 3-week lead time required from when chair contacts the Dissertation Office.

## Dissertation Checklist

Whereas most dissertations are expected to contain the following material, the order and arrangement of material will vary depending on the topic and the method chosen.

_____	Title Page
_____	Copyright page
_____	Abstract
_____	Dedication (optional)
_____	Acknowledgements (optional)
_____	Table of Contents
_____	List of Figures (if needed)
_____	Introduction
	Purpose of the Study
	Brief Overview of the Topic
	Personal Relevance
	Clinical Relevance
_____	Statement of the Problem
_____	Research problem
_____	Questions or hypotheses
_____	Review of the Literature
	Purpose of the study based on extant literature
_____	Method
_____	Description of research approach and methodology
_____	Participants or Texts
_____	Instruments (if applicable)
_____	Data collection
_____	Data Analysis
_____	Reflexivity Procedures
_____	Results
_____	Discussion:
	Interpretations
	Conclusions
	Recommendations
	Limitations
_____	References
_____	Appendices
_____	Informed consent approval
_____	Consent form when applicable
_____	Testing instruments or questionnaire samples
_____	Written instructions for testing materials
_____	Data sheets
_____	Illustrations or charts

## Step One: Writing the Concept Paper

Students often enter the doctoral program with one or two areas of research interest and may, over the first two years of coursework, develop and refine this idea. By the third year, though, students are expected to conceive and write a dissertation concept paper in the Dissertation Development course, with the aim of having an approved concept paper by the end of the third year of coursework. If a student doesn't complete an approved concept paper within that time, the student is required to do an academic tutorial with a research faculty member to finalize the concept paper. (See the Student Handbook for a copy of the Academic Tutorial form and information about enrolling in a tutorial.) A student may also be required to undertake a tutorial if the topic of the dissertation is significantly altered from that presented in the approved concept paper.

The dissertation concept paper is a vehicle for students to articulate a research topic and question, review some of the literature that contextualizes and supports it, and identify an appropriate research methodology. A complete concept paper is typically 15 to 18 pages in length, but can be slightly longer. Though this may seem analogous to a term paper, the concept paper usually carries more intellectual and emotional weight since it is a rough sketch of the student's creative and scholarly life for the next few years and is expected to identify a modest new contribution to knowledge in the field of Clinical Psychology.

The concept paper is an ideal way to acquaint a prospect with the topic, method, and the researcher. An interested faculty can tentatively agree to work with a student, but students may not officially convene committee members until after the student is registered for dissertation writing, which is Step Two.

### **Submitting an Approved Concept Paper to the Dissertation Office**

Students and faculty both play a part in ensuring the approved concept paper is submitted to the Dissertation Office in a timely manner. Here are the steps:

1. Students submit a final copy of their approved concept paper to their Dissertation Development instructor along with a Concept Paper Approval Form.
2. The instructor prints a copy of the concept paper, signs the Concept Paper Approval Form and submits both the paper and the signed form to the Dissertation Office.
3. The Dissertation Office notifies the student that we have received the approved concept paper. If you do not receive notification within a reasonable amount of time, contact the research faculty who approved the concept paper to follow up.

Once the concept paper and form have been submitted to the Dissertation Office, students have cleared this hurdle to register for dissertation writing. However, there may be other requirements, for instance, completing any coursework incompletes and being current with student accounts.

### **Prohibition on Joint Authorship**

Students are expected to conceive of, design, research, and write a dissertation as a sole author. Therefore, each doctoral candidate must submit his or her own dissertation concept paper, and final dissertation manuscript, under single authorship. No doctoral dissertation sharing joint authorship will be accepted.

## Outline of the Concept Paper

Introduction (no more than 3 pages)

Purpose statement (no more than 1 page)

Brief overview of the topic

Description of interest in topic

Relevance to clinical psychology

Statement of the Research Problem and Question (no more than 1 page) Literature Review  
(between 7 and 10 pages)

Methods (between 5 and 7 pages)

Research approach

Research methodology

Participants (or Texts if theoretical)

Materials (if relevant)

Data collection

Data analysis

Reflexivity

Ethical Considerations (no more than 1 page)

References (substantial number of references, including recent scholarly journal articles and book contributions)

### Purpose Statement

In order to immediately orient the reader to the research, it is helpful to begin with a purpose statement. This succinctly states the methodology, what its purpose is, what unit of study will be undertaken, its central focus, and a general definition of the central concept. It thus serves a similar function as an abstract. The following “scripted” statement for a qualitative study is derived from Creswell (1994, p. 59) and is recommended:

The purpose of this study is (was? will be?) to \_\_\_\_\_ (understand? describe? develop? discover?) the \_\_\_\_\_ (central concept being studied) for (the unit of analysis: a person? processes? groups? site? texts?) using a (method of inquiry: hermeneutic design? heuristic design? ethnographic design? grounded theory design? case study design? phenomenological design?) resulting in a (cultural picture? grounded theory? case study? phenomenological description of themes or patterns?). At this stage in the research, the \_\_\_\_\_ (central concept being studied) will be defined generally as \_\_\_\_\_ (provide a general definition of the central concept).

A variation on the above purpose statement for quantitative research is the following (derived from Creswell, 1994, p. 64):

The purpose of this \_\_\_\_\_ (experimental? survey? correlational?) study is (was? will be?) to test the theory of \_\_\_\_\_ that (compares? relates? assesses?) the



\_\_\_\_\_ (independent variable) to \_\_\_\_\_ (dependent variable) for \_\_\_\_\_ (participants? sample?) at \_\_\_\_\_ (the research site). The independent variable(s) \_\_\_\_\_ will be defined generally as \_\_\_\_\_ (provide a general definition). The dependent variable(s) will be defined generally as \_\_\_\_\_ (provide a general definition), and the intervening variable(s), \_\_\_\_\_ (identify the intervening variables) will be statistically controlled in the study.

Consult Creswell (1994, pp. 56-67) for examples of actual purpose statements for phenomenological, case study, ethnographic, grounded theory, survey, and experimental studies.

## **Introduction**

In this brief section (no longer than 3 pages) you should first provide a general introduction into the topic. This should be followed by a general description of your interest in the topic, and how this topic is of concern to the field of clinical psychology. The introduction should express something of the vitality this project has for you, while also providing an interesting and informative preface for the reader. The introduction also includes a statement about personal interest in the topic as well as clinical relevance of the proposed study. Introduction should end with your statement of research and specific research questions (qualitative) or hypotheses (quantitative).

Your statement of the research problem and research question, though brief (usually 1 page), is an essential component of your concept paper. What you write here not only defines your entire research, but also provides the most reliable and effective grounds for guiding and evaluating your work as your investigation progresses as well as for eventually evaluating your research results. Before writing this section, you may want to reread the sections above, entitled “Hone the Question.” Effective statements of the research problem and question tend to include at least the following three components: a brief reiteration of the problem, a lucid and concise statement of the primary research question along with relevant auxiliary questions, and clear unambiguous definitions of key terms in the primary research question.

Drawing on the previous two sections of your concept paper, your introduction and literature review, you briefly summarize or synthesize your present understanding of the research problem and its relevance for clinical psychology. One to two well written paragraphs should be sufficient.

Naturally, the particular methodology you have chosen will determine how the problem is expressed. Quantitative designs often lead to the articulation of specific, testable hypotheses. In contrast, qualitative and theoretical studies require the articulation of a broader research question. Formulating designs and research questions should be done in conjunction with appropriate members of the faculty.

Do your best to state your primary research question in as concise a manner as possible. When asking your research question you should find yourself reminded of what it is you don't know or understand and what you hope to discover or comprehend. Clarity, parsimony, and elegance are essential. Though it is not necessary to have auxiliary questions, they may be useful but only if they relate directly to your main question. In other words, they should support your primary research question rather than add tangential or related problems to consider.

One important difference between the introduction to the concept paper and the introduction of the proposal is that the concept paper is generally too brief to include a thoughtful discussion and analysis of the researcher's predisposition or transference to the topic. The systematic investigation of predispositions or transferences to the topic is therefore left for the proposal.

Lastly, your introduction typically contains the most significant terms and concepts related to your topic. Please *define terms* as soon as they first appear in your writing. You may also choose to provide a brief definition in the Introduction (including citations related to the definition) and expand this definition in your Literature Review.

### **Literature Review**

The purposes of the literature review (usually 7-10 pp.) are 1) to demonstrate your preliminary familiarity with literature relevant to your investigation; 2) to locate your topic effectively within the literature of clinical psychology; and 3) to demonstrate how your proposed work addresses the need for new research and literature in the field.

#### *The Nature of Your Review*

Your review should cover the most important works or studies that touch upon your dissertation topic. A literature review is a thoughtful initial overview of published literature. Note that when reporting research and other publications the past tense should be used (see pp. 42-43 of the *Publication Manual of the American Psychological Association*, 6<sup>th</sup> edition). In other words you should not state "Smith (2008) report." but you should instead state "Smith (2008) reported." You will need to be quite selective since you can't possibly include all the relevant works available. In contrast, the literature review for your dissertation proposal can be far more inclusive. You will also need to be concise in your discussion of the research and examine only the most central issues. More peripheral research will either need to be omitted or merely cited.

It is important to remember that your purpose is not to merely review the literature for its own sake, as one does in an annotated bibliography, but to organize your review based on the nature and focus of your investigation. Such a thematized literature review organizes and reflects upon the literature with your topic as the central aspect of your set or perspective. In other words, as you read, you ask yourself questions such as: What does this work have to say about my topic? How does it shed light on my topic? What are some of the limitations of the research? What aspect of my topic hasn't been addressed by this work? What additional research should be done? In other words your literature review should be systematically thematized, that is, logically organized into topical areas that lead the reader through a logical progression of both theory and substantive data that ultimately creates a compelling argument for the study you are conducting. Remember, the purpose of the literature review is not merely to convince the reader that you are knowledgeable about the work of others but, more significantly, to provide a rationale for the proposed study and demonstrate why it is important and timely (Rudestam & Newton, 2001, pp. 61-80). Strive to clarify the relationship between your proposed study and previous work conducted on the topic. In addition, make a succinct statement of the need for research on this topic in the field of clinical psychology.

### *The Organization of Your Literature Review*

You may choose any one of a number of different ways to organize your literature review depending on your own style as a writer and the particular demands of the research itself. Some writers begin by reviewing the broad context of works within which their topic falls and then gradually narrow down the focus, step by step, until they reach the specific circumscribed domain of their own topic. For example, in a study of some aspect of the self psychological view of the idealizing transference, the literature review might begin with clinical practice, then to self psychological views of transference, and finally to current research on the topic. Another strategy might be to approach the topic according to a biopsychosocial model in that biological, psychological, social/cultural factors are discussed followed by how these interact with one another.

Other writers, particularly those conducting interdisciplinary studies, may choose to organize their literature reviews according to the relevant disciplines, sub-disciplines, or theoretical approaches. Such a literature review would go about systematically showing how the literature of each particular discipline or theoretical approach has addressed the research topic and helps illuminate and define the research problem. Other writers may structure their literature review historically or chronologically, others dialectically with respect to opposing or contradictory points of view, and still others conceptually according to those basic concepts most salient to the research topic. Once again, your choice of how to organize your literature review depends both on your own style as a writer and the particular demands of the research itself.

Naturally, as with all other writing in connection with your dissertation, this review should be organized in accordance with APA's (2009) requirements for the structure, format, and use of headings and sub-headings. Taking some time to study these requirements will pay dividends in clarity and transparency to both you and your reader.

### **Methods**

The first purpose of this section (usually 5-7 pp.) is to demonstrate your familiarity with literature relevant not only to your general approach to research, but also to the particular research methodologies that you have chosen within that general approach. The second purpose of this section is to describe, at least tentatively, specific procedures that you anticipate adopting for your study. In other words, this section succinctly articulates how you think about knowledge and research in clinical and depth psychology and what you intend to do to answer your research question. Thus, this section not only clarifies your own demarche and demeanor in psychological science, but also suggests some specific procedures for addressing your research problem. Although the methodology and procedures sections for concept papers tend to be quite brief as compared to dissertation proposals, they still include a concise, well-documented discussion of your research approach, methodology, participants, materials, and procedures.

### *Articulating the Research Approach*

This component of your methodology and procedures section offers a brief, documented discussion of your general approach to research, that is, your philosophical or epistemological stance. Issues such as human versus natural scientific approaches to psychology, essentialism versus constructionism, or monistic versus dualistic conceptions of the world are some of the kinds of issues you may choose to address briefly here. You may

even chose to characterize your overall approach to research by identifying it as, for example experimental, hermeneutic, phenomenological, imaginal, or heuristic. In addition, you could discuss a general lens that you bring to your methodology, which may be depth psychological, feminist, critical, or constructivist.

### *Choosing a Research Methodology*

The choice of methodology should be largely determined by its appropriateness to the research problem and question. In some cases an experimental methodology may be most appropriate whereas in others a hermeneutic methodology may work best. This component of the methodology and procedures section should not only present a brief, well-documented discussion of the chosen research methodology and also explain why it is suited to the proposed research.

On very rare occasions an exceptional student may want to develop an entirely new approach to an existing methodology or to consider creation-based research. In such instances the student should discuss the idea with the director of research of the Clinical Psychology program. If the alternative methodology is sufficiently articulated, the student adequately prepared and capable, and at least one member of the committee has some expertise in the alternate method, then the student may petition the Director of research to proceed with a concept paper and proposal using the alternate method.

Finally, it is important that students include citations and provide an extensive list of references that related specifically to their methodology section. Thus, statements about choice of research approach, methodology, procedures, analysis, and reflexivity must be referenced. Similarly, quantitative designs and procedures for analysis must also be referenced.

### *Participants (or Texts)*

The use of participants results in actual, concrete responses, behaviors, or words of real persons, which are then analyzed using some kind of qualitative or quantitative method. It is essential that you state why you will select your participants. This can be best done by specifying your inclusion and exclusion criteria. The use of participants can occur in either quantitative or qualitative methodologies. It is also important to state the total number of participants you intend using.

*Quantitative methodologies*, by far the most commonly used methodologies in the field of clinical psychology, employ the use of “human subjects” or “human participants” and, therefore, draw primarily from participant-based data. Quantitative studies are used to evaluate psychological interventions, to examine relationships between two or more psychological variables, or to compare similarities or differences between different social groups and/or psychological dimensions by obtaining raw data in the form of psychological tests (e.g., the MMPI-2) and instruments (e.g., survey questionnaires), or brief responses to some kind of written or verbal protocol and then analyzing this data using quantitative or statistical methods.

*Qualitative methodologies* usually also involve the use of participant-based data obtained from research participants (more commonly referred to as “human subjects” or “informants”) who provide descriptions of their own experiences in their own words. These data are generally obtained through the use of solicited written narratives, open-ended

interviews, or participant observation although other sources, such as journals or autobiographies, may also be employed.

*Theoretical methodologies* rely on the analysis of existing texts. Therefore, this section must discuss in detail the proposed authors, specific writings, and sources (e.g., journals) that will be utilized in the analysis.

#### *Instruments (if used)*

Many studies utilize materials such as tests, images, or apparatus. It is thus important to describe these materials. Frequently formal psychological tests are used such as the Beck Depression Inventory-II, Myers Briggs Types Indicator, or the MMPI-2. These should be listed along with their number of items, response format (True-False, Likert, self report, ratings by clinician), reading level, and psychometric properties. When describing reliability and validity, it is often not possible to include all the relevant research. Instead, include a brief summary based on general findings as well as those specific to the study. For example, if a study is using the instrument to make predictions, then it would be crucial to include test-retest reliability and predictive validity. If the instrument will be used for concurrent measures (i.e. current diagnosis), then research on internal consistency and concurrent validity would be the preferred psychometric properties to include. If using arts based images, then a description of these and where they were found would be important.

#### *Data Collection*

This component of your methodology and procedures section provides a description of concrete steps you will employ in your investigation that are based on your research methodology. You need to state what you will do as well as how, where, when, and why. Typically, this will involve several steps so each of these steps should be outlined. For example, in a phenomenological study you would describe how you would introduce the participant to the study, the nature of the interview (i.e., non-intrusive, non-interpretive, use of bracketing, focus on intentionality, lived time), topics to consider, number/length of interviews, debriefing, and how the data will be recorded. It is important to follow the procedural steps suggested by methodologists, whose approach you are utilizing.

#### *Data Analysis*

Regardless of the kind of data used for the study, this section must articulate the specific steps and procedures the researcher plans to follow in analyzing and interpreting the data. In participant-based studies this means describing specific steps for both single-case and cross-case analyses. In both participant-based and text-based studies, this also means identifying and discussing (if the student has not already done so) the hermeneutic or interpretive set or sets, both with respect to the overall theoretical lens (e.g., psychoanalytic, Kleinian, object relations, Jungian, archetypal, imaginal, existential, phenomenological, etc.) but also with respect to any particular conceptual lens or lenses the research will employ (e.g., transference, self, primary process, splitting, projective identification, transference, complexes, archetypes, developmental stages and processes, etc.). If there is a thoughtful discussion of the interpretive set(s) in earlier sections, for instance in the section on the Literature Review, then mentioning and naming the interpretive set or sets again here, referring the reader to the relevant preceding discussions, will suffice.

The data analysis steps must be derived from the methodology, outlined by the student, and utilize terminology and processes outlined by scholars who developed the methodology. In quantitative analysis, each specific step in statistical analysis has to be described in a detailed manner, including the identification of independent and dependent variables, methods of error correction, and so forth.

### *Ethical Considerations*

If you anticipate using research participants you should identify possible ethical issues that may arise. You will make every effort to comply with the American Psychological Association standards for conducting research with human participants. However, it is *not* necessary to make a *general* statement to this effect. What you do need to elaborate on is specifically *how* and *what* you will do to comply with ethical guidelines. A crucial principle will be to insure confidentiality and that no harm will occur. If, for example, you use an intervention or an interviewing style that may produce distress, you will need to state what you will do to debrief the participant. In some cases this may involve referral to an outside resource for counseling. If referral to an outside source may be required, you should organize competent professionals as well as actual referral procedures *prior to contact with any participants*. This will help insure that any referrals that may be required will occur smoothly and will enhance the likelihood that the participant will follow through on your recommendation. In addition, you will need to explain what procedures you will take to insure that all client records will be kept confidential.

A good preliminary discussion of ethics is an important part of the concept paper. Like other sections of the paper, however, students are expected to write a more thorough and detailed Ethics section for the dissertation proposal. In addition, when submitting the proposal, students will need to gain approval from Pacifica's Institutional Review Board before collecting data from participants. Please see discussion of "Ethical Concerns" in Step 4, below.

## **References**

The concept paper must include a complete list of references used in your paper. No reference should be included that is not either specifically cited or quoted in your paper. Every reference should be carefully checked for correct APA formatting.

### **Following APA formatting guidelines**

Properly formatted and cited research should be a concern from the very beginning, when students are writing the concept paper. Mistakes and oversights, including misspelled words, inconsistent punctuation, or incomplete citations, for example, are one measure of scholarly credibility and readers will notice. Moreover, it is far easier to get the formatting right in a 15-page paper than a 200-page final manuscript. The *Publications Manual of the American Psychological Association*, 6<sup>th</sup> edition (2009) is the student's ultimate reference.

