PACIFICA
GRADUATE INSTITUTE

CLINICAL PSYCHOLOGY Psy.D.
DISSERTATION HANDBOOK
2019-2020

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Preface to the 2019-2020
Psy.D. Dissertation Handbook

The purpose of this handbook is to describe the dissertation, which is the culminating scholarly endeavor for students earning a Doctorate in Psychology (Psy.D.) at Pacifica Graduate Institute. The handbook addresses two distinctive but related aspects of the dissertation at Pacifica. The first aspect is the way students approach, conceive, design, conduct, and report their research. The second aspect is the specific institutional requirements and procedures that Pacifica has established for students enrolled in the dissertation courses. Although these two aspects support and coincide with one another, they represent two different kinds of demands to which students must respond: the first being scholarly, the second being institutional.

The 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 Pacifica Graduate Institute supports. The handbook also contains guidelines for assembling the student's committee and outlines the technical and procedural requirements of the dissertation process at Pacifica. All forms pertaining to the procedural aspects of the dissertation are contained at the back of this handbook.

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

Another indispensable aid to students anticipating writing their 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 dissertation requirements—namely, concept papers, proposals, and the final manuscript—is expected to consistently follow the guidelines. Of course, as with any general standard, certain exceptions must occasionally be made and some such exceptions, especially those common among dissertations at Pacifica, are specified in Part 2 of this handbook.

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

Revisions to the 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 or submitting dissertation work. Students are also required to review revisions of 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.

Handbook Format

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

Changes to the 2019-2020 Dissertation Handbook

This year's edition of the Dissertation Handbook contains corrections in wording and formatting, the kind of continual improvements in clarity that will be helpful to students and their committee members.

Part 1:
Introduction to the Dissertation

This part presents a concise introduction to the dissertation 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 the dissertation, 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 and qualify for the degree of Doctor of Psychology.

Pacifica's Vision for Research in Clinical Psychology

To reflect training in the Doctor of Psychology (Psy.D.) degree, students are asked to conceive of projects that draw from clinical psychology literature and practice and directly contribute to clinical psychology and practice. Because of a briefer nature of the dissertation, the students are also asked to consider whether their research idea can be carried out within the time frame and writing parameters as set by their Psy.D. degree program requirements.

In addition to the parameters specific to the Psy.D. degree, students are encouraged to conceive of their work within the depth psychological framework embodied by Pacifica Graduate Institute. Specifically, Pacifica conceives research as a vocation in which meaningful questions 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 human scientific depth psychological emphasis, the Institute is also committed to academic excellence in the field of clinical psychology as a whole. Specifically, students are **required** to develop dissertations 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 cultural studies, gender studies, 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 cultural studies, 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 constitutes 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 **briefly** 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 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 Psychology** 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 dissertation. 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 a dissertation 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 hold 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 a dissertation, 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. Whereas, 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. Although it may be 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 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 asset for the long and arduous work of research. 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 the dissertation 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 the Dissertation

As stated in the introduction, the essential purpose of the dissertation 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 dissertation 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. Although being intelligent, insightful, and literary are certainly required for doctoral-level clinical 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 the 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 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 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 the Dissertation in the next Part).

Length

Qualitative, participant-based dissertations should be approximately 80 to 100 pages, whereas theoretical dissertations generally are 100 to 120 pages. In contrast, quantitative, participant-based studies should be 60 to 80 pages. Please note that in contrast to a doctoral dissertation, dissertations seeks to make a concise contribution to the field.

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 may take more than 50 hours. Students should also note that in instruments that are not in public domain must be used only after obtaining a copyright permission from the publisher or the authors, and that at times there is a fee per administration for use of the instrument. 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, with criteria for the number determined both by the specific approach as well as the goal of the study. 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 influenced 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 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 (e.g., personality theory, psychotherapeutic practice,

testing, research, or some subsidiary field within these). Finally, the researcher should determine which scientific, theoretical, 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.

Undoubtedly, 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. **Because Psy.D. degree focuses on practitioner-scholar model of training in clinical psychology, it is important that the topic focuses**

specifically on the application of research to clinical practice. This preliminary survey of published articles, books, dissertations, 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 has not 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 among pre-adolescent Latino-American males.

- *Research Problem:* Currently clinical psychology scholarship appears to have a lack of depth psychological understanding of gender identity in pre-adolescent Latino-American males.

- *Research Question:* How does object relations theory and practice contribute to an understanding of gender identity among 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 specific group affiliation? How does gender identity in pre-adolescent Latino-American males influence their educational experience? Does gender identity in pre-adolescent Latino-American males relate to the cultural values and mythologies? How does gender identity in pre-adolescent Latino-American males correlate with adult employment records? 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 rein 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.

Attaining the Research Approved

The dissertation chair closely reviews the ethics application and requests any necessary changes from the student. Once it is acceptable, the chair forwards the form to the program's research coordinator for review, who may also request changes. When the research coordinator is satisfied with the ethics application, he or she sends it to the Dissertation Office. The Dissertation Office sends a confirmation letter to the student when his or her ethics application has been approved. Students are not permitted to begin their proposed research until the ethics application has been approved and the student has received a confirmation letter from the Dissertation Office. 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.

Q*uantitative 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 multiple choice or Likert-type scale survey questionnaires, structured protocols or surveys requiring only brief responses from participants, and controlled experiments. Please note that many psychological tests are copyrighted, and that in quantitative studies it is important to utilize valid and reliable instruments in the measurement of variables. 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. *Other approaches* 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. eaIt should be noted that the alchemical hermeneutic method (Romanyshyn, 2007) alone method, can be integrated 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 qualitative methodology typically specifies how the researcher accomplishes such reflexivity. For example, in transcendental phenomenology this process is termed *epoche* or *bracketing* (Giorgi, 1985; Moustakas, 1994), in existential phenomenology reflexivity is taken account of in terms of a double hermeneutic, in grounded theory reflexivity is called *memoing* (Strauss & Corbin, 1997), 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.

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.

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. Notably, 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 theoretical 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, Archetypal, 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), developmental theory (e.g., fixation, oedipal or pre-oedipal issues, individuation), psychotherapeutic theory (e.g., transference, projective identification, conjunctio.), 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 dissertation itself. The primary purpose of the manuscript is to show students' competency in applying a research method to a clinically relevant topic and articulating the results of their study. **Because Psy.D. degree focuses on practitioner-scholar model of training in clinical psychology, it is important that the topic focuses specifically on the application of research to clinical practice.** 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 public documents accessible to a wide audience through online venues.

Part 2:
Seven Stages of the Dissertation

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

Step One: Writing the Concept Paper and Identifying Potential Chairs

Step Two