### *Pacifica Exceptions to APA Style*

Beginning in the 2014-2015 academic year, the Clinical Psychology programs stipulated that the only exception to APA style guidelines is page margins. The left margin is 1.5 inches while all other margins are 1 inch. This larger left margin exception is made for the purposes of binding hard copies of dissertations.

### *How to Avoid Common Formatting & Style Errors*

Some of the most common formatting errors Pacifica dissertation students make, and which are easy to find and correct, include the following:

- Set the left margin to 1.5 inches and all others to 1 inch.
- Use Times New Roman size 12 font, double space, with no extra vertical space between paragraphs or subheadings. Double space the entire manuscript including the Table of Contents, block quotes, captions, and references.
- Avoid widows (single lines at the bottom of a page) and orphans (single lines at the top of the page) by formatting paragraphs with Widow/Orphan control.
- Avoid italics, boldface, or quotation marks to emphasize a word or phrase in a paragraph. Write better sentences instead.
- Never use underline to identify the title of a text; use italics instead.
- Avoid capitalization except for proper nouns. Jung is a proper noun, depth psychology isn't.
- An ellipsis is three spaced periods or the ellipsis symbol generated by Microsoft Word (...). A fourth period is added if there is an omission of words between two sentences. Omit leading or trailing ellipses from any quoted text, whether it is within a paragraph or in a block quote. Only use ellipses to indicate deleted text from the middle of the quotation.
- Format long dashes consistently and correctly. Use what is called an "em dash" with no spaces between the words it is separating.
- Use block quotes sparingly and, when possible, avoid them by separating the longer quote into smaller quotes woven into your own sentences.
- Check that every source cited in the text is in the list of references and that the spelling and capitalization are consistent.
- Use meaningful, succinct subheadings to alert the reader about the direction of the discussion. Be sure that the discussion immediately following keeps the promise of the subheading.
- Check for consistency between subheadings and table of contents entries.

### *APA Heading Levels*

Once you have arrived at the proper organization of the concept paper—using the model described above as a guide—the headings must be properly formatted. First, determine how many levels of headings you use throughout the paper: two levels, three levels, four levels, or five levels. Next, format the headings according to the APA sample shown below.

### **Heading Level 1 is Centered, Boldfaced, and Mixed Case**

## **Heading Level 2 is Flush Left, Boldface, and Mixed Case**

**Heading level 3 is indented, boldface, sentence capitalization ending with a period.**

*Heading level 4 is indented, boldface, italicized, sentence capitalization ending with a period.*

*Heading level 5 is indented, italicized, sentence capitalization ending with a period.*

Here are some key points to remember about headings:

- If an introduction is used, do not use a heading. It is assumed that the first part of the dissertation is an introduction.
- Do not label headings with numbers or letters.
- Use the formatting down to the depth of headings in the work. For instance, if the dissertation has only two levels of headings, use the formatting for level 1 and level 2. If the dissertation has three levels of headings, use the formatting for level 1, level 2, and level 3.
- Do not join text of the following paragraph to the text of the heading. Keep the heading on its own line.
- Be sure to keep the headings with the paragraph that follows it on the same page. To ensure this, format the header so that it has Widow/Orphan control.

## **Implications of Publishing the Dissertation**

### *Including Personal Material*

Students should be mindful that their completed dissertations will be published on the internet through ProQuest/UMI. Personal material students are not comfortable with family, friends, strangers, or employers having access to should refrain from including said material in their dissertation. Additional information on this topic can be found in the next part under Autobiographical Origins of the Researcher's Interest in the Topic (including privacy concerns).

### *Intellectual Property*

The term "Intellectual Property" refers to all ideas, information, creation, knowledge, that are protected by law. Intellectual Property concerns everything that human minds have created as opposed to physical property. For example, the Microsoft® butterfly is not a physical object, but it is a fixed form protected by Intellectual Property Rights.



### *Copyright Law*

Copyright law is designed to protect the works of authors and creators of art, music, poetry, prose, etc., from unauthorized republication, reproduction, duplication, or distribution. Original copyright law was drafted to foster creativity and inspire new, original, academic, cultural or economic contributions. Any work, in a fixed, tangible form, is automatically protected by copyright the moment it is completed; registration with the Copyright Office offers additional benefits to copyright holders, but it is not necessary for protection under the law. Copyright is one, more specific type of the many Intellectual Property Rights.

What else might be protected by intellectual property rights? Such items include patents, trademarks, registered trademarks, registered designs, company logos, cartoons, created scents, trade dresses, performances, maps, spoken recordings, and lectures. All are examples of items or ideas that can be protected from unauthorized use.

### **Concept Paper Checklist**

Before handing in the concept paper, check each of these points and make sure they have been adequately addressed. Place a check in the box to indicate that indeed you have considered them and they have been included. Note that if some of these descriptions do not apply (i.e. no use of participants), then simply place NA (not applicable) in the box. Attach this completed form with your concept paper when you hand it in. If submitting the concept paper in the hopes of having it approved, attach a completed concept paper approval form (available in this handbook).

Preliminary:

- Cover page indicating name, date, track/year, course/tutorial

Introduction:

- Inclusion of purpose statement: Includes central concept being studied, method, participants (if participant based), brief definition of central concept
- Brief introduction to the topic (based on the literature)
- Description of your interest in the topic
- Clinical Relevance

Research problem and question:

- Repeats problem
- Clear statement of the question(s)
- Professional definition of key terms
- Introduction does not exceed *four pages*

Literature review:

- Literature review that evaluates the material (not merely repeats it)
- Literature review focuses on professional resources (rather than popular); mainly journal articles

Literature review “funnels” the material (begins broad and gets progressively more narrow)

Literature review does not exceed *eight pages*

Methods:

Brief statement of research approach (what it is and underlying assumptions)

Participants or Texts: Rationale for selecting them

Participants or Texts: Inclusion/exclusion criteria

Participants: Estimated number

Materials: Brief description of psychometric properties (if relevant)

Data Collection (specify type of interview, example questions, place and manner of data collection)

Data Analysis (specify steps)

Methods section does not exceed *seven pages*

Ethics:

Informed consent: Briefly describe what you will tell them

Confidentiality: Specify what you will do to preserve confidentiality

Harm: Specify what you will do to minimize potential harm

Ethics section does not exceed *one page*

General:

Concept paper does not exceed a total of 25 pages (try to keep it to 15-20)

Include page numbering and running head

Writing style adheres to APA style (short, clear, concise sentences, relevant statements are supported by cites, etc.)

Formatting adheres to APA style (i.e., no extra space between paragraphs, paragraphs are indented)

Citing and referencing adheres to APA style

If seeking approval for concept paper, hand in completed Concept Paper Approval Form (except for instructor’s signature)

## Step Two: Registering for Dissertation Writing

Students are qualified to register for dissertation writing period when they have completed all of their coursework, are in good academic standing with no failing grades and a “B” grade average, have successfully completed comprehensive exams, and have an approved concept paper on file with the Dissertation Office. At this point, they advance to doctoral candidacy and can refer to themselves, personally and professionally, as “doctoral candidates.” Students who achieve candidacy may not indicate in public announcements or

advertising that they hold a doctorate, nor append PhD-c or PhD-ABD to their name in printed material.

### **Staying in Touch with the Dissertation Office**

The Dissertation Office begins its relationship with a Pacifica student when the concept paper and approval form is submitted. At that point the Dissertation Office creates a student folder that will contain all forms, letters, contracts, and other correspondence. During dissertation writing, students will be communicating with their committee, of course, but they also will receive vital information, via email and the postal service, from the Dissertation Office.

The Dissertation Office, like other departments at Pacifica, does not send email to students' personal email account. Instead, it uses the student email account at my.pacifica.edu primarily to preserve students' privacy as stipulated by FERPA regulations. (Students must log in with their unique user name and a private password to gain access to their Pacifica email.)

### **Important**

**Students should frequently check their Pacifica email account or have their Pacifica email automatically forwarded to a personal email account that they check daily.**

### **When to Register for Dissertation Writing**

Pacifica anticipates that most doctoral students will register for dissertation writing the first quarter following the completion of coursework and successful passing of the comprehensive exam, which coincides with the fall registration period. For a variety of reasons, some students may choose to delay registration.

#### *Delaying Registration*

Qualified students may choose to delay registering for dissertation writing for personal or professional reasons. In fact, before starting the dissertation clock, students should feel ready to fully engage in research. It is better to take a leave of absence than to enter the dissertation process tired, too busy, or unmotivated.

To delay registration, students must submit a Leave of Absence form to the Registrar or they risk administrative withdrawal. (Students may **not** take a Leave of Absence in the middle of dissertation writing, after they have registered.) However, taking a Leave of Absence has institutional and, in some cases, financial consequences, so please bear in mind the following:

Financial Aid	Delaying registration may affect student loans for financial aid recipients. Contact Pacifica's financial aid office for more information.
PTL	Students should be mindful of the Program Time Limit, or PTL, a master clock that counts down throughout their education at Pacifica beginning in the first quarter of the first year of coursework. The PTL clock does not pause regardless of any delays in registration.

### *GPA Requirements for Registration*

Students in the Clinical Psychology program may not register for dissertation writing unless they have earned a “B” grade in all courses taken since Fall quarter 2010 including CP 832.

### *Early Registration*

Students who wish to register for dissertation writing before meeting the basic requirements described above should contact the program’s director of research. Early registration requires program approval, and may be appropriate for some students.

### **Starting the Dissertation Clock**

Qualified students registering the first time for dissertation writing are enrolled for a period of 9 academic quarters, which is slightly more than two calendar years. A qualified student may register for dissertation writing at the start of any quarter of the academic year, Fall, Winter, Spring, or Summer. To do so, submit a Dissertation Enrollment form to the Dissertation Office at least a few weeks before the quarter start but no later than 5 p.m. on the first day of the registration period. Financial aid recipients must send the registration form six weeks before the quarter start.

### *Dissertation Start Dates for 2015-2016 Academic Year*

Track A:	Sept. 17, 2015	Jan. 21, 2016	May 12, 2016	Aug. 15, 2016
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### *Fees for the Two-Year Dissertation Period*

Students registering for dissertation writing the first time are enrolled for 9 academic quarters which is equivalent to two calendar years. Fees are based on the year the student entered the PhD program, as shown in the table below. One-ninth of the designated fee will be billed each quarter for 9 quarters. Any student who’s final draft is approved prior to the end of their 9-quarter dissertation end date will automatically be billed the remainder of the 9-quarter fee. That is, students are responsible for the entire fee for this registration period, regardless whether or not they finish the work early.

Date of Entry	9-Qtr. Fee	Quarterly Payment
Fall 2010	\$25,015	\$2,779.44
Fall 2011	\$25,965	\$2,885.00
Fall 2012	\$26,484	\$2,942.67
Fall 2013	\$27,014	\$3,001.56
Fall 2014	\$27,014	\$3,001.56
Fall 2015	\$28,100	\$3,122.22

### *Suggested Timetable for Completing in Two Years*

Pacifica is committed to supporting students so that the dissertation is successfully completed with the 8-year Program Time Limit and also reflects the academic standards of the Institute. Ideally, Pacifica would like students to complete their research and writing in two years and has seen many students achieve this goal.

Not all researchers work in the same way, of course, and many discover that they are far more effective when letting the research process unfold and determine its own schedule. Other researchers, however, work best with a more predetermined prospectus. For these latter students, presented below is a suggested timetable for finishing a dissertation comfortably within a two-year dissertation period.

0-2 months	This is a time to officially set up your committee. Engage a prospective dissertation chair and confirm the chair's availability. Students should use their concept paper to begin dialogue and set research goals. Consult with the dissertation chair on the reader and external reader possibilities, begin to explore external reader possibilities. Start to expand the literature review.
2-6 months	Work towards a clear understanding with the chair about the direction and structure of the dissertation. This may involve a number of meetings and/or phone discussions. The process may begin with some reworking of the concepts initially presented. This period will be crucial in terms of writing the proposal. After clarifying the structure of the literature review, commit to a period of intensive research and library work. Work with the dissertation chair on methodological issues; these will form an important part of the proposal, particularly in a qualitative or quantitative dissertation. Review other dissertations with similar methodologies.
6-9 months	Set the "nine-month point" as an outside date for the completion of the proposal. The proposal is an important milestone. From this point on the overall project has its shape and direction. Putting in the necessary effort to get to this point will fuel the rest of the dissertation. Remember to allow up to 6 weeks for committee members to turn dissertation material around. The proposal must be approved by the chair before it is sent to the reader and external reader.
9-18 months	This period places students at the core of the dissertation process. Here it is critical for students to formulate their own timetable, with intermediate goals and rest periods. Based on the students' experience writing papers during coursework, it may be helpful to students to imagine how long it will take to complete a chapter. Set a realistic schedule accordingly. Some sections will move along better than others, so be flexible. Short-term goals based on past experiences will help. Students should remember to "reward" themselves after meeting one of these goals. Stay in contact with your chair; checking in from time to time will keep you anchored to the process.

18-24 months            It is vital that students set a first-draft deadline around the 18-month point. This allows time for your committee to review the final draft (this may take up to 6 weeks for each review) and for necessary revisions. It is recommended that students keep documentation of the date their manuscript is sent to committee members. Remember that the final draft must be approved by the committee chair before being sent to the reader and external reader. Students will also need to prepare and conduct their oral defense, submit the manuscript for proofreading, and make all revisions to finalize the manuscript for publication. Allowing 6 months for these processes is not unrealistic.

It's important to regularly communicate with all three dissertation committee members so that the process will continue to move forward.

### *Keeping an Eye on the Clock*

There are two clocks that doctoral students should pay attention to. The first is the Program Time Limit (PTL), a master clock for the entire doctoral journey that begins counting the first quarter of the first year of coursework. (For most students, this is the fall quarter.) The duration of the Program Time Limit is eight years from the time students begin coursework at Pacifica, not eight years from the beginning of the dissertation registration. For example, students who started coursework in fall quarter 2008 have a Program Time Limit of the conclusion of summer quarter 2016. Pacifica students are expected to complete all degree requirements before the PTL ends. Assuming students complete their coursework in three years, the ordinary duration for most students, will be five years to research, write, defend, and finalize the dissertation. The Program Time Limit is not suspended even if a student takes a leave of absence.

The second clock begins when students enroll in dissertation writing the first time, for two calendar years. To maintain student status, it is important to remember when an enrollment period is about to end so that, if necessary, students can register for an additional year of dissertation writing. The Dissertation Office sends timely reminders via the postal service and with follow-up emails to students via their Pacifica email accounts. The Dissertation Office does not send email to students' personal email accounts. Students should either check their Pacifica email account often or have Pacifica emails automatically forwarded to their personal account.

### **Registering for Additional Years of Dissertation Writing**

Pacifica strongly encourage students to complete their scholarly research and writing within the first two years of registration, the "two-year clock." However, if this is not possible, students may register for an additional year of dissertation writing. To do so, complete the Dissertation Registration form and send it to the Dissertation Office approximately 4 to 6 weeks before the current registration period expires.

### *Extended One-Year Enrollment Fees*

Students enrolling in an extended one-year dissertation clock will be billed as follows:

Academic Year	Full Year Fee	Quarterly Payment Fee
Fall 2015 - Summer 2016	\$13,242	\$3,310.50
Fall 2016 - Summer 2017	\$13,507	\$3,376.75
Fall 2017 - Summer 2018	\$13,700	\$3,425.00

#### *Extended One-Year Clock Payment Options*

- Option 1: Pay the one-year fee indicated above at the start of the extended one-year enrollment period.
- Option 2: Pay one-fourth at the start of each quarter. See quarterly payment figures above.
- Option 3: Financial Aid recipients must complete the FAFSA form each year and maintain satisfactory academic progress toward completion; may qualify for up to \$20,500 annually. During the extended one-year enrollment clock, one-fourth (1/4) of the fee will be deducted from the Direct Stafford loan(s) each quarter. Excess loan funds will be made available to the students each quarter for educational expenses. Contact the Financial Aid Office for complete details at [financial\\_aid@pacific.edu](mailto:financial_aid@pacific.edu) or (805) 969-3626 ext. 137.

#### *Petitioning for a One-Quarter No-Fee Extension*

Students may petition for a one-quarter, no-fee extension. Extensions are granted for one of three reasons: a short illness, the sabbatical of a committee member, or because the student (who must have all three proposal approval forms on file with the Dissertation Office) is near-completion. Students cannot petition for an extension in the middle of an enrollment period. Students must be in good financial standing with the business office before petitioning for a no-fee extension.

To petition for the extension, students fill out the one-quarter no-fee extension form citing the reason for the request and send it to the Dissertation Office via mail, fax, or email approximately 4 weeks before the current enrollment period expires. Students should then check their Pacifica email account for notification about the status of the petition or other correspondence related to it, since the Dissertation Office will contact students at [my.pacific.edu](mailto:my.pacific.edu) if they need any additional information. The Dissertation Office sends students a copy of the approved form.

### **Information for Financial Aid Recipients**

Students enrolling in the dissertation phase of the PhD program, may be eligible for the Direct Stafford Loan program. To apply, students must complete the Free Application for Federal Student Aid (FAFSA) form each year. Federal regulations require all financial aid recipients to maintain satisfactory academic progress toward completion of degree requirements for continued eligibility.

Enrollment in the dissertation phase is considered to be enrollment on a half-time basis. All eligible financial aid recipients entering the dissertation phase of the program will be awarded Direct Stafford Loans on a borrower-based academic year. In other words, from the time the two-year clock begins, the financial aid will cover four consecutive quarters. For example, with a dissertation start date in January (winter quarter), financial aid will cover four consecutive quarters (winter, spring, summer, and fall).

Upon completion of the first four (4) quarters of the two-year dissertation clock, the financial aid office will confirm students' active participation in the dissertation process. **Active participation is defined as submission of written materials beyond the initial concept paper and on-going consultation with the dissertation committee.** Once active participation is confirmed, students may be eligible for additional Stafford Loans during the second year of the two-year clock.

If additional time beyond the two-year clock is necessary for completion of the dissertation, students must enroll in the extended one-year clock. Students will be eligible for Direct Stafford Loans during the one year following the two-year clock provided your dissertation committee has approved student's proposal and submitted the approval form to the Dissertation Office. Proposal requirements are defined by each program and are included in this dissertation handbook. It is the student's responsibility to stay in contact with their committee and to follow-up on the progress of your proposal approval. Please be aware that all pending financial aid will be canceled once the final draft of the dissertation is approved.

Here are the satisfactory academic progress (SAP) requirements for recipients of federal financial aid:

- First year of initial two-year clock: Successful completion of coursework requirements as defined by SAP policy for coursework requirements.
- Second year of initial two-year clock: Continued financial aid eligibility requires confirmed submission of written materials beyond the initial concept paper and on-going consultation with the dissertation committee.
- Third year or extended one-year clock: Continued eligibility during the one year following the two-year clock requires dissertation committee approval of the proposal and submission of the approval form to the Dissertation Office.

### **Important**

**Federal financial aid is not available beyond the 13 quarters. All pending financial aid will be canceled once the final draft is approved.**

### **Progress in Dissertation**

To promote progress toward completing the dissertation, the Clinical faculty and the Educational Council have increased the emphasis on the Program Time Limit, which is a total of eight years from when a student begins coursework. Those students who are receiving financial aid should be aware that their dissertation chairs have to provide information a student's "Satisfactory Academic Progress." This includes telling the Financial Aid Office whether a student (1) has formed a full dissertation committee and communicated with the members; and (2) completed an approved dissertation proposal.



## Step Three: Forming the Dissertation Committee

A dissertation committee at Pacifica is comprised of the dissertation chair, a reader, and an external reader. Once the concept paper has been approved by one of the research faculty and the student has registered for dissertation writing, the student may officially convene committee members. However, it is highly likely that students may already have approached some faculty to see if they might be interested in serving on their committee. In fact, Pacifica recommends that students give some thought to this as they are developing your dissertation concept paper by reflecting on and seeking out likely faculty members and academics outside of Pacifica. This is where the concept paper can act as an ambassador for students and their work. However, remember that any and all verbal commitments made before registration for dissertation writing are unofficial. No promise is official and formal until students and the committee members have filled out and submitted the appropriate paperwork: the Chair Appointment Form, the Reader Appointment Form, and the External Reader Appointment Form.

### Selecting and Working with the Committee

In choosing a committee, students should do their best to gather a committee that has knowledge or expertise with the research topic and research methodology. Ideally at least one of the student's committee members will be able to address each of these two major concerns of topic and methodology. Although a "good fit" with reference to compatible personality style is also important, this fit should not come at the expense of helpful knowledge and expertise. Committee members should have a doctorate in psychology, a related field, or a field that is foundational for their study. A list of prospective chairs is available in Appendix A in Part 4 of this handbook. Students are expected to avoid dual relationships in the selection of their committee as outlined in the Student Handbook.

Students progress through the dissertation process more easily when they work closely with their committee members from the beginning. Keep in mind that the dissertation chair, reader, and external reader are dedicated to helping students succeed. They support the goal of producing a quality dissertation and assist students in completing their doctorate degree. Therefore, students will find it helpful to communicate with their committee at every important juncture in your planning and writing. By staying in touch throughout the process, students will optimize the chances of any unpleasant surprises later.

### Important

**Once committee members are convened, a contract is issued for their participation in the dissertation work and students are not permitted to fire or replace committee members. However, in rare cases of well-documented committee dysfunction, the student may contact the program's Director of Research to discuss the situation and seek a remedy. This sometimes results in the willing resignation of the committee member and his or her replacement.**

### *The Dissertation Chair*

One of the most important decisions students will make in the process of considering and conducting doctoral dissertation research will be their selection of their

chair. The chair should be someone with whom the student can work compatibly during the next year or two and also possess knowledge or expertise in the research topic or methodology. They will be the central person responsible for guiding students through the dissertation, ensuring the integrity of the Institute's dissertation guidelines as well as the academic standards of the field. The chair is available for consultation in initially setting up the dissertation committee, and oversees the activities of the committee once the dissertation period begins.

### *Choosing a Chair*

Though the chair need not necessarily be a widely acknowledged expert in the field of interest or research methodology, he or she must be familiar enough with it to guide the research and writing. After students have identified a prospective chair, students should approach that person, describe their project, and offer a copy of their concept paper. If the person agrees to become the committee chair, the student will complete and submit the Chair Appointment Form to their chair after registering for dissertation writing. The Dissertation Office does not accept these forms until the student's dissertation clock begins.

The chair needs to be a core faculty member of Pacifica Graduate Institute. In certain instances the director of research may approve a chair who is not a core faculty member. They may be an adjunct or contributing faculty member or a scholar from another institution. The director of research will maintain a list of these outside chairs and their availability. A list of committee chairs and their interests is available in this handbook in Part 4. Once the Dissertation Office receives and processes the Chair Appointment Form, the student and the chair will receive a letter of official notification that the chair has been convened.

### *The Responsibilities of the Chair*

The dissertation chair is likely to be a student's principle mentor during the research and writing of the dissertation, and his or her responsibilities include the following:

- Signs the Chair Appointment Form and submits it to the Dissertation Office.
- Upon review of the concept paper and discussion of the project with the student, works to define the direction of the dissertation and assists in the development of a promising and appropriate dissertation research proposal.
- Discusses prospective readers and external readers with the student and approves the appointment of the reader and the external reader to the committee, submitting the appropriate forms to the Dissertation Office.
- Reads the dissertation proposal and submits an evaluation to the student, requesting revisions as necessary. Signs the Acceptance of Dissertation Proposal form and forwards it to the Dissertation Office.
- Directs the student in submitting the ethics application. Reviews and approves the ethics application, in consultation with the program's director of research and Pacifica's Institutional Review Board (IRB) when the proposed research uses human participants, and forwards it to the Dissertation Office.

- Discusses the proposal with the other committee members and oversees revisions, as necessary, until the proposal is approved by the full committee. Reviews Acceptance of Dissertation Proposal forms sent to chair by other committee members and forwards them to the Dissertation Office.
- Reads the completed draft of the dissertation; submits an evaluation to the student, requesting revisions as necessary. Approves the final dissertation draft and signs the Acceptance of Dissertation Final Draft form after revisions, if any, have been incorporated into the dissertation. When appropriate, instructs the student to forward it to the other committee members.
- Discusses the final dissertation draft with the other committee members and oversees revisions, as necessary, until the final draft is approved by the full committee. Reviews the Acceptance of Final Draft forms sent to the chair by the other committee members and sends them to the Dissertation Office.
- Coordinates with the student and the other committee members in setting a date for the oral defense.
- Hosts the oral defense, convenes the committee for final acceptance of the dissertation, and oversees any further changes to the dissertation that the committee may require.
- Signs the Completion of Defense form

### *Convening the Chair*

Before registering for dissertation writing, students may have an informal commitment from a faculty member to chair the dissertation committee. Any such agreement *must* be formalized after registering for dissertation writing.

To convene someone as your chair, complete the “Dissertation Chair Appointment form” and send it to the chair for his or her signature. Be sure the chair submits the signed appointment form to the Dissertation Office. Once the Dissertation Office receives and processes the form, it sends a letter to both the student and the faculty member officially notifying them that the chair has been convened.

Once you have convened the chair, consult with him or her regarding the selection of a reader and external reader who have expertise and interest in the topic or methodology. You’ll complete and submit the appropriate appointment forms to the chair, along with the proposed external reader’s curriculum vitae, for review and approval.

When the chair approves these selections, he or she sends the forms to the Dissertation Office for processing and these nominated committee members are officially invited onto the committee.

It is a good idea for the chair and the student to communicate frequently about proposed timetables for submitting and reviewing work, and any other constraints on their time, so that the process goes as smoothly as possible.

### *Faculty Sabbatical*

Approximately every three years, Pacifica core faculty members are allowed to take sabbatical for one quarter, during which time they are not expected to work with dissertation students. Faculty should notify students of an upcoming sabbatical well in advance of the start date so that students can plan accordingly. If, at the end of a registration period (either the initial two-year or extended one-year registration), students need to continue working on the dissertation, they can apply for a one-quarter no-fee extension, citing “committee member sabbatical” as the reason.

### *The Reader*

There are two readers on Pacifica dissertation committees, an “internal” reader who most often is affiliated with Pacifica and an “external” reader, described next, who is not. Both kinds of readers work with the student and the chair to complete the dissertation and often are selected because they have expertise in the dissertation topic or methodology. In many instances, both readers complement the areas of strength or weakness of the chair.

Qualified candidates for the reader position are rarely core faculty in any program at Pacifica. However, readers are typically associated with Pacifica, for instance as adjunct faculty or guest speakers. Or they are now, or have been, as an internal mentor (chair, advisor, or reader) on Pacifica dissertations.

Qualified candidates must have a doctorate in psychology, a related field, or a field that is foundational to the study. In rare cases, it may be acceptable to convene an internal reader who has the highest degree granted in their field, for instance, an MD or an MFA, but students should speak to their committee chair and director of research to discuss this. A list of readers and their interests is available in this handbook in Part 4, Appendices B and C.

The reader works with the dissertation chair to mentor the student and ensure the quality of the research by fulfilling the following responsibilities:

- Within 6 weeks of receiving the dissertation proposal, evaluates the work and submits a report to the chair and to the student. Continues to review subsequent drafts of the proposal as needed, taking no more than 6 weeks for each review cycle. When the quality of the dissertation proposal is acceptable, completes and submits the Acceptance of Dissertation Proposal form to the chair.
- Within 6 weeks of receiving the complete dissertation draft, reviews the work and submits a report to the chair and the student. Continues to review subsequent drafts of the manuscript as needed, taking no more than 6 weeks for each review cycle. When the quality of the complete manuscript is acceptable, signs the “Acceptance of Dissertation Final Draft” form and sends it to the dissertation chair.
- Participates in the oral defense of the dissertation in person, on the telephone, or by sending a question.

### *The External Reader*

The purpose of the external reader is to provide an outside perspective on the dissertation research conducted by Pacifica students. Qualified candidates should have expertise in the student’s topic of interest or research methodology and be able to evaluate

the work from a scholarly vantage point. They must have a doctorate in psychology, a related field, or a field that is foundational to the study. In rare cases, it may be acceptable to convene an external reader who has the highest degree granted in their field, for instance, an MD or an MFA, but students should speak to their committee chair and director of research to discuss this.

Because we take seriously the idea of an outsider's perspective, the external reader may not be a graduate of Pacifica; may not be a current member of Pacifica's core or adjunct faculty; may not have recently taught at the Institute (i.e. within the past five years); may not have held any administrative position here; and may not have served as an internal mentor on any dissertation committee at any time in the past. In addition, the external reader must not have a dual relationship with the student (i.e. past or present supervisor, religious leader, or therapist).

The student should discuss potential external readers with the dissertation chair as part of the selection process. The Dissertation Office also highly recommends that the student and chair check with the Dissertation Office regarding an external reader candidate to discover their previous relationships with Pacifica.

The external reader works with the dissertation chair to mentor the student and ensure the quality of the research by fulfilling the following responsibilities:

- Within 6 weeks of receiving the dissertation proposal, evaluates the work and submits a report to the chair and to the student. Continues to review subsequent drafts of the proposal as needed, taking no more than 6 weeks for each review cycle. When the quality of the dissertation proposal is acceptable, completes and submits the Acceptance of Dissertation Proposal form to the chair.
- Within 6 weeks of receiving the complete dissertation draft, reviews the work and submits a report to the chair and the student. Continues to review subsequent drafts of the manuscript as needed, taking no more than 6 weeks for each review cycle. When the quality of the complete manuscript is acceptable, signs the Acceptance of Dissertation Final Draft form and sends it to the dissertation chair.
- Participates in the oral defense of the dissertation in person, on the telephone, or by sending a question.

### **The Role of Director of Research**

The role of director of research is to insure that the research model as presented in the Dissertation Handbook is understood and respected by all parties involved. It includes the following responsibilities:

- Reviews requests by a student to register early for dissertation writing.
- Serves as arbitrator in cases where, after many efforts at resolution, the tensions in a dissertation committee become detrimental to the work of the committee. (See below, "Committee Dispute Procedures".) In cases where the director of research is personally involved as committee chair, the department chair serves as substitute.
- Reviews all Use of Human Participants projects and upon approval, signs the Ethics Approval Form and sends it to the Institutional Review Board (IRB) for final authorization.

- Serves on the Council of Research Coordinators to discuss changes to Institute-wide dissertation processes and policies.
- Serves as a member of the Institutional Review Board (IRB) of Pacifica Graduate Institute according to the policies of the Council of Research Coordinators. (Membership is assigned annually on a rotating basis).
- Makes revisions to the Dissertation Handbook in light of suggestions from faculty.

### **Committee Dispute Procedures**

On occasion, disputes will arise between a student and a committee member (or members) concerning either academic or procedural matters. All such matters should be first directed to the attention of the committee's dissertation chair and resolution attempted in this context. If the dispute cannot be resolved in this context, the following provisions apply:

- Matters of procedure will be directed to the director of the Dissertation Office.
- Academic matters will be directed to the program's director of researches.
- If the academic dispute is between the student and the dissertation chair and remains unresolved, the matter will be adjudicated by the director of researches.
- If the director of research cannot resolve an academic dispute or is personally involved in a dispute that remains unresolved, the matter is directed to the chair of the program.
- Any dissertation dispute that cannot be resolved within the program is referred to the director of the Dissertation Office.

Most disputes are resolved directly between the student and the committee member. Importantly, if an impasse is reached, although a student may request the withdrawal of a committee member, the student cannot enforce such requests.

## **Step Four: Writing the Research Proposal and Ethics Application**

After students register for dissertation writing and convene the committee, they begin the process of writing the research proposal. Most proposals are approximately 40 to 60 pages in length and become, in time, part of the complete dissertation manuscript.

The dissertation proposal grows organically out of the concept paper. In fact, the three major sections of the concept paper—Introduction, Literature Review, Methods—form the proposal, only they are lengthier, more detailed, and demonstrate greater scholarly competence.

### **Organization of the Dissertation Proposal**

The dissertation proposal is essentially the first three chapters of the dissertation (Chapter 1: Introduction, Chapter 2: Literature Review, Chapter 3: Methods). The purpose of a dissertation proposal is for doctoral candidates to thoughtfully articulate a coherent and promising design for a research project in clinical psychology and, thereby, to demonstrate their readiness to conduct doctoral level research in the field. The proposal systematically formulates a research problem, reviews relevant foundational literatures, and explicates methodological issues and procedures. It is important to remember that writing a

dissertation proposal and a dissertation itself is not like writing a book for popular consumption. Although depth psychological research often includes poetic, literary, and autobiographical material, the overall tone and language of proposals and dissertations alike are scholarly and scientific in nature and intended to address a professional, academic community of fellow investigators in both clinical and depth psychology. Accordingly, it should be written in APA style; this refers not only to citing or referencing, but how language is used (i.e., clear, concise, focused language).

Because of the interdisciplinary nature of depth oriented clinical psychology and diversity of research approaches and methodologies used at Pacifica, it would be impossible to establish a single, general template for every possible kind of research design. Instead, this section merely attempts to establish some broad scholarly standards and expectations for research in clinical psychology leaving the particularities of design, research methodology, and manuscript organization for individual researchers to determine in consultation with their committee members. The intent is to establish some general institutional expectations and standards for research in clinical psychology, while, at the same time, allowing for the continued development of a variety of appropriate designs. For information and guidance on specific research approaches, students should consult appropriate course material, research faculty, or members of the students' dissertation committee. However, regardless of the particular research approach or methodologies adopted, each of the content areas designated below must be thoughtfully addressed as a part of the research proposal.

The following list designates the basic required content areas that need to be addressed in some fashion through the research proposal. Although the below organization is certainly one generally effective way to structure a research proposal in clinical psychology, it is not the only one and the actual sequence, organization, and length of each of these content areas within any given individual research proposal is left to researchers themselves in consultation with their committees. The proposal can be organized in as few as one and as many as three chapters, depending not only on its nature and length but also on the needs and purposes as the researcher. Each of the required content areas listed on the next page will subsequently be discussed in detail.

#### Introduction (10-20 pp.)

Purpose statement

Relevance of the Topic for Clinical Psychology

Researcher's Interest in the Topic

Statement of the Research Problem and Question (3-5 pp.)

The Research Problem

The Research Question

#### Literature Review (50-60 pp.)

Literature Relevant to the Topic

Literature Relevant to the Researcher's Topic within selected Theoretical Approach

The Need for Research on the Topic in Clinical Psychology

## Methods (20-30 pp.)

- Research Approach
- Research Methodology
- Participants or Texts
- Instruments (if applicable)
- Procedures for Data Collection
- Procedures for Data Analysis
- Reflexivity
- Procedures for dealing with ethical concerns

## References

### *Introduction*

The purpose of the introduction is to orient and engage the reader, to disclose the initial understanding and relation to the topic, and to establish the importance of the topic for clinical psychology. Effective introductions to research proposals include a discussion of the autobiographical origins of the researcher's interest in the topic, a thorough discussion and analysis of the researcher's predisposition or transference to the topic, and a discussion of the relevance of the topic for clinical psychology.

### *Purpose Statement*

Including a purpose statement quickly orients the reader to the purpose, strategy, and method of the dissertation. When writing the final versions of the dissertation, the purpose statement will need to be converted into an abstract.

### *Relevance of the Topic for Clinical Psychology*

It is imperative to demonstrate how the topic is or, at least, should be of concern to other scholars and practitioners in the field of clinical psychology. Although the need for the proposed research in clinical psychology may be stated tentatively, since it is not yet known whether the study will actually bear the scientific or theoretical fruit to which it aspires, students still need to make evident at least the potential of the proposed study both for the field of clinical psychology in general and depth-oriented clinical psychology in particular. Doing so naturally leads to a thorough, systematic review of literatures relevant to the research topic, including, especially, literatures in the field of clinical psychology.

### *Autobiographical Origins of the Researcher's Interest in the Topic (Including Privacy Concerns)*

Pacifica recognizes the reciprocal relation between researchers and their topics, a relation that precedes, perhaps by years, the actual formulation of the specific research problem and question. Given this co-constitutional nature of inquiry, Pacifica requires students to clarify and examine the nature and parameters of the topic as well as the autobiographical origins of student's specific interests within it. Such a discussion can simultaneously engage the readers and assure them that students are cognizant of their own



emotional attachments to the topic. Although this section is often written in an autobiographical voice, it is important to remember that its purpose is to increase both self-understanding and collegial comprehension with reference to the research topic. Students should do their best, therefore, to avoid merely providing personal confessions, i.e., confession for its own sake, which loses sight of its purpose, namely to open up the possibilities for rigorous psychological inquiry. The information students reveal should also be balanced with how much students are willing to disclose. Remember that once the dissertation is completed it will be published, including any personal information, on ProQuest/UMI and will thus become part of the public domain. Moreover, once the dissertation is approved and published, no part of that document can be removed or changed, and thus, all personal information included in the dissertation will be accessible by general public, including students' current and future employers, employees, clients, friends, and family members.

Regarding privacy concerns, students should be judicious in what they choose to include. One should receive written permission to include highly personal/sensitive materials or information about people or organizations that is not already in the public domain. For example, if the dissertation contains a picture or video that identifies someone by name or clearly shows where the person lives or works, the student should let the individual know how this will be used and obtain written approval before it is included in the dissertation. Likewise, quotes gleaned from course discussion boards, comments by classmates in classroom discussions, and other material that was gained when there was an expectation of confidentiality should be used only with written permission. Remember that once the dissertation is completed it will be published, including any personal or sensitive information about others or organizations, on ProQuest and will thus become part of the public domain.

### *Statement of the Research Problem and Question*

This section is not only the very heart and soul of the research proposal but also the single most important section of the dissertation itself. Although it is often the case that this section remains basically the same as it was in the concept paper, it is worth reiterating here that your statement of the problem and, in particular, the research question or hypothesis will not only serve as students' most faithful guides throughout the research project, but also provide the most trustworthy basis for evaluating the integrity and validity of eventual findings. In addition, this section provides readers with the most vivid sense of essential intents and purposes as a researcher. If the research problem and question has changed somewhat from the way it was articulated in the students' concept paper, students may want to reread the section entitled "Hone the Question" to assist with reformulating this component of the proposal. As in the concept paper, the statement of the research problem should include a brief reiteration of the students' understanding of the problem, a lucid and concise statement of the primary research question along with relevant auxiliary questions, and clear, unambiguous definitions of basic concepts and terms in the students' primary research question.

As was the case for the concept paper, the particular methodology chosen will determine the way in which the problem is expressed. Remember, quantitative designs are often guided by testable hypotheses, whereas qualitative and theoretical studies are guided by a research question. Therefore, since most dissertations at Pacifica are qualitative or theoretical in nature, the below discussion will focus on them.

### *The Research Problem*

This brief section usually begins with a brief reiteration and synthesis of the previous two major sections (Introduction and Literature Review) and ends with a concise description or discussion of students' present understanding of the research problem in terms of what it is that is known or understood and what is unknown or not understood. Students may want to make explicit the previously implicit link between the autobiographical interest in the problem and the need in clinical psychology for the proposed study (e.g., "Given my own long standing personal and professional interest in the phenomenon of X and given the dearth of professional literature from a Y point of view regarding this same phenomenon."). You may then want to suggest, again briefly, the heuristic promise of the proposed study for clinical psychology (e.g., "It is hoped, therefore, that the proposed study might lead to A, B, and/or C within the field of clinical psychology.").

### *The Research Questions (Qualitative) or Hypotheses (Quantitative)*

This sub-section clearly and succinctly states the primary research question and any critical auxiliary questions. The formulation of the primary research question or hypothesis is undoubtedly the single most important aspect of the research process since it shapes and determines the entire research enterprise from beginning to end. Indeed, it could be argued that the articulation of the primary research question per se is the single most important sentence students will write in their entire dissertation.

Given the significance of this single interrogatory sentence, it is worth remembering that any time students spend honing the research question is likely to pay back rich dividends in saved time and energy throughout the research process. Although at this point students may already have an appropriate, and worthwhile research question, it still may be worth considering the following guidelines. First, students need only have a single research question and, indeed, singularity of purpose can be the most practical, effective, time saving, and illuminating achievement of an entire research project. Second, generally speaking, the simplest formulation of the question is best as every new term or concept contained within it increases the complexity and difficulty of the research task as well as the possibilities for confusion, ambiguity, and misunderstanding in the minds of readers. Third, the more open the question, the better. Students should do their best to state the question in a way that is free of personal or theoretical assumptions or biases. Fourth, take care to ask a question that is appropriate for the kind of study being conducted. Whereas quantitative studies ask questions (or state hypotheses) of measurement and proof, qualitative and theoretical studies ask questions of meaning and understanding. Fifth, if asking auxiliary questions, students should do their best to articulate the questions in a way that supports or opens up the primary research question as opposed to raising new or tangential, albeit related, domains that require independent investigation in their own right.

***Note about definition of terms:*** Terms, used within the research, should be defined the first time they appear in text in a narrative form with corresponding citations.

### *Literature Review*

The purposes of the literature review are to demonstrate the student's thorough, conversant familiarity with literatures relevant to the investigation; to locate the topic effectively within the literature of clinical psychology; and to demonstrate how the proposed work addresses a specific need for new research and literature in the field (see Bem, 1995;

Creswell, 2007; Thomas & Hersen, 2003; Sternberg, 2003). The review should thoughtfully discuss works or studies that touch upon the dissertation topic and, if not included in the methodology section, the theoretical approach to it.

First of all, it is important to remember what a literature review is *not*. A literature review is *not* simply an annotated bibliography, reviewing various works for their own sake, but, rather, it is a comprehensive, systematic examination of literatures relevant to the research topic specifically as they relate to the topic. In other words, a literature review is always subordinate or subservient to the research topic. Likewise, a literature review is *not* the place to make unexamined truth claims or assert ideological arguments but, rather, to critically examine how each work contributes and/or fails to contribute to knowledge or understanding of the topic as well as how the various works discussed relate to one another. Whenever students make claims in the process of critiquing the literature or clarifying your perspective, such claims must be adequately cited (using APA format) and, wherever appropriate, qualified (“X said;” or “Some are convinced;” or “At this point, I am inclined to think;” or “It is my opinion;” etc.). As with dissertations and proposals as a whole, the most effective literature reviews are written in the voice of a scientific investigator who is careful to report and describe, as objectively as possible, his or her observations as they occur. Careful description, systematic organization, critical reflection and evaluation, and a sense of genuine scientific interest characterize the thoughtful literature review. Note that when reporting research and other publications the past tense should be used (see the *Publication Manual of the American Psychological Association*, 6<sup>th</sup> edition). In other words, students should not state “Smith (2008) reports” but should instead state “Smith (2008) reported.”

Although there are many different ways to organize the material in a literature review, generally speaking literature reviews for depth psychological research have at least the following three components: a review of literature relevant to the topic; where appropriate, a review of literature relevant to the researcher’s theoretical approach, and a succinct statement of the need for research on this topic in the field of clinical psychology.

### *Literature Relevant to the Topic*

The primary obligation of the literature review is to present a critical report of scholarly work that has already been conducted on the research topic (see Rudestam & Newton, 2007, Chapter 4 “Literature review and statement of the problem” and Sternberg, 2003, Chapter 2 “Steps in writing the library research paper”). The student’s report of previous literature and research naturally opens the way for the presently proposed research through the systematic examination of those bodies of literature foundational for and relevant to the topic. In other words, the literature review should lead the reader through a logical progression of both knowledge and theory that ultimately creates a compelling argument for the proposed study.

It is imperative that students give serious attention to any relevant literature within the field of clinical psychology per se, including literature growing out of theoretical and research perspectives different than the student’s perspective. For example, a study of the depth psychological understanding of unconscious processes should include a review of both the unconscious from a depth perspective as well as how general psychology conceptualizes the unconscious (i.e., cognitive psychology, cognitive neuroscience). Likewise, a depth psychological study of women’s identity or development ought to examine the ways in which clinical psychology as a whole addresses women’s lives. Still following the same

point, a study of the numinous ought to examine, as a part of its review of literature, how clinical psychology as a whole addresses or fails to address religious or spiritual experience or, perhaps, the self. Of course, these kinds of generally situating reviews are not at all as detailed as reviews of literatures that are closer to the proposed research in terms of the topic, theoretical approach, or methodology. Such situating reviews simply locate the work within the overall domain of clinical psychology by showing, with a few broad strokes, just where the student's proposed research work fits within the larger and more general context of psychological research.

In some instances, student's research may be significantly interdisciplinary in nature. As a result, it will include literature reviews from such scholarly disciplines as philosophy, religion, world literature, poetry, literary criticism, or the arts. It is particularly important for these types of reviews that extra care is made to include thoughtful well ordered, easy to follow headings.

Regardless of how broad or narrow the scope of the literature review, it is important that the review does more than merely report published works. The task is not only to report but also to examine and evaluate the relationship of these various literatures to one another, to basic relevant ideas and problems in the field, and to the topic in question. In other words, the literature review should examine what is already known about the research topic in such a way that the literature itself is critically and thematically subservient to your research topic. Thus, the challenge is to show what each particular work/author contributes to our knowledge and understanding of the topic in question as well as what each fails to contribute. In addition, where relevant, students should try to show how different works relate to, support, or contradict each other vis-à-vis the topic. Whenever appropriate, the literature review should also consider what relevant works/authors reveal about basic, contextual or foundational issues, that is, basic theoretical, philosophical, ethical, or cultural issues or problems integral to understanding the topic.

It is imperative that the student thoroughly and appropriately documents the entire literature review with citations and quotations. Indeed, when whole pages or even paragraphs appear without such documentation, there is reason to question whether or not the student is still on the task of reviewing literature. Furthermore, citations should always follow APA (2009) recommendations and all works cited or quoted should be immediately placed in the list of references at the end of the proposal. It is important to remember that whether the student is quoting a single new idea, a few words or phrases, or whole sentences or paragraphs, correct acknowledgement is required including author(s), date of publication, and, where appropriate, page numbers. The purpose of such thoroughness is to provide the readers direct access to sources so they can substantiate the student's work or investigate further on their own.

It is important to remember that the literature review ought to show both what has been done and what has not been done, both what at present seems to be known or understood and what is not. This is one of the crucial functions of the student's literature review, to show what is missing, the lacuna of knowledge, perspective, or understanding that the study is designed to rectify.

It may be helpful to students to write the literature review with two kinds of readers in mind. On one hand, imagine providing *informed readers* with evidence of the student's familiarity with and critical mastery of the bodies of literature that are relevant to the topic.

On the other hand, imagine providing *uninformed readers* with a clear, coherent, and self-explanatory introduction to those same bodies of literature. Another way to imagine the literature review is as an intensive course on the topic given to an intelligent and interested but not necessarily sympathetic audience. The students' job is to educate this audience about what is already known about the topic and closely related issues and contexts, to inform them of similar and contrasting points of view with reference to the topic, and then show them what it is that is not yet known or understand that the student hopes to learn in the research upon which the student is about to embark.

### *The Need for Research on the Topic*

The concluding statements of the Literature Review should focus on the need for the proposed study.

### *Using On-line Sources in Research*

Electronic publishing has greatly increased access to all types of sources online, but not all of them are credible scholarly resources. Pacifica discourages the use of Wikipedia and personal blogs but does encourage the use of online peer-reviewed journals. The *APA Publication Manual* includes basic guidelines and rules for providing publication data for electronic sources (Sections 6.31 & 6.32, pp. 189-192) and examples of reference entries for electronic sources in the individual sections on different types of sources (Chapter 7, pp. 193-224). Before finalizing the list of references, confirm the website being used as a source for citations.

### *Methods*

The purpose of this component of the proposal is to more fully describe the research approach, methodology, participants, materials, and procedures. These are familiar topics from the concept paper, which must include a brief preliminary discussion of them. The research proposal, however, goes well beyond the concept paper in providing a more thorough and systematic discussion of approach and methodology and their related literatures. The proposal also provides a description of the participants and any materials that might have been used as well as specific research procedures. In short, this section articulates, as clearly as possible, how the student intends to go about conducting the research.

### *Research Approach*

This is a thoughtful, systematic discussion of the philosophical stance regarding the nature of reality (ontology) and human knowledge (epistemology) as it impacts the activity of research. Naturally, even if the research is itself a study of epistemology, an exhaustive consideration of philosophical, ontological, and epistemological matters relevant for the study is out of the question. Nevertheless, it is important to discuss, albeit relatively briefly, those issues most central to the research approach. Students might want to include, for example, a documented discussion of such concepts as natural science (*Naturwissenschaften*), human science (*Geisteswissenschaften*), or psyche-centered inquiry. In addition, they may briefly compare qualitative and quantitative methodology and discuss experimentalism, phenomenology, hermeneutics, heuristics, ethnography, or imaginal psychology as appropriate. Depending on the particular research project, it also may be important to

address specific epistemological issues and perspectives such as essentialist vs. constructionist approaches to knowledge, monistic vs. dualistic conceptions of reality, or the mind-body problem.

However students go about this discussion, it is important to demonstrate familiarity with literature supporting the research approach and elucidating basic concepts and issues germane to its understanding and practice. For example, a discussion of a phenomenological approach might include a well-documented consideration of historical and philosophical foundations; different approaches to phenomenology such as descriptive, transcendental, hermeneutic, or existential phenomenology; and/or basic conceptual concerns such as essence, intuition, imaginative variation, and phenomenological reduction. Similarly, a discussion of a hermeneutic approach might include a well-documented consideration of historical and philosophical foundations; different approaches to hermeneutics such as methodological, ontological, or critical hermeneutics; and/or basic conceptual concerns such as the hermeneutic circle, foreknowledge, horizons, and interpretive set. Whatever general approach to research is adopted, it is important to explicate how this particular approach is especially appropriate for the study.

### *Research Methodology*

This component of the dissertation proposal expands on the brief discussion of methodology presented in the concept paper. It presents a thorough, well-documented discussion of research methodology and its appropriateness to the research problem. As discussed earlier, students can choose a quantitative method, select one among a variety of qualitative methods, or use a mixed-method approach that combines both quantitative and qualitative methodology. The exact nature, content, and style of the discussion of the specific methodology is left to the student's discretion in consultation with the committee. However, the purpose of this part of the proposal is to assure readers that you are familiar with the issues, concepts, authors, and literature most germane to the research methodology and why this specific methodology is appropriate for the study.

The exact nature, content, and style of the discussion of the specific methodology is left to a student's discretion. However, the whole purpose of this part of the proposal is informed confidence regarding the issues, concepts, authors, and literature most germane to the research methodology and why this specific methodology is appropriate for the conduct of the study.

### *Participants or Texts*

When writing the proposal, students will not yet have worked with any participants. However, it is still crucial to include the number of anticipated participants and the rationale for selecting them. For example, in a phenomenological study it is often essential to include participants who are able to articulate their lived experience of the world. It is also crucial to include any relevant inclusion or exclusion criteria. This might include age, ethnicity, education, absence of severe psychopathology, diagnosis, or comorbidity. One of the main purposes for doing this is to ensure that the selection of participants will adequately represent the variable(s) being studied. Conversely, it is important that they would not confound the results.

In theoretical dissertation, students must discuss texts, authors, and sources they will utilize for their theoretical review. This list must be comprehensive and referenced and

written in a narrative form with discussion of rationale for selection. The student can acknowledge that the list is intended as a “starting point” and that it will be expanded during the immersion into data.

### *Instruments*

Many studies utilize materials such as tests, images, or apparatus. It is thus important to describe these materials. Frequently formal psychological tests are used such as the Beck Depression Inventory-II, Myers Briggs Types Indicator, or the MMPI-2. These should be listed along with their number of items, response format (True-False, Likert, self report, ratings by clinician), reading level, and psychometric properties. When describing reliability and validity, it is often not possible to include all the relevant research. Instead, include a brief summary based on general findings as well as those specific to the study. For example, if a study is using the instrument to make predictions, then it would be crucial to include test-retest reliability and predictive validity. If the instrument will be used for concurrent measures (i.e. current diagnosis), then research on internal consistency and concurrent validity would be the preferred psychometric properties to include. If using arts based images, then a description of these and where they were found would be important.

### *Data Collection*

This final major component of the methods section is more detailed and specific than it was in the corresponding component of the concept paper and describes the anticipated processes and procedures throughout the conduct of the study. It is important to be both explicit and concrete. This will provide a confident sense of the researcher’s direction and activity. It will also provide readers with an unambiguous understanding of the specific research actions the researcher plans to undertake. The description of processes and procedures also provides a basis for readers eventually to evaluate not only the degree to which the researcher has been faithful to the original research design but also the nature, integrity, and veracity of the findings. For quantitative studies it is also essential that the description of procedures is specific enough for other investigators to replicate them if necessary or desired. For qualitative and theoretical studies, even though the procedures should be clear enough for other psychologists to learn from them how to conduct similar, related, or follow up studies. Effective research procedures sections should include the following: a description of specific procedures for gathering data, a description of procedures for analyzing data, limitations/delimitations of the study, and a description of the anticipated organization of the final manuscript.

For participant-based studies, this includes procedures for selecting participants (or sites); procedures for obtaining informed consent and insuring confidentiality; procedures for instructing participants; and procedures for conducting and documenting interviews (e.g., notes, audio tape recording, video tape recording), for gathering solicited written narratives, or for participating in social settings. For text-based and arts-based studies this includes criteria and procedures for selecting texts and other materials and procedures for gathering and documenting data (e.g., written notes, voice recorded notes, reference cards).

### *Data analysis*

Regardless of the kind of data used for the study, this section must articulate the specific steps and procedures the researcher plans to follow in analyzing and interpreting the data. These steps must be derived from the specific methodology selected by the student

(e.g., Palmer's (1969) hermeneutic approach, Giorgi (1985) phenomenological approach). In participant-based studies this means describing specific steps for both single-case and cross-case analyses. In both participant-based and text-based studies, this also means identifying and discussing (if the student has not already done so) the hermeneutic or interpretive set or sets, both with respect to the overall theoretical lens (e.g., psychoanalytic, Kleinian, object relations, Jungian, archetypal, imaginal, existential, phenomenological) but also with respect to any particular conceptual lens or lenses the research will employ (e.g., transference, self, primary process, splitting, projective identification, transference, complexes, archetypes, developmental stages and processes). If there is a thoughtful discussion of the interpretive set(s) in earlier sections, for instance in the section on the Literature Review, then mentioning and naming the interpretive set or sets again here, referring the reader to the relevant preceding discussions, will suffice.

A researcher's analytic procedures may not be entirely clear in advance or they may change or emerge as the study progresses. In either of these cases, it may be wise to state that the present procedural prospectus will be augmented with a retrospective description of analytic procedures at the conclusion of the study. The art of interpretation and understanding being as elusive as they are often leaves hermeneutic researchers no choice but to state after the fact precisely what they did to analyze their data and arrive at their findings and conclusions. This circumstance should not be taken as reason to delay the attempt to systematically develop and articulate an analytic procedure in advance, rather, it is simply an acknowledgement of the inevitable vagaries of the hermeneutic circle and the importance of taking full responsibility both prospectively and retrospectively for the researcher's participation in it.

### *The Benefits of Working with an Editor*

Some students have found it useful to hire a professional editor to review chapters of their dissertation. Such a professional provides expertise in the overall organization and flow of the work, the construction of effective sentences, paragraphs, and sections, as well as the ability to find and correct proofreading errors. Working with an editor is entirely optional, not required by Pacifica Graduate Institute, but it may be worth considering.

### *Ethical Concerns*

During their coursework, all Pacifica students are expected to have completed the National Institutes of Health web-based training "Protecting Human Research Participants." Doing psychological research raises important ethical concerns that need to be anticipated in the planning of research, and navigated with integrity during each stage of research. To these ends, the next sections will present the ethical principles derived from the American Psychological Association's ethical standards. As you develop your research design and complete this application for approval, please keep the following basic ethical principles in mind.

#### *Respect for Persons*

Individuals must be treated as free and autonomous. This means that participants must freely agree (in writing) to participate in your study with no coercion or harmful consequence should they elect not to participate. Participants must also be free to end their participation in your study at any stage during its development. Participants with diminished



capacity must also be respected and protected. The ability for self-determination can become limited due to illness, mental disability or physical circumstances. Therefore, investigators must protect the welfare of people who participate in their research. This includes maintaining confidentiality in terms of their participation and the data collected from their participation.

### *Beneficence*

This principle involves not harming the participant physically, emotionally or psychologically. It relates to the Hippocratic oath to “do no harm.” A basic guideline here is that the investigator needs to maximize the benefit and minimize any harm or risk to the participants in the study.

### *Justice*

This relates to the population chosen for your study. Researchers should not choose a population just because they are easily available, in a compromised position, or because they are open to manipulation. The burden for research should be fairly distributed and related to the problem being studied. In addition, participants have a right to know the purpose of the research. Thus, truthfulness, at least at the post-experiment interview, is a necessary ingredient in the research design.

### *Types of Harm*

It is difficult to ensure that absolutely no harm will come to participants in a psychological study. For this reason, it is absolutely essential that the Informed Consent form (as well as the Ethics application) state honestly any possible psychological and/or physical risk. Researchers must consider the following categories of harm:

- |                    |   |
|--------------------|---|
| Physical harm:     | Whereas obvious physical risks may be minimized or eliminated sometimes more subtle physical risks go undetected. For example, any study involving physical activity (such as dance therapy) may create an environment for physical injury. Projects involving more physically demanding activity such as wilderness experience present considerable risk and also difficulties if subjects wish to withdraw from the study. Research involving such strenuous activity and/or geographical isolation is not recommended. Activities such as painting may present subtle risks if, for example, workspace is not well ventilated. Any activity involving potentially toxic materials must be assessed for risk. |
| Stress:            | Psychological stress is a risk factor that needs to be clearly assessed. Probing questions can cause considerable discomfort, certain topics may generate embarrassment or discomfort, and psychological issues and painful memories may be reactivated. The documentation presented to the participants must accurately reflect all of these considerations.   |
| Dual relationship: | Pacifica prohibits the use of current patients for research purposes since this situation constitutes a dual relationship—that of researcher and psychotherapist. The use of past patients for research presents  |

less difficulty if express written consent is freely given. At all times the researcher must maintain an awareness of the potential impact on the patient, which may extend beyond termination. Students should consult with their chair on gaining approval for research projects that involve past patients. Case material used in a manner recognizable to patients as their own experience always requires the need for informed consent. Quoting directly from the patient, or using dream images or narratives necessitates informed consent and the patient must be given the opportunity to appear in the research anonymously, where the researcher uses every effort to disguise identity.

Other dual relationships may include healer/client, teacher/student, employer/employee. Equal care should be taken regardless of the relationship, and the particular ethical issues that may arise should be discussed with the dissertation chair.

Coercion:

It is not ethical to willfully mislead the participant as to the nature of the experiment/study. Thus, any form of trickery or manipulation in order to produce a particular result/response is a violation of ethical principles. Over recent decades, ethical considerations in research have shifted in affirming this sensibility. This principle does not necessitate that you disclose every detail of the study. When seeking to understand a particular phenomenon, researchers can simply state the phenomenon to be explored and that this exploration will examine many issues.

Students are obliged to be thoroughly familiar with and abide by the standards inherent in the methodology and also the standards of the field of psychology as a whole. Therefore the “Ethical Concerns” section of the proposal must include a brief discussion of the intention to comply with standards established by the American Psychological Association, above, with the standards and procedures of Pacifica’s Institutional Review Board (IRB), and, where applicable, with the standards and procedures of any relevant community or institution that may be involved in any aspect of the research process.

### **Writing the Ethics Application**

Students at Pacifica Graduate Institute are required to comply with the ethical standards set down by the American Psychological Association for conducting research with human participants. Every study must acknowledge whether or not participants will be used. As a result, all students must submit one of two ethics-related forms along with the dissertation proposal: either the “Ethics Application for Research without Participants” if the study will use no participants or the “Ethics Application for Approval to Use Participants” if the study will use participants.

Students submit the application form, along with the dissertation proposal, to their chair. The chair, in consultation with the program’s director of research and Pacifica’s Institutional Review Board when participants will be used in the research, must approve the application before final acceptance of the dissertation proposal and before students begin gathering research data. In most instances, and if the student has followed the guidelines,

the ethics application will be approved promptly. Here is an overview of the steps Pacifica follows to review the application:

1. The dissertation chair reviews and approves the proposal, which describes the research design, including a discussion of ethical issues.
2. The student submits the completed ethics application to the dissertation chair, who reviews it. If the research proposes to use human participants, three signatures are needed to approve it: the chair's signature, the program's director of research, and a representative from Pacifica's Institutional Review Board.
3. The chair notifies the student of the approval of the ethics application, or of any changes necessary to gain its approval.

Students who encounter irresolvable conflicts with the Institutional Review Board may seek redress with Education Council.

A signed approval form allowing the student to use human participants in the research must be on file along with the dissertation proposal acceptance forms, and before any work is done with or data gathered from any human subject. Blank application forms, guidelines, and templates for informed consent documents are provided in Part 4 of this handbook. As students complete the Application for Approval to Use Human Participants form, carefully consider the preceding issues as you fill in items 1–8 on the form.

For further resources and information, see the sections on ethics included in relevant references in the section at the end of this handbook in the references section, especially the *Publication Manual of the American Psychological Association*, 2009 and also Creswell, 2007; Rudestam & Newton, 2001; and Thomas & Hersen, 2003. Also note an example of a completed ethics application in Part 4, which provides sample wording, phrases, and sentences that you may wish to adapt to your own study.

### *Using Case Material*

Many dissertations and the publications that result from these dissertations use case material. Often the process and presentation of this material presents complex dilemmas (see Gabbard, 2000). This is primarily because there are inherent conflicts between the scientific or educational need to advance the field and the need to protect the client. The following represent guidelines and strategies to assist in resolving these inherent conflicts.

### *Disguising Case Material*

Clearly any presentation of case material should be disguised but the extent of this disguise may vary (from “thick” to “thin”). One extreme is to conceal the identity to such an extent that even the client would be unable to recognize his or her case. A somewhat less extreme principle is to disguise it such that only the researcher and the participant would be able to identify the case. A core consideration is to think through the impact a participant might have when reading through the case description. Below is a listing of possible strategies to disguise case material:

- Use fictitious names
- Change as many basic facts as possible (race/ethnicity, gender, age, geographic location, educational level, occupation, city/town of residence, size of city) assuming

that altering these facts won't change the reasoning behind any conclusions that have been reached about the case

- Wherever possible, change details regarding the participant's family (i.e. a separation might become a divorce, number/gender of children/siblings)
- Avoid making alterations that can potentially be "decoded" (i.e. merely using initials, simply changing North Dakota to South Dakota)
- Combining details of two or more cases into a "composite" case that still illustrates the essential processes and conclusions

### *Patient Consent*

In almost all instances, research will require informed consent. This is particularly true if the participant or their close relatives/friends may be able to identify the case. However, obtaining consent may involve various issues. For example, the transference/countertransference dynamics occurring with clients in therapy would mean that they should not be used for research when the therapy is ongoing. These dynamics may include such issues as a power differential, clients who might feel simultaneously honored and exploited, or changing the focus of therapy to meet the needs of the therapist. Thus clients should only be approached after the conclusion of therapy. But even in these instances, there should be a careful consideration of the impact of any future therapeutic relationship should the client wish to re-enter therapy with the researcher/clinician. Possible exceptions to obtaining consent might be using previously published cases especially if these have become "classics" in the field (i.e. the Dora case, H.M., Sybil), composite cases, or cases derived from large data bases (i.e. when conducting meta-analyses, past epidemiological research).

### **Submitting the Intellectual Property and Copyright Infringement Form**

Students engaging in dissertation research at Pacifica Graduate Institute own the copyright to their finished work. Two copies of the work are available to the public, one printed and bound copy that is housed in Pacifica's research library, and one digital copy that is published by ProQuest. As the rights-holder to the dissertation, students are legally and ethically responsible for any infringement of copyright and intellectual property law, and may be subject to a lawsuit if they do not comply. The key points to be aware of include these:

- Students are not permitted to make unauthorized reproductions of copyrighted materials in the dissertation and agree not to do so. **Such copyrighted material does not include brief text quotations from another author's work, but such excerpts must be properly cited to avoid plagiarism.**
- Students should not assume that since they are writing an academic dissertation that the use of copyrighted materials will be deemed to be "fair use."
- Students must contact the copyright owner of each work used in the dissertation and request express written permission to use the material, whether it is published or unpublished, then document the requests by keeping copies of any letters or email correspondence.

- Students must make it clear to the copyright holder that the dissertation will be published in two forms: one printed and bound copy stored in the Pacifica Graduate Institute's research library, and one electronic copy published online by ProQuest.
- Students should allow plenty of time to get necessary permissions prior to submitting the dissertation proposal and the dissertation final draft to the committee; Pacifica recommends allowing at least four months.
- Students should keep copies of every permission statement in their own files, submit a full set of permission statements to the dissertation chair along with the final draft of the work, and submit a full set of permission statements to the Dissertation Office.

To ensure students understand the rights and responsibilities, they are required to complete, sign, and submit an Intellectual Property and Copyright Infringement form along with the dissertation proposal.

### **Guide to Intellectual Property & Copyright**

Copyright rules for education and academia are not stringent. In fact, it is in this area that copyright seems to break down to a degree, but it is best to err on the side of caution since students are personally responsible for complying with copyright law.

#### *Definition of Terms*

##### *Public Domain*

Public Domain concerns anything published/produced prior to 1923, anything published between 1923 and 1977 without copyright notice, and anything published from 1923 to 1964 with copyright notice but without copyright renewal; other exceptions exist as well. Anything that falls within Public Domain may be freely used by anyone (with proper citations, of course). For updated information about Public Domain materials, you will need to consult the U. S. Copyright Office (<http://www.copyright.gov>). Cornell University has an excellent web page on materials available through Public Domain (<http://www.copyright.cornell.edu>).

##### *Fair Use*

Fair use is a copyright exemption that allows greater latitude for scholars and critics engaged in non-commercial activities. However, fair use is not a law, and is mostly considered more along the lines of a doctrine. U.S. guidelines and common practices of fair use for laws relating to Intellectual Property are described next.

#### *Using Protected Materials*

Knowledge in any discipline is produced through the cumulative efforts of many scholars. Dissertation students are obligated to credit the source of an idea, whether they are paraphrasing an author or directly quoting the author. Incorporating brief text excerpts in a dissertation does not require express written permission from the author: correctly citing the source is sufficient.

### *Books, Manuscripts, and Printed Materials*

According to copyright law, no more than 10% or 1,000 words of a single work may be reproduced without authorization. However, for academic purposes, “fair use” clauses relax such restrictions, if only a little. Though the boundaries of “fair use” are often unclear, anything in the 15-20% range is considered pushing your luck, and anything greater than 15-20% of the entire work will likely be considered unacceptable. Proper attribution and citation are always required (anything else is plagiarism). Most students do not quote more than 10% of a book within their own papers or dissertations, so this is not often an issue.

### *Poetry*

An entire poem may be quoted if its length is less than 250 words; if the poem is longer, students are permitted to use up to 250 words. Additionally, no more than five poems or poem excerpts by different authors from the same anthology, and no more than three poems or poem excerpts by any one poet can be used in a dissertation.

### *Music or Lyrics*

Music reproduction is a hot topic these days, and music publishers are aggressive in litigation against copyright violators. Students may not alter or change the fundamental musical structure or character of the work and they are advised to include only a very small sample or excerpt if doing so without the express written permission of the rights holder. Even if you intend “academic” or “educational” applications of copying or distributing complete songs, you are not protected under fair use. Please note: This means that students may not submit entire songs or copied CDs to accompany their papers, theses, or dissertations (that’s called “pirating” material) without expressed permission from the copyright holders. Additional copyright restrictions involving the thwarting of industry technology (anti-pirating coding) also prevent the copying of entire CDs.

CD art work, designs and lyrics may also be protected by copyright law, and it is best to seek permission to use these if intending to reproduce them on a large scale. Website owners whose pages contain song lyrics are currently battling the RIAA for alleged copyright infringement. Fair use may protect you to a degree, as no legal precedent has yet been set for the reproduction of lyrics. Therefore, dissertations can use no more than 10% of song lyrics and official permission to reprint lyrics is required.

### *Photographs, Art Work, and other Illustrations*

In most cases, expressed permission to use these must be obtained. For example, if students wish to use a strip from *Calvin and Hobbes*, they must obtain (written) permission from Bill Watterson to do so. This extends to photographs of protected architecture, and buildings/architecture created on or after Dec. 1, 1990—in some cases, even if the student snapped the photo. So, to use a picture of the Guggenheim, students may be required to obtain (written) permission to use the image. In most art and architecture books, students will find an extensive section of items listed as “[re]printed with permission.” Also, finding it on a website does not imply that it is free of copyright restrictions or fees. If the student’s intent is to use a photograph of a person, written permission is required.

For paintings, students may be required to obtain permissions from the governing/owning body, such as the Tate, the Huntington, the Getty, the National Gallery,

and so on, as well as the copyright holder. Copyright permission must be granted regardless of the person photographing the artwork, this includes pictures taken by the student.

No more than five images by an artist or photographer may be used in any one work, and no more than 10%, or up to 15 images, of a collective work (periodical issue, anthology, encyclopedia, etc.).

As with music, students are not permitted to alter the integrity of copyrighted art work or make their own modifications.

### *Videos, Movies and Multimedia*

The 10% rule applies here as well: students may use up to 10%, but not more than 3 minutes, of a copy protected video, movie, motion picture, etc. For copyrighted databases, data tables, and datasets, up to 10%, or 2500 fields, or cells (whichever is less) may be used.

### *Consequences of Not Complying with Copyright Law*

Failure to comply with copyright laws/intellectual property laws can result in a variety of legal consequences. In addition to cease-and-desist letters, lawsuits from copyright holders or companies, individuals may be subject to federal penalties such as injunctions, federally assessed damages and profits, seizures, forfeitures, recovery of legal costs, and criminal prosecution. For additional information on the full range of federal actions that may be taken, please review Sections 501 - 513 of U.S. Copyright Law available at <http://www.copyright.gov/title17/92chap5.html>.

Failure to comply with copyright and intellectual property law and fair use guidelines also has important scholarly consequences. Without the appropriate and necessary permissions in the manuscript, Pacifica cannot publish the work. Since one of the degree requirements across all PhD-granting programs at Pacifica is a published dissertation, non-compliance means that students will not receive an official transcript or formally earn their doctorate.

### *Using the Student's Own Published Articles in a Dissertation*

No reprints (or offprints) of the students' published articles or other publications can be substituted in place of the completed doctoral dissertation. However, there are two alternatives if students wish to include such reprints in the finished dissertation: (a) the reprint may be included in its entirety, but must be confined to the appendices of the dissertation, or (b) the substance of the publication may be included if it is integrated into the main body of the text. The reprint (or offprint) would then become an integral part of the argument and evidence presented in the dissertation.

## **Gaining Approval of the Research Proposal**

Once a draft of the research proposal is complete, the student submits it to the chair. The chair reviews the work within six weeks of receipt receiving it and discusses any revisions with the student. For each cycle of revisions, the chair has up to six weeks to read the work. When the chair approves the work, he or she completes the Dissertation Proposal Approval form.

The chair then gives the student the okay to send the revised and approved dissertation proposal on to the other committee members. Each of them also has a full six

weeks to review the work. Readers should submit any comments and revision requests to the chair and the student and discuss their feedback as necessary.

### **Step Five: Completing the Dissertation Research**

Students complete research under the supervision of the chair. When the chair ascertains that the dissertation draft is ready for consideration, the draft is forwarded to the reader and external reader for reading and approval. Remember to allow each committee member 6 weeks to review material. Manuscripts might have to undergo several revisions before all three committee members approve the final draft.

When submitting the final dissertation draft to all three committee members, be sure to include copies of the “Acceptance of Dissertation Final Draft” form along with the manuscript. Once the reader and external readers have signed their copies of the form, they send it to the chair, who forwards all three forms to the Dissertation Office.

Final approval of the dissertation by committee members must take place within a period of dissertation enrollment. However, the preparation of the manuscript for publication and the oral defense may take place the following quarter after the dissertation enrollment period has expired, without necessity of further enrollment, if the student’s PTL has not expired.

### **Carrying out the Research**

Once the ethics application and dissertation proposal have been approved, the student can proceed with conducting the research. If the research proposal is thorough and effective, this next phase of research can be quite exciting.

Gathering data, then analyzing data, and, finally, writing the findings can all prove to be deeply rewarding and edifying. It is important for students to make good use of their committee during this period, particularly their dissertation chair. If things progress smoothly, students could find themselves defending their dissertation much sooner than anticipated. On the other hand, it is important to remember that things do not always go as planned.

In the event that there are modest changes in the research plans, usually these can be overcome by adapting to the changes and discussing such unexpected developments openly in writing the dissertation, particularly the methodology and conclusions portions of the manuscript. In fact, sometimes such unexpected developments can lead to the most interesting insights and discoveries.

How the dissertation is organized, subsequent to the proposal will depend largely on the nature of the findings. The organization of manuscripts for qualitative, participant-based studies and for text and arts-based studies are particularly dependent on the eventual outcomes of your analysis of data. Participant-based studies usually have a results and a discussion chapter. Text-based, arts-based, and interdisciplinary-based studies often have a series of chapters devoted to the analysis and interpretation of their data as well as a chapter or chapters devoted to summary and/or implications respectively.



### *Length of a Dissertation*

Qualitative, participant-based dissertations and text and arts-based dissertations are typically 150 - 200 pages. In contrast, quantitative, participant-based studies are typically 120 - 150 pages. The difference in length is most often accounted by the presentation of the results of the study, which in qualitative and theoretical dissertations involve the inclusion of multiple direct citations of either participants interviews or analyzed texts. Dissertations cannot exceed 350 pages.

### *The Final Chapters of the Research*

Listed below are generally required content areas for the final chapter or chapters, although the exact format should be discussed with your committee. The four major elements of the final chapter or chapters of your research include a presentation of finding, a discussion of findings and methodology, a discussion of implications, and a conclusion.

#### *Presentation of Findings*

Both quantitative and qualitative participant-based studies usually only have one chapter dedicated to the discussion of research findings, although qualitative studies may have several earlier chapters organized around salient themes emerging during research. An effective presentation of findings generally includes 1) a brief introductory overview of the content and organization of findings, 2) a thoughtful, systematically organized presentation of the actual findings, and 3) a condensed restatement of your findings.

#### *Quantitative, Participant-Based Studies*

The presentation of findings in quantitative studies simply reports the findings or results saving the discussion of the meaning or interpretation of these findings for later (see Rudestam & Newton, 2007, Chapter 6: Presenting the results of quantitative studies, pp. 117-176). These are divided into a Results and a separate Discussion chapter. In other words, initially include only the amount of explanation necessary to help the reader understand the basis of the data; do not say what it means. The interpretation of the data and the speculation of what it means are reserved for the subsequent discussion and implications of findings. Nevertheless, the report of findings needs to be complete enough for the reader to make an independent judgment about the significance of the data and findings. Do not withhold anything from the reader that would prevent this judgment from being made. Having offered this detailed presentation of findings then present a condensed restatement of those findings in a succinct, highlighted form.

#### *Qualitative, Participant-Based, Text-Based, and Arts-Based Studies*

It is recommended, though not required, that the presentation of findings in qualitative participant-based and in text and arts-based studies also present first an introductory overview, then a more detailed summary, and, finally a condensed restatement of findings. However, since the meaning of such findings is inherent in the findings themselves, it is not possible to avoid including a certain amount of interpretive description and comment. However, it is still important to present the findings in such a way that a reader is able to make an independent judgment about their overall significance and implications. Again, it is imperative that students not withhold anything from readers that would prevent this judgment from being made.

It is important to remember that the very nature of qualitative participant-based and text and arts-based studies precludes the possibility of any general format for these last components of your dissertation (see suggested guidelines in Rudestam & Newton, 2007, Chapter 7: Presenting the results of qualitative research). Although the elements of the beginning of such research projects may have much in common with one another, the format for the final presentation of findings is profoundly shaped by the findings themselves.

### *Discussion of Findings*

Regardless of the particular kind of study, the most effective discussions of findings and methodology include, wherever relevant, the following components (see Rudestam & Newton, 2007, Chapter 8: Discussion, pp. 195-204):

- (1) an overview of the significant findings
- (2) a reflection on the findings given previous research
- (3) a thoughtful, comprehensive, well integrated discussion of the meaning or significance of these findings
- (4) strengths and limitations of the study that may influence its applicability to clinical psychology
- (5) suggestions for future research.

Theoretical dissertations require a separate chapter specifying and elaborating on the new theory that has emerged as a result of the research.

### *Discussion of Implications*

Again, regardless of the particular kind of study the most effective discussions of implications include, wherever relevant, the following components: (1) the implications of both the methodology and findings for clinical psychology in general and for the development of depth psychology in particular, (2) suggestions for further study or methodological development, and (3) if not already discussed above, any social, cultural, or ethical implications that deserve attention.

### *Conclusion*

How students chose to close their dissertation is a matter of personal discretion. Many students simply choose to bring the entire work together with a few lucid paragraphs summarizing what has been done, what has been found, and what they as researchers understand as its most significant contribution to knowledge and understanding in clinical psychology and, perhaps, contemporary life.

### **Assembling a Complete Manuscript for Dissertation Committee Review**

A complete dissertation manuscript will include front matter such as title page, table of contents, and so on; the body of the work, which is the substance of the study and its findings and conclusions as described above; and the end matter such as any appendices and the list of references used.

Some students may have submitted individual chapters for committee review, or submitted all chapters as once for review, yet may not have taken the time to create an accurate title page, or table of contents, a well-written abstract or list of figures. These are key elements in a complete scholarly work, therefore it is highly recommended that students submit the entire manuscript to their committee—including the front matter and the end matter—when they are seeking approval of the final draft. This section includes instructions for completing these portions.

### *Assembling the Front Matter*

Paradoxically, the front matter is usually the very last thing researchers finalize. When preparing the final manuscript, be sure to include the necessary pages in APA and Institute format that must come at the front of the dissertation: the title page, the copyright page, the dissertation abstract, and the dedication and acknowledgments page (optional), the table of contents, and the table of figures (if any). Sample formats are presented on the next few pages.

Two elements reflected in the front matter require some careful thought. As mentioned earlier, choosing a meaningful yet succinct title for the dissertation is crucial. Students sometimes make the mistake of making titles too long and wordy. The second element is the dissertation abstract. This should be the student's best writing—a condensed, elegant précis of the work as a whole that arouses curiosity—because it is often the first, and possibly the only pages, an interested reader will peruse.

Students should assemble the dissertation into its final form, making sure that each page is formatted correctly, and arrange the parts and pages in the following order:

#### *Title Page*

Each copy of the dissertation must include a title page prepared in accordance with the sample found below. *This is the only page (other than the first page of Chapter 1) that does not bear a page number.* Students should use their full legal name. Names of the student's doctoral committee will also appear, the chair first, so identified, and the others following.

As mentioned earlier, choosing a meaningful yet succinct title for the dissertation is crucial. Limit the length of the title to no more than 12 words that fit on one or two lines. A good title can be shortened into a running head easily. A running head is a shortened version of the title that cannot exceed 50 characters in length (letters, spaces, and punctuation are all one character each). The running head is typed in all capital letters and is found as a header on the left margin on every page of the dissertation.

#### *Copyright Notice*

A statement of copyright must be included on a separate page directly following the approval page. It should include the student's full legal name and, at the top right, the month, day, and year the final manuscript was approved. See the sample in Step 5, above. This page will be given the lower-case Roman numeral "ii."

#### *Abstract*

An abstract of between 150-250 words must be included in each dissertation. Type the abstract as a single paragraph without indenting the paragraph. The abstract should (a)

give the full title of the dissertation and the student's full legal name, (b) provide a concise yet comprehensive description of the contents of the dissertation including the problem addressed, the methods used, the conclusions or findings, and the stated implications of the study for depth psychology, (c) be written in the third person, for example, "This research explores..." as opposed to "I explore..." and (d) seek simply to report rather than evaluate, comment, or argue.

Because dissertations are now widely available via the Internet, students should compose a list of 6 to 10 keywords that prospective readers will use to search for the work. (UMI Dissertation Publishing, which publishes the digital copy of dissertations, requires students to supply six keywords. Students fill out and submit the ProQuest/UMI publishing form as one of the final steps in the process of dissertation preparation, described below.) The list of keywords, which will be counted toward the 250-word maximum, can be included at the beginning or end of the dissertation abstract. For a visual example, see the sample in Step 5, above.

### **Important**

**Students should submit their dissertation abstract, as a separate document, to the chair for review and revision. This occurs after the dissertation has been accepted by the committee, but no later than when the student submits the manuscript for proofreading. The Dissertation Office will need a revised, approved copy of the abstract to announce the defense date.**

### *Dedication and Acknowledgments*

You may want to include a page with a brief note of dedication or an acknowledgment of help received from particular persons, or both. If so, make sure that these pages following the standard format of the rest of the dissertation, in which the heading "Dedication" or "Acknowledgements" is a level one heading and the paragraphs are the font, style, and indentation used throughout the body of the work.

### *Table of Contents*

A table of contents, with page numbers, is required in all dissertations. It should include an entry for every first- and second-level heading in the manuscript, properly indented and formatted. Students also may include levels three, four, and five (if the dissertation uses them) if they so choose.

At the end of the Table of Contents, include a footnote that says, "The style used throughout this dissertation is in accordance with the *Publication Manual of the American Psychological Association* (6th Edition, 2009), and *Pacifica Graduate Institute's Dissertation Handbook* (2015-2016)."

The Table of Contents is an accurate snapshot of the headings and subheadings used in the work, which are designed to improve the readability of long or complex manuscripts by orienting the reader to the subject of the current discussion. A dissertation may have up to five levels of headings. Writers usually plan them carefully, either before or during writing. Some writers, for instance, make a working outline of the sections of the entire dissertation ahead of time to establish a hierarchy of headings. Others reflect on headings and

subheadings during or even after producing a first draft. Thus, creating headings in the work requires a judicious combination of imagining the overall structure of the work along with imagining what will be helpful to the reader. The only firm rule of heading levels is that you must have more than one heading at each level in each section of a chapter—just as with standard outline format, wherein you can't have a "I" without a "II," an "A" without a "B," a "i" without a "ii," or an "a" without a "b."

If you set up heading styles in Word that conform to the APA specifications, you can, with a few keystrokes, correctly and consistently format each heading level throughout the manuscript. Even better, Word will use these styles to automatically generate a correct Table of Contents with accurate page numbers, which you can update to reflect changes in the manuscript with a few keystrokes.

If you create the Table of Contents manually, be sure that the wording of each heading in the table exactly matches the heading in the body of the work and format them correctly. To do this, first determine how many levels of headings you use throughout the manuscript: two levels, three levels, four levels, or five levels. Different chapters may call for different depth of levels; this is acceptable.

### *List of Figures*

If the dissertation includes plates, charts, diagrams, or illustrations scattered throughout the text, a separate List of Figures with page numbers must follow the table of contents, on a separate page. Students should use the information in the captions, described below, to compile the List of Figures.

Within the manuscript itself, full-page tables and charts require the same margins as printed pages. To accomplish this, electronically reduce figures to fit the required space. Tables and figures within the text start on a separate page.

### *Front Matter Template Pages*

On the next three pages are samples that show the proper formatting of a dissertation Title page, Copyright page, and Abstract page.

**Sample Title Page**  
**(In the actual dissertation, there should be no  
number in the upper right-hand corner of the page)**

[Title of Dissertation]

A dissertation submitted

by

[Student's Legal Name]

to

Pacifica Graduate Institute

in partial fulfillment of  
the requirements for the  
degree of

Doctor of Philosophy  
in  
Clinical Psychology

with emphasis in

Depth Psychology

This dissertation has been  
accepted for the faculty of  
Pacifica Graduate Institute by:

Dr. [name of chair], Chair

Dr. [name of reader], Reader

Dr. [name of external reader], External Reader

**Sample Copyright Notice**  
**(In the actual dissertation, it should appear**  
**in the upper right-hand corner of the page)**

(Month Day, Year)  
*(date final manuscript approved)*

Copyright by

[Student's Legal Name]

[Year]

### Sample Abstract Page

(In the actual dissertation, page numbering continues, beginning with iii on this page, in the upper right-hand corner of the page)

Abstract

[Title of Dissertation]

by

[Student's Legal Name]

(Begin typing the abstract here, double-spaced without indenting the paragraph. The abstract contains 150-250 words. Students have the option of including 6 to 10 key words immediately following the body of the abstract.

The line containing keywords appears on a separate line, indented, immediately following the abstract paragraph. The keywords will count toward the 250-word maximum length of the abstract. "Keywords" is in italics and followed by a colon. Each of the keywords is not in italics, is not capitalized, and is separated by commas. Do not end the keywords line with a period.)



### *Finalizing the Body of the Dissertation*

Committee members review dissertation chapters for content and, in some cases, alert students about issues of language, style, and formatting. Even with a very-keen-eyed committee, it is a good idea for students to review the dissertation for any copyediting or stylistic errors that can be remedied before submitting the work for final draft approval.

#### *Formatting Headings and Subheadings*

In the body of the dissertation, format the headings according to the APA sample shown below.

### **Heading Level 1 is Centered, Boldfaced, Mixed Case, and Single Spaced**

#### **Heading Level 2 is Flush Left, Boldface, and Mixed Case**

**Heading level 3 is indented, boldface, sentence capitalization ending with a period.**

*Heading level 4 is indented, boldface, italicized, sentence capitalization ending with a period.*

*Heading level 5 is indented, italicized, sentence capitalization ending with a period.*

Here are some key points to remember about headings:

- Do not label headings with numbers or letters.
- Use the formatting down to the depth of headings in the work. For instance, if the dissertation has only two levels of headings, use the formatting for level 1 and level 2. If the dissertation has three levels of headings, use the formatting for level 1, level 2, and level 3.
- Do not join text of the following paragraph to the text of the heading. Keep the heading on its own line.
- Be sure to keep the headings with the paragraph that follows it on the same page. To ensure this, format the header so that it has Widow/Orphan control.

#### *Adding Captions to Figures and Images*

Captions explain a figure (for instance, a plate, chart, or diagram) or an image in the work and also serve as the title of the figure. They appear directly below each figure/image in the dissertation. Captions should be succinct and descriptive, and include the following

elements: Figure number, brief explanation of the figure, its title, or the title of the image in italics, name of the artist, source of the figure/image, and either the phrase “Reprinted with permission” or “Public domain”.

### *Footnotes*

The placement of footnotes (i.e., at the bottom of the text pages, or in a separate section following the text) is a matter of preference that you should determine by following the APA manual consistently. Do not use footnotes for simple citations: reserve them for textual commentary or amplification.

### *Assembling the End Matter*

A section of references follows the dissertation chapters. In scholarly work, consistency between cited works in the text and notes and the list of references is very important. Therefore, it is important to verify that every source listed in the text is cited in the References section. It is equally important to ensure that the References section is not padded with texts not cited in the body of the dissertation.

### *Scholarly Sources in the References Section*

Wikipedia is not a scholarly source. Whenever possible, use peer-reviewed sources with the usual scholarly apparatus which have been given the nod of approval by a respected publishing house. Whereas a passing reference to Wikipedia surrounded by more substantive sources may be acceptable, on-going reliance on Wikipedia is not acceptable.

### *APA Style in the References Section*

- Double-space each entry in the list of references, with double spacing between references.
- Format each entry as a hanging indentation, with the first line flush left and any subsequent lines indented 5 spaces.
- For all translated works except ancient texts use the original date of publication as well as the date of the translated version. For example:  

Miller, A. (1997). *The drama of the gifted child* (3rd ed.) (R. Ward, Trans.). New York, NY: Basic Books. (Original work published 1979)
- For referencing and citing multiple works by a single author in the same year, use the form 1979a, 1979b, 1979c. Do not do this with translated works whose original year of publication distinguishes them from other translations published in the same year.
- In titles of books and articles in the Reference section, capitalize only the first word, the first word after a colon or a dash, and proper nouns.
- For electronic version of print books or chapters from books, provide information on the version in brackets after the title. The electronic retrieval information, which is either the URL or the DOI number, takes the place of the publisher location and name.

- When citing Jung's writing from his *Collected Works*, be sure to provide a reference entry for the specific essay and not for the volume (unless it is a single manuscript like *Mysterium Coniunctionis*). For example:

Jung, C. G. (1968). Religious Ideas in Alchemy. In H. Read, H. Read, M. Fordham, G. Adler, & W. McGuire (Eds.), *The collected works of C. G. Jung* (R. F. C. Hull, Trans.) (2nd ed., Vol. 12, pp. 225-423). Princeton, NJ: Princeton University Press. (Original work published 1937)

- When quoting from an anthology or collection of essays, cite the individual essay by author in the list of references. When quoting from the editor's preface or introduction, the entry is formatted in the same way as a selection within the book.
- Do not list any personal conversations, interviews, telephone conversations, letters, personal journal entries, or dreams cited within the text in the References section.
- Verify that every citation that is found in the text is reflected in the reference list.
- Confirm that names of sources are spelled correctly.

### *Citing Jung's Collected Works*

When citing Jung's writing from his *Collected Works*, be sure to provide a reference entry for the specific selection (essay or monograph) and not for the volume (unless it is a single manuscript like *Mysterium Coniunctionis*). In the following example, the components you need to include are color-coded and explained.

Students are expected to research these Jung sources carefully when developing a reference list and not to rely on reference or citation information from secondary sources or leave this research up to an editor. Please be aware of your responsibility to record this information while you are researching the literature.

The specific reference data for the selection from the *Collected Works* that you are citing can be found in the front pages of the volume in which it is included, as noted in the example below.

Jung, C. G. (1969). *On the nature of the psyche* (R. F. C. Hull, Trans.). In H. Read et al. (Eds.), *The collected works of C. G. Jung* (Vol. 8, 2nd ed., pp. 159-234). Princeton, NJ: Princeton University Press. (Original work published 1954)

Color key:

(1969): Most recent publishing (copyright) date of the volume, found in the publication information in the front of the volume.

(R. F. C. Hull, Trans.): Hull translated most of the *Collected Works*, but some selections were translated by others. Check the table of contents of the volume and any footnotes on the first page of the selection for mention of another translator.

**On the nature of the psyche:** Title of the selection.

**Vol. 8:** Volume number in which the selection appears. The name of the volume is not included.

**2nd ed.:** Designated edition. Include this if specified in the publication information in the front of the volume.

**pp. 159-234:** Inclusive page numbers of the selection. These are the first and last pages of the essay or monograph as found in the volume. Usually, the whole essay or monograph is cited, not subsections within it, but if you want to cite a subsection, in the reference entry, use the title and inclusive page numbers for it. The inclusive page numbers can also be found in *Abstracts of the Collected Works of C. G. Jung* published by The Jung Page at <http://www.cgjungpage.org/learn/resources/jung-s-collected-works-abstracts/854-abstracts-of-the-collected-works-of-cg-jung>

**(Original work published 1954):** Original publishing (copyright) date of the selection. (No period is included inside or after the parenthesis.) Find this original publication date in the table of contents of the specific volume in which the essay or monograph appears. If two years are shown for the original edition in German, use the latest date, because the translation was most likely made from the revised version.

The following volume is a book included as one volume in the *Collected Works*, and therefore, the separate chapters need not be cited:

Jung, C. G. (1970). *Mysterium coniunctionis* (R. F. C. Hull, Trans.) (H. Read et al., Eds.), *The*

*collected works of C. G. Jung* (Vol. 14). Princeton, NJ: Princeton University Press.

(Original work published 1956)

For an essay or monograph in the *Collected Works* retrieved from EBSCO:

Jung, C. G. (2014). On hysterical misreading (R. F. C. Hull, Trans.). In H. Read et al. (Eds.),

*The collected works of C. G. Jung: Complete digital edition* (Vol. 1, pp. 89-92). Retrieved

from <http://www.ebscohost.com/> (Original work published 1904)

For the electronic version of a printed article with a doi number:

Collins, I. F. (2000). Biracial Japanese American identity: An evolving process. *Cultural*

*Diversity and Ethnic Minority Psychology*, 6(2), 115-133. <http://dx.doi.org/10.1037/>

[/1099-9809.6.2.115](http://dx.doi.org/10.1037/1099-9809.6.2.115)

For the electronic version of a printed article without a doi number:

Gill, C. S., Minton, C. A. B., & Myers, J. E. (2010). Spirituality and religiosity: Factors affecting wellness among low-income, rural women. *Journal of Counseling & Development, 88*, 293-302. Retrieved from <http://aca.metapress.com/>

For the electronic version of an online reference from a source like ARAS or a device like Kindle that is not likely to be available in print or through multiple aggregators like EBSCO:

For a cited subject retrieved from the ARAS online reference source:

Penitence of David. (n.d.). *ARAS online* (Record 5Ck.009). Retrieved from <http://www.aras.org>

If the cited subject is from the book:

River. (2010). In A. Ronnberg & K. Martin (Eds.), *The book of symbols* (pp. 40-43). Cologne, Germany: The Archive for Research in Archetypal Symbolism/Taschen.

For a Kindle version of a selection from Jung's *Collected Works* (some do and some do not indicate page numbers; if no page numbers showing, use inclusive paragraph numbers, as shown below):

Jung, C. G. (2014). On hysterical misreading (R. F. C. Hull, Trans.). In H. Read et al. (Eds.), *The collected works of C. G. Jung: Complete digital edition* [Kindle version] (Vol. 1, paras. 151-165). Retrieved from <http://www.amazon.com/> (Original work published 1904)

### *Appendices*

A last section may contain supporting data for the text in the form of one or more appendices. Examples of appendix material are data sheets, questionnaire samples, informed consent forms, illustrations, charts, related writings integral to the text, and so on.

Appendixes should be given letters, not numbers. If the dissertation has only one appendix, title it Appendix. If there is more than one appendix, title each with a capital letter such as Appendix A, Appendix B, etc.

### **Using your own Published Articles in a Dissertation**

No reprints (or offprints) of your published articles or other publications can be substituted in place of the completed doctoral dissertation. However, there are two alternatives if you wish to include such reprints in the finished dissertation: (a) the reprint may be included in its entirety, but must be confined to the appendices of the dissertation, or (b) the substance of the publication may be included if it is integrated into the main body of the text. The reprint (or offprint) would then become an integral part of the argument and evidence presented in the dissertation.

## **Gaining Final Draft Approval**

When the chair determines that the dissertation draft is ready for consideration, the draft is forwarded to the reader and external reader for reading and approval. Remember that each committee member is allowed six weeks to review a draft and dissertation manuscripts might have to undergo several revisions cycles before all three committee members approve the final draft.

When you submit the final dissertation draft to any of the committee members, be sure to include copies of the “Acceptance of Dissertation Final Draft” form along with the manuscript. Once the reader and external readers have signed their copies of the form, they send it to the chair, who forwards the forms to the Dissertation Office.

Once the Dissertation Office receives and processes all three final draft acceptance forms, students begin preparing the manuscript for publication, which includes:

- Working with the chair to finalize the dissertation abstract, if not completed before.
- Working with the Dissertation Office to create a final, correctly-formatted title page.
- Making any final copyediting corrections, including any pieces still missing from the front matter and end matter, and sending the manuscript to the Dissertation Office

Be sure to check your Pacifica email at this time, otherwise you may miss crucial information that the Dissertation Office sends to you and your committee members.

Final approval of the dissertation by committee members must take place within a period of dissertation enrollment. However, the manuscript corrections and the oral defense may take place after the dissertation enrollment period has expired, without necessity of further enrollment, if the student’s PTL has not expired.

## **Step Six: Preparing the Manuscript for Publication**

After the final draft has been approved by the committee, students should review the entire work one last time to make sure all elements are there and it is as error-free as possible. Students submit their dissertation manuscripts for proofreading electronically, using the D2L application, from a computer that has active Anti-Virus/Anti-Malware software installed. Some important details for submission include:

- The manuscript may *only* be submitted in Microsoft Word format (.doc, .docx); it may not be a Pages, PDF, or any other word processing software.
- Before inserting images into the work, students should save them in JPEG format with a resolution of 448 x 336 to 640 x 480 to ensure that the manuscript will meet the file size requirement.
- The file sizes of the manuscript must be less than 40MB.

### *Pacifica Exception to APA Style*

Beginning in the 2014-2015 academic year, the Clinical Psychology program stipulated an exception to APA style guidelines concerning page margins. The left margin is 1.5 inches while all other margins are 1 inch. This larger left margin facilitates readability in bound hard copies of dissertations.

## **Avoiding Common Formatting Errors**

Some common and easily correctible problems have to do with page margins, text format and spacing, Table of Content accuracy, heading format, citations, and general typos. Here is a quick checklist to help you.

- Check page margins: top, bottom, and right margin should be 1 inch; left margin should be 1.5 inches.
- Format text as 12 point Times New Roman. Double space the entire manuscript including the Table of Contents, block quotes, captions, and references.
- Avoid widows (single lines at the bottom of a page) and orphans (single lines at the top of the page) by formatting paragraphs with Widow/Orphan control.
- Confirm accurate page numbers in the Table of Contents. (If you use paragraph styles properly in Microsoft Word, it automatically generates and updates page numbers for you with a single keystroke.)
- Correctly and consistently format all headings and subheadings: the precise format depends on the number of heading levels in the manuscript.
- Check every citation within the text for proper APA format and verify that these citations are reflected in the reference list. Check for consistency in spelling and capitalization.
- Check for typos and other minor grammatical errors by printing a copy of the manuscript on paper and have you and a friend or colleague carefully review it.
- Avoid capitalization except for proper nouns. Jung is a proper noun, depth psychology isn't.
- An ellipsis is three spaced periods or the ellipsis symbol generated by Microsoft Word (...). A fourth period is added if there is an omission of words between two sentences. Omit leading or trailing ellipses from any quoted text, whether it is within a paragraph or in a block quote. Only use ellipses to indicate deleted text from the middle of the quotation.
- Format long dashes consistently and correctly. Use what is called an "em dash" with no spaces between the words it is separating.

Once you feel confident the manuscript is as perfect as you can make it, follow directions given to you by the Dissertation Office to begin the professional proofreading process.

## **The Importance of Professional Proofreading**

Pacifica assumes that students review their own dissertations to the best of their ability before turning it into the Dissertation Office. It is nearly always the case, however, that no author can find every mistake in their own manuscript, even professional writers with years of publishing experience. For this reason, and because Pacifica is concerned with establishing and enforcing publication guidelines to produce a uniformly high quality of scholarly work, a permanent form of reproduction, and consistency in the arrangement and organization of the dissertation. To assure this quality, the completed dissertation must be reviewed by a Pacifica Graduate Institute proofreader. The average editing fee of Pacifica's

proofreader for a well-written manuscript (200–400 pages) done in good APA form ranges from \$400 to \$1200. Students' editing charges will depend on the length of the manuscript and the amount of time it takes the proofreader to note corrections. A poorly formatted manuscript will, naturally, take much more time to correct than a near-perfect manuscript.

Pacifica Graduate Institute requires students to use the 6th edition of the *Publication Manual of the American Psychological Association* as the dissertation writing style guide, with a few exceptions as described above. If you solicit help from an editor, be sure he or she uses these guidelines and the APA publication manual when working on the manuscript.

### **Submitting the Dissertation for Proofreading**

Students submit their dissertation manuscripts for proofreading electronically, using the D2L application, from a computer that has active Anti-Virus/Anti-Malware software installed. Some important details for submission include:

- The manuscript may only be submitted in Microsoft Word format (.doc, .docx), not Pages, PDF, or any other word processing software.
- Before inserting images into the work, students should save them in JPEG format with a resolution of 448 x 336 to 640 x 480 to ensure that the manuscript will meet the file size requirement.
- The file sizes of the manuscript must be less than 40MB

### **Working with the Dissertation Office during Proofreading**

Once the Dissertation Office receives the manuscript, it is immediately forwarded to the Institute's APA proofreader. The proofreader reviews the dissertation and edits it in accordance with APA requirements and the Institute's stylistic guidelines.

The proofreaders Pacifica uses are professional, experienced, and will find errors in the manuscript. Don't be surprised: even veteran writers make common mistakes and all of them use proofreaders for that reason. It is nearly impossible, in fact, for writers to proof their own work because the words on the page are so familiar. Nonetheless, your task is to review the manuscript thoroughly and patiently, making all the corrections the Pacifica proofreader found. This is an especially arduous task for dissertation students at this stage, because they are often exhausted by the sheer effort of completing the research. Ideally, students' pride in the final, published work will provide the motivation they need at this critical time.

To correct manuscripts, follow these steps:

1. Read the proofreader's notes, which will explain what was discovered and alert you to consistent errors in the manuscript.
2. Review the proofread copy to review all of the errors the proofreader discovered.
3. Going page-by-page through the proofread copy, correct errors that are noted in the comment boxes. Once you have corrected the error in the text, remove the comment box.
4. For tracked changes, you can choose either a) to accept changes one at a time, or b) after reviewing the full dissertation, accept all changes.



5. If you discover a correction you believe to be incorrect, add a new comment that explains your concern.
6. Save the updated draft of the dissertation and put it in the D2L drop box. Email a dissertation administrator to alert them that the dissertation is in the drop box.

Ideally, a student will have made every correction the format proofreader discovered in the first reading. However, it is very common for mistakes or oversights to remain even after the most careful scrutiny, which the Dissertation Office may find when “spot-checking” the dissertation. If so, the Dissertation Office will return the manuscript to the student for further correction.

### **Publishing the Dissertation**

Once a dissertation is proofed and corrected, it is published in two different ways. First, it is duplicated and bound, and one hardbound copy is available through Pacifica’s library. Secondly, it is published digitally and available via the internet to the entire world of scholars and other interested lay readers through ProQuest Dissertation Database. To publish in both venues, students complete and send to the Dissertation Office two kinds of forms: the set of ProQuest forms and the Library Catalogue and Methodologies Form. Note that dissertations are not submitted to ProQuest for publication until the student’s degree has been posted.

#### *Ordering Bound Copies of the Dissertation*

Students use the Dissertation Order form to specify the number of hard-bound and paperbound copies of the dissertation they want. Students must order two hardbound copies, one for themselves, and one for Pacifica’s library. Most students also order additional paper or hardbound copies of the work for themselves and for family and friends. Some may wonder about whether to order a paperbound copy for their dissertation chair/committee; please note that this is not expected.

Students are billed for all duplication and binding charges, so it is important to consider this cost when thinking about who might want a bound copy. The following example will give you an approximate idea of costs. For a 300-page manuscript, each hardbound copy would cost \$51 for the duplication (17 cents per page) plus \$42 for the binding, with a total cost of \$93. Each paperbound copy would cost \$30 (10 cents per page). If a CD pocket is required, there is an additional \$8 charge for each copy ordered. There is an additional \$1 fee to print each page that contains a color image for both hard and paperbound copies.

Dissertations are not printed and bound until students have finished making all the corrections that the Pacifica proofreader identified in the manuscript. This is one among many reasons to complete the corrections in a timely manner.

#### *Completing the Library Catalog and Methodologies Form*

Students submit a Library Catalog and Methodologies form to make basic information about the research—dissertation title and methodology used—available through the Pacifica library. Among other things, this information helps students decide whether or not to read the copy of your work shelved in Pacifica’s library, either because they are interested in the topic or the methodology, or both.

### *Publishing a Digital Copy of the Dissertation*

All Pacifica dissertations are cited in Dissertation Abstracts International and a full text version goes into ProQuest Digital Dissertations, a password-protected database that is the industry-standard publication issued by University Microfilms International (UMI) in Ann Arbor, Michigan. This makes the work available to a worldwide community of scholars and is a requirement for all Pacifica doctoral students.

Students must complete the 3-page ProQuest/UMI publishing form in full, which authorizes ProQuest to digitally publish the work and sell (at cost) copies of the manuscript. Students also use this to copyright the work, which Pacifica requires. ProQuest charges no fee for traditional publishing and \$95 for open access publishing. ProQuest charges \$55 for copyrighting. These fees are included in the student's final dissertation bill.

Whereas ProQuest allows doctoral candidates to embargo the publication of their work for a period of time, Pacifica Graduate Institute does not allow students to choose the embargo option. Dissertations are sent to ProQuest for publication as soon as students complete all dissertation and degree requirements.

### **Important**

**Students should send the Dissertation Order Form, the Library Catalog and Methodologies Form, and the ProQuest forms to the Dissertation Office soon after submitting the final draft for proofreading.**

### *Copyrighting of Dissertations*

Because the deposit of a dissertation at Pacifica appears to constitute publication under the terms of the copyright law (Title 17, section 101), you should have your work copyrighted, especially if you intend to publish any part or any form of it at a later date. University Microfilms International (UMI) can copyright your work for you. You can apply for copyright while completing the Dissertation Abstracts Agreement form (see above). Alternatively, you may also apply directly to the Register of Copyrights, Library of Congress, Washington, DC 20540.

## **Step Seven: Completing the Oral Defense**

After you have an approved publication-ready dissertation, you may begin the process of scheduling the final step, the oral defense. But before you do, it is a good idea to verify that you are in good financial standing with Pacifica. If there is any doubt, contact either the Business Office or the Dissertation Office to check.

### **Scheduling the Oral Defense**

Scheduling the oral defense is a coordinated process involving the student, the chair, and the Dissertation Office. It begins when either the student or the chair initiates a conversation to determine a few workable days and times for everyone concerned. It's also a good idea to think about how many people will be attending the oral defense since that affects the selection of available rooms. Once you and your committee have a few suggestions in mind, the chair, not the student, checks with the Dissertation Office to see if the preferred date is available. Pacifica's academic calendar is quite busy, particularly at

certain times of the year, which is why the committee members and the student need to be a bit flexible.

The Dissertation Office confirms the date, time, and location of the oral defense. Then, and only then, is the actual dissertation defense date official, so please do not make non-refundable travel arrangements until you hear from them.

The Dissertation Office sends out an invitation, including the dissertation abstract, to your classmates. An e-mail announcement is also sent to faculty and staff. Your announcement and abstract are also posted on the Pacifica Oral Defense webpage (<http://www.pacifica.edu/about-pacifica/pacifica-graduate-institute-student-services/dissertation-oral-defenses>).

Students must be enrolled in dissertation writing while awaiting committee review and approval of the final draft of the work, but may do the proofreading and conduct their oral defense after their dissertation registration period ends so long as their Program Time Limit has not expired. The registration end date remains the crucial date affecting a student's institutional status (registered as a student or not registered) and, therefore, the repayment of any financial aid funds.

### **Preparing for the Oral Defense**

The oral defense takes place in a public forum at the Institute and may include faculty, students, staff, alumni, and invited guests. It is best if all committee members are present, but if that is not possible, a committee member may participate via Pacifica's conference phone or Skype. Normally, it is the student's responsibility to provide any special equipment needed for the defense. However, the Institute can provide a laptop connected to a projection screen, a hookup for a student's personal laptop to connect to a projection screen, and a portable CD player. The student must determine the size of room to request determined by the approximate number of guests expected to attend. Any special room setup requests also need to be communicated to the Dissertation Office at least 2 weeks in advance.

The defense is comprised of two parts. In the first part, the student presents their work orally by describing the dissertation's purpose, research methods, findings, conclusions, and implications. Generally, presentations last from 20 to 30 minutes. The second part is a formal questioning period in which the committee may ask the student to explain or defend any aspect of the dissertation research process or its outcome. After that, if time permits, members of the audience may be invited to ask questions or make comments. Dialogue during the oral defense is usually serious but cordial. The following tips may prove helpful in preparing for this event:

- Structure the presentation from the dissertation itself. That is, begin with an overview of the question, review some of the most relevant literature; describe the methods of approach, including the limitations of the research; discuss the findings; and state the implications or importance of the research.
- Outline the presentation or create speaker's notes to help you organize and remember what you plan to say. No one expects you to memorize everything. Some students create a PowerPoint presentation for coherence and visual interest while they speak.

- Rehearse the dissertation presentation alone or with a friend or family member before delivering it to the audience. Be aware of time constraints; you may need to condense or leave aside many aspects of the research for the sake of a clear, concise presentation.
- When fielding a question, pause a moment to collect your thoughts. No one expects you to launch immediately into each response. Thoughtful, well-considered answers are more impressive than rambling ones.
- If you don't understand a question, ask the speaker to clarify what he or she is asking.
- If you don't know the answer to something, say simply that you do not know. This may occur if the question is outside the scope of your research, in which case it is perfectly fine to acknowledge that it is a good question, outside the scope of the dissertation, that you could not do justice on in the time allowed.
- Don't let yourself slip into defensiveness. Rarely do members of the audience intend to challenge you in a hostile way. Their questions are intended to probe more deeply into the study, including its limitations. Willingly acknowledge limitations to the work if these are validly suggested.
- Remember that everyone wants to see you succeed. Most students look back fondly on the dissertation defense as a meaningful experience.

## Completion of Degree Requirements

The degree is posted when a student has successfully completed all academic program degree requirements—course work, publication-ready manuscript, and oral defense. (Pacifica encourages a student to allow a minimum of two weeks processing once degree requirements are completed for posting to occur.) This date, which is posted to the transcript, is the official date the degree is conferred. Once this occurs, the Registrar sends the student a letter of congratulations. At that time, the Dissertation Office will submit the student's dissertation to ProQuest. The student can request an official transcript and to inquire about commencement.

## **Part 3**

# **Templates and Samples**

This part provides students with helpful samples and templates to use when preparing the ethics application, including informed consent forms for experimental studies and interview projects, a sample flyer for announcing the research project, and sample of instructions to participants.

## Sample Ethics Application for Approval to Use Participants

I. Please fill out. Write or type "n/a" if question is not applicable.

Researcher: Barbara Pierce Date: June 12 2010  
 Full Address: 23 David Street, Saint Clare, CA 95708  
 Daytime phone: (201) 555-6678 Evening phone: (201) 555-1034  
 Title of Activity: The experience of undiagnosed illness in Gulf War veterans  
 Sponsoring Organization Contact Person: \_\_\_\_\_

II. Affix appropriate signatures

I will conduct the study identified in the attached application. If I decide to make any changes in the procedures, or if a participant is injured, or if any problems arise which involve risk or the possibility of risk to the participants or others, including any adverse reaction to the study, I will immediately report such occurrences or contemplated changes to the Institutional Review Board.

Investigator Signature \_\_\_\_\_ Date \_\_\_\_\_

I have read and approve this protocol, and I believe that the investigator is competent to conduct the activity as described in this application.

Dissertation Chair \_\_\_\_\_ Date \_\_\_\_\_

III. Notice of Approval

The signature of the Research Coordinator, when affixed below, indicates that the activity identified above and described in the attached pages has been approved with the conditions and restrictions noted here.

Restrictions and Conditions: \_\_\_\_\_  
 \_\_\_\_\_

Director of Research \_\_\_\_\_ Date \_\_\_\_\_

The signature of the representative of the Institutional Review Board (IRB), when affixed below, indicates that the activity identified above and described in the attached pages has been approved with the conditions and restrictions noted here.

Restrictions and Conditions: \_\_\_\_\_

Institutional Review Board Representative \_\_\_\_\_ Date \_\_\_\_\_

Brief description: This study will explore the psychological experience of a specific phenomenon, that of undiagnosed illness in the Gulf War veterans. Aside from documenting in depth this particular experience, the study seeks to expand the literature on post-war psychological issues.

1. PARTICIPANTS: Describe the participant population and how it will be obtained. Who will participate and how will you find/select them?

I will interview 5-8 veterans of the Persian Gulf War who suffer from undiagnosed illnesses that appear to be related to their service in the Gulf. The participants will be selected from veterans groups I am in contact with in the San Francisco area. I will distribute a flyer (Sample Flyer) which announces the study. Interested veterans will be invited to contact me. I will explain the study, its procedures, and confidentiality issues.

2. PROCEDURES: From the participant's point of view, describe how you will involve them in your study. How will you conduct your study?

After initial phone contact, participants deemed suitable will be sent a packet including a brief information form (Sample Participant Information Form)—“screening questionnaire”—and informed consent form (Sample Informed Consent Form). Selected participants will participate in two recorded interviews of ninety-minute duration. The interviews will take place at a mutually agreed upon location, most likely my psychotherapy office. After the interviews have been transcribed, each interviewee will be asked to review their transcribed interview and add any additional comments or reflections via telephone. At all times, they will be assured about the maintenance of confidentiality.

3. CONSENT: Describe procedures for how and when you will receive informed consent from your participants. Enclose in this application a copy of the informed consent form you will use

4. RISKS: Describe and assess any potential risks and the likelihood and seriousness of such risks. How might participants be harmed during or after their participation in the study?

A potential risk exists in exacerbating any psychological symptoms through engagement and discussion of war-related material. Some participants may suffer from a form of PTSD and be extremely sensitive to issues surrounding the interview topic. It is possible that the interview may trigger strong affects and provoke psychological problems.

5. SAFEGUARDS: Describe procedures for protecting and/or minimizing the potential risks (including breaches in confidentiality) and assess their likely effectiveness. Given the risks, how will you prevent them from occurring?

Participants will initially be screened for their suitability through initial information gathering and phone contact. These steps will most likely result in a group of stable, articulate participants who can suitably manage the discussion of their present and past experiences. Informed consent acknowledges that either the participant or the researcher may discontinue the interview process at any stage. This option is available in case of unforeseen instability. If the interview process proves to be troubling for the participant, referrals for therapy will be provided.

Confidentiality will be maintained at all times: participants will be provided with a pseudonym; transcribed and taped materials will not carry identifying information. No other party will be aware of the individual's possible involvement. Aside from myself, no other party will have access to identifying information.

6. **BENEFITS:** Describe the benefits to be gained by the individual participants and/or society as a result of the study you have planned. What good will come of this research?

An in-depth exploration of the experience of undiagnosed war-related illness will hopefully lead to two outcomes: 1) a heightened sensitivity to the problems of the Gulf War veteran, specifically the psychological challenges which accompany a war-related illness which, as yet, has no definitive etiology; 2) an increased appreciation of the unforeseen long-term consequences of military action, adding to the accumulated understanding of the psychological costs of war.

The discussion of war-related illness and experience may have a cathartic effect on the participants. Focused exploration of experience, time for reflection, and review of interview material may lead to greater understanding and insight into the participant's suffering.

7. **POST EXPERIMENT INTERVIEW:** Describe the contents of your conversation with people in the study after their participation is completed. How will you inform them of the study's purpose?

I will mail each participant's transcribed interview to that participant and follow up with phone contact. Participants will be asked to share their experience of the interview process and to add any additional comment following from their review of the transcript. This will also provide an opportunity to assess for any negative outcomes from the interview process and offer referral if necessary.

The purpose of the study will be described during initial contact with prospective participants and communicated prior to the start of the interview.

8. **ATTACHMENTS:** Include in this application all of the following supplemental information: (1) informed consent form, (2) verbatim instructions to the participants regarding their participation, (3) all research instruments to be used in carrying out this study, and (4) other documentation pertaining to the study which will be shown to participants.



## Sample Informed Consent Form (Template) for an Experimental Study

PROJECT TITLE: \_\_\_\_\_

1. I understand that this study is of a research nature. It may offer no direct benefit to me.
2. Participation in this study is voluntary. I may refuse to enter it or may withdraw from it at any time without creating any harmful consequences to myself. I understand also that the investigator may drop me at any time from the study.
3. The purpose of doing this study is:
4. As a participant in this study I will be asked to take part in the following procedures:

Participation in the study will take \_\_\_\_\_ of my time and will take place in \_\_\_\_\_.

5. The risks, discomforts and inconvenience of the above procedure might be:
6. The possible benefits of the procedure might be:
  - (a) Direct benefits to me:
  - (b) Benefits to others:
7. The information about this study was discussed with me by \_\_\_\_\_. If I have further questions, I can call her/him at \_\_\_\_\_.
8. My compensation for being in this study is \$\_\_\_\_\_. If I do not finish the procedures, I will receive a minimum of \$\_\_\_\_\_. OR There is no compensation for this study.
9. The dissertation research is conducted through the Pacifica Graduate Institute under the supervision of \_\_\_\_\_ who can be reached at \_\_\_\_\_. If you wish to contact the researcher, you can do as at \_\_\_\_\_.

Signature \_\_\_\_\_

Date \_\_\_\_\_

## Sample Informed Consent Form

Title of the study: The experience of undiagnosed illness in Gulf War veterans:  
A phenomenological study

1. I agree to allow Barbara Pierce to ask me a series of questions on the topic of my experience of illness following my service in the Persian Gulf.
2. Following the completion of a brief information form, I will participate in two 90 minute recorded interviews at a mutually agreed upon location, most likely the psychotherapy office of Barbara Pierce. After the interviews are transcribed I will receive a copy and complete an additional telephone interview for additional comment and reflection. I understand that all interview materials will remain confidential.
3. The purpose of this study is to investigate the nature of psychological experience relating to undiagnosed symptoms which appeared following my Gulf War service.
4. I understand that some questions may cause stress, psychological discomfort, and exacerbate some of my symptoms. I may take a break or discontinue the interview at any time. If necessary, Barbara Pierce will provide me with referrals for psychotherapy, the cost of which will be my own responsibility. I understand that a pseudonym will be provided to insure my confidentiality and that my answers will only be used by the researcher and her committee for data analysis.
5. I realize that this study is of a research nature and may offer no direct benefit to me. The interview material will be used to further the understanding of Gulf War-related illness and its effects.
6. Information about this study, the time and location of the interviews, and my contribution to the study was discussed with me by Barbara Pierce. I am aware that I may contact her by calling (201) 555-6678 (9 a.m- 4 p.m., Mon.- Fri.).
7. This research is part of a dissertation study at Pacifica Graduate Institute and is conducted under the supervision of \_\_\_\_\_, who can be reached at \_\_\_\_\_.
8. Participation in this study is voluntary. I may decide not to enter the study or to refuse to answer any questions. I may also withdraw at any time without adverse consequence to myself. I also acknowledge that the researcher may drop me from the study at any point.
9. I am not receiving any monetary compensation for being a part of this study.

Signed \_\_\_\_\_ Date \_\_\_\_\_

## Sample Informed Consent Form (Template) for an Interview Project

TITLE OF THE STUDY: \_\_\_\_\_

1. I agree to have \_\_\_\_ (investigator) \_\_\_\_\_ ask me a series of questions about \_\_\_\_\_.
2. These questions will be asked in \_\_\_\_ (location) \_\_\_\_\_ and will take about \_\_\_\_\_ minutes.
3. The purpose of asking these questions is to \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. I understand that some (none) of the questions might (will) be embarrassing or annoying to me. The researcher has explained that my name will (not) be recorded on the questionnaire and that my answers will be used only by the investigator (any others?) in the analysis of the data.
5. I understand that this research may result in \_\_\_\_ (benefit) \_\_\_\_\_ which will (not) be of immediate value to me personally.
6. Information about this study and the place of my interview in it has been given to me by \_\_\_\_\_. I can reach him/her any time I have questions by calling \_\_\_\_\_.
7. I understand that I can refuse to answer any question and can withdraw from this study without jeopardizing my standing in (care by, or . . .)
8. I am (not) receiving any compensation for participating in this study.
9. This research is part of a dissertation study at Pacifica Graduate Institute and is conducted under the supervision of \_\_\_\_\_, who can be reached at \_\_\_\_\_.

Signature \_\_\_\_\_

Date \_\_\_\_\_

## Sample Instructions to Participant

The term *intellectual property* refers to all ideas, information, creation, and knowledge that are protected by law. Intellectual property concerns everything that human minds have created as opposed to physical property. For example, the Microsoft® butterfly is not a physical object, but it is a fixed form protected by Intellectual Property Rights.

Interviews will take place in a mutually agreed upon location. The two 90-minute interviews will be conducted on separate days at mutually agreed times.

The interviews will be taped then transcribed into a written format. Your confidentiality will be respected at all times. The transcriber will not know your identity.

You will be asked to answer a series of questions about your illness, its associated difficulties, and relevant experiences. Although I will initiate discussion with these questions, the dialogue will be open, and you are free to comment on anything which seems significant to you.

During the course of the interviews, strong emotions and memories may surface. You may feel some psychological discomfort. You are free to take a break from the interview or discontinue the interview at any point. If following the interview you feel the need for psychological counseling referrals will be provided.

Following the transcription of the interviews you will be sent a copy of the transcript. After reviewing the document you will be contacted by phone and asked to add comment and/or clarification. Added comments will then be included in the final draft of the dissertation.

## Sample Flyer

### **The Experience of Undiagnosed Gulf War-Related Illness: A Research Study**

If you would like to share your experience of having symptoms related to your service in the Persian Gulf, please consider the following study:

I am searching for suitable persons to interview on the topic of psychological stresses and problems that have arisen in relation to war-related illnesses. My research is designed to increase the understanding of such experiences and to raise the general level of sensitivity to these issues.

If you are interested in participating, please contact Barbara Pierce at (201) 555-6678 (9 a.m.-4 p.m, Mon.-Fri.).

(Actual contact information for published dissertation can be removed, keep everything in place except the phone number which can be changed to (xxx) xxx-xxxx.)

## Sample Participant Information Form

Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Home phone \_\_\_\_\_

Email: \_\_\_\_\_

Age \_\_\_\_\_

Occupation \_\_\_\_\_

Relational Status: \_\_\_\_\_

Racial or Ethnic identification \_\_\_\_\_

## **Part 4**

# **Appendices**

This part includes a list of core faculty and affiliated faculty along with their contact information and research interests. It also contains the list of references for this handbook.

## Appendix A: Core Faculty Research Interests

### **Matthew Bennett, PsyD**

[MBennett@pacifica.edu](mailto:MBennett@pacifica.edu)

Psychotherapy integration; Psychodynamic diagnosis

### **James Broderick, PhD**

[JBroderick@pacifica.edu](mailto:JBroderick@pacifica.edu)

Phenomenology; Critical theory (Frankfurt School)/emancipatory psychology; Sand tray therapy; Ecological psychotherapy; Clinical case management; Humanistic/existential psychotherapy; Innovative approaches to serious mental illness; Organizational development and change; Evidence-based practices and diagnostics; Depth psychology in management

### **Gary Groth-Marnat, PhD, ABPP (Emeritus)**

[GGroth-Marnat@pacifica.edu](mailto:GGroth-Marnat@pacifica.edu)

Psychological assessment and treatment planning; Forensic psychology; Psychological reports; Integration of Jungian psychology with quantitative approaches to personality and psychotherapy; Altered states of consciousness: hypnosis, dissociation, and near-death experiences; Phenomenological and content analytic approach to dreams; Eating disorders; Psychotherapy integration

### **Avedis Panajian, PhD, ABPP**

[APanajian@pacifica.edu](mailto:APanajian@pacifica.edu)

Object relatives, Jung, Bion, Klein, Hillman; Psychopathology and culture; Primitive mental states; Attachment

### **Michael Sipiora, PhD**

[MSipiora@pacifica.edu](mailto:MSipiora@pacifica.edu)

Phenomenological philosophy and psychology; Classical and contemporary rhetoric; Hermeneutics; Marxist critical theory; Cultural critique; Archetypal psychology; Narrative theory and praxis; Organizational development

### **Oksana Yakushko, PhD**

[OYakushko@pacifica.edu](mailto:OYakushko@pacifica.edu)

Immigrants, migration, and identity from depth psychology and critical psychology perspectives; Qualitative, quantitative, and mixed methods approaches in depth psychology; Women's spirituality and depth psychology; Social justice and diversity; Cross-cultural research and psychotherapy



## Appendix B: Adjunct Faculty Research Interests

This list is comprised of adjunct faculty members who either have taught or are currently teaching in the clinical program. There may be additional potential internal readers who are adjunct faculty who have taught/are teaching in other Pacifica programs or who are contributing faculty. Also note that this list is regularly updated but it is also possible that contact details may change. If you have not heard back from a potential internal reader in two weeks, contact the clinical Program Administrator to see if there are new contact details.

### **Barnaby Barratt, PhD, DHS**

[bbarratt@earthlink.net](mailto:bbarratt@earthlink.net)

Spirituality; Sexuality; Change and growth; Healing processes; Psychodynamic approaches to body mind functioning

### **Michael I. Beiley, PhD**

[mbeiley1@gmail.com](mailto:mbeiley1@gmail.com)

(805) 962-2869

Anxiety Disorders in Children and Adults; Obsessive-Compulsive Disorder; Forensic Evaluation; Cognitive Behavior Therapy

### **Toby Bobes, PhD**

[nboboes1@cox.net](mailto:nboboes1@cox.net)

Multicultural/systems perspective in working with couples and families; Narrative principles and practices

### **Joan Chodorow, PhD**

[loujoan@itsa.ucsf.edu](mailto:loujoan@itsa.ucsf.edu)

Natural healing function of imagination; Dance therapy; Body and psyche; Affect and image; Active imagination; Early development and symbol formation

### **Darren Del Castillo, PhD**

[delcasdm@miamioh.edu](mailto:delcasdm@miamioh.edu)

Masculinities studies, narrative analysis (qualitative research), brief psychodynamic therapy, psychoanalytic theory and practice, social anxiety, and interpersonal consequences of child maltreatment.

### **Delphine DeMore, PhD**

[duffydemore@yahoo.com](mailto:duffydemore@yahoo.com)

(818) 757-3800

Trauma; Dissociation; Meditation; Attachment; Substance abuse; Spousal abuse; Theories of psychotherapy

### **Candace De Puy, PhD**

[foxwoodC@aol.com](mailto:foxwoodC@aol.com)

Mythology; Change and transformation; Creative imagination; Rituals; Eating disorders; Nature and instincts; Mindful psychology; Feminist thought

**Marcia Dobson, PhD**[mdobson@coloradocollege.edu](mailto:mdobson@coloradocollege.edu)

Object relations; Transitional experience; Jungian theory; Dreams and dreaming; Drama; Religion; Language

**Holly Fincher, PhD**[hollyfincher@earthlink.net](mailto:hollyfincher@earthlink.net)

Myth and literature; Jungian psychology; Shamanism; Death and dying

**Azarm Ghareman, PhD**[dr.ghareman@gmail.com](mailto:dr.ghareman@gmail.com)

Cultural individuation; Ethnic identity; Social issues; Interphase of science, cultural, and psychology; Balance of masculine and feminine

**Elisa A. Gottheil PhD**[elisantonietta@yahoo.com](mailto:elisantonietta@yahoo.com)

Spirituality; Fetal alcohol spectrum disorders; Adolescent in the juvenile justice system; Forensic evaluations

**Mel Gottlieb, PhD**[melgottlieb9@gmail.com](mailto:melgottlieb9@gmail.com)

Myth, literature, & religious studies; Theoretical foundations of psychotherapy; Depth psychology and Hebrew myths; Kabbala, existentialism, and spirituality

**Bob Kalter, MD**[drkalro@hotmail.com](mailto:drkalro@hotmail.com)

Clinical psychopharmacology; Clinical work in areas of interaction between psyche and soma

**Ian Kaminsky, PhD**[Ian.Kaminsky@sa.vcsb.edu](mailto:Ian.Kaminsky@sa.vcsb.edu)

Addiction; Compulsive behavior; Greek mythology; Jungian and analytic psychotherapy

**Vicki Koenig, PhD**[vkoenig1@yahoo.com](mailto:vkoenig1@yahoo.com)

(805) 252-0645

Clinical/research aspects that concern application of theory to clinical practice; Spirituality in terms of clinical application; Expressive arts, dance therapy and clinical applications; Stress/anxiety and the application of expressive arts in clinical practice; Health and healing through expressive arts

**Anson Levine, PhD**[alevine@calstatela.edu](mailto:alevine@calstatela.edu)

Alchemy and transference

Dreaming; Spiritual life and psychotherapy; Active imagination

**Christine H. Lewis, PhD, PsyD**[clewisphd@hotmail.com](mailto:clewisphd@hotmail.com)

Psychoanalytic theory; Attachment; Literature and psychotherapy; Spirituality and depth psychology

**Enrique Lopez, PsyD**[drelopez@yahoo.com](mailto:drelopez@yahoo.com); [lopeze@cshs.org](mailto:lopeze@cshs.org)

(310) 993-8451

Uranian Psychoanalysis; Gay and Lesbian Studies, Two-spirited /Shamanism, Childhood Trauma, HIV/AIDS, Cross-cultural Psychology, Neuropsychology, Research/Statistics

**Barbara Lipinski, PhD, JD**[blipinski@antioch.edu](mailto:blipinski@antioch.edu)

Imaginal in psychotherapy; Numinous/spiritual dimensions in treatment; Therapeutic dreamwork; Nature and the instinctual; Mid-life reflections, rituals, and experiences; Depth psychological assessment; Legal and ethical issues; Forensic psychology; Trauma

**Valerie Mantecon, PhD**

(949) 347-8755

Family systems; Ineffective thought/behavior patterns; Communication skills; Grief; Feminist therapy; Issues of adoption

**Barry Miller, PhD**

(310) 859-8246

Meaning and sexuality; Psychology and existentialism; Gay identity and individuation; Dreams and transference  
Pride

**Jean Palmer-Daley, PhD**[jpalmerdaley@gmail.com](mailto:jpalmerdaley@gmail.com)

Clinical; Alchemical hermeneutic; Case study; Experimental; Organic/intuitive/heuristic/phenomenological; Program evaluation; Theoretical; Shamanism; Non-traditional healing; Somatics; Jungian psychology

**Lori Pye, PhD**[Loripye@instituteforculturalchange.org](mailto:Loripye@instituteforculturalchange.org)

Ecopsychology; Mythology; Depth & archetypal psychology; Archetypes & society; Alchemy of nature; Narrative, story, and fairytales; Animals as symbols; Neuroscience & depth psychology; Cross cultural topics; Sustainability—psychological and cultural; Ethics, aesthetics, creativity

**Suzanne Rapley, PhD**[srapley@cox.net](mailto:srapley@cox.net)

Therapeutic issues; Theory and practice of psychotherapy; Intimacy/relation; Sexuality; Phenomenology of psychotherapy

**Russell Revlin, PhD**[revlin@psych.uscb.edu](mailto:revlin@psych.uscb.edu)

Quantitative methods; Open topics;

**Meredith Sabini, PhD**

(510) 849-8511

Dreams/dreaming/dream assessment and diagnosis/culture dreaming; Jungian psychology; Evolutionary psychology; Spiritual experience; Psychosomatics; Ethnopsychiatry; Shamanism; Ecopsychology

**Karen Shipley, PsyD**

(603) 918-9880

KShipley123@msn.com

Dialectical Behavior Therapy; Child and Adolescent Psychotherapy/Assessment; Suicidality and Self Injury; Grief and Loss; Chronic and Terminal Illness; Eating Disorders

**Diana Sharpe, PsyD**[Dr.Sharpe@cox.net](mailto:Dr.Sharpe@cox.net)

Change/transformation; Women's studies; Health/disability; Veterans; Jungian psychology; Cosmology; Mythology; Transpersonal psychology; Spirituality; Gay/lesbian/transgender

**Barbara Shore, PhD**[jeungster@verizon.net](mailto:jeungster@verizon.net)

Women's issues; Gender; Attachment issues; Adoption; Gerontology; Eating disorder; Post traumatic stress

**Lisa Sloan, PhD**[LSloan@Pacifica.edu](mailto:LSloan@Pacifica.edu)

Jungian psychology; Dreams and active imagination; Transference; Imaginal psychology; Shamanism; Oracular ways of knowing; Theatre and ritual; Chakra psychology; Somatic psychology; Qualitative research; Alchemical hermeneutics

**Barbara Swenson, PhD**[barbara@couplecenter.com](mailto:barbara@couplecenter.com)

Family systems

Depth psychotherapy; Attachment; Relational trauma; Couple therapy; Family therapy; Mindfulness; Interpersonal neurology in couple relationships

**Paula Thomson, PsyD**

[Paula-maurice@sbcglobal.net](mailto:Paula-maurice@sbcglobal.net)

(818) 754-0621

Trauma; Dissociative disorders; Attachment; Creativity; Fantasy prone personality; Developmental psychology; Psychophysiology; Neurobiology

**Marlene W. Valter, PsyD**

[mvalter@mac.com](mailto:mvalter@mac.com)

[www.marlenevalter.com](http://www.marlenevalter.com)

Forensic psychology; Assessment; Risk assessment; Divorce and child custody; Child development; Child abuse; Domestic violence;

**Alan Vaughn, PhD**

[alanvaughn@sbcglobal.net](mailto:alanvaughn@sbcglobal.net)

Open topics

**Fred Wertz, PhD**

[wertz@fordham.edu](mailto:wertz@fordham.edu)

Clinical; Perception; Cognition; Social; Qualitative methods

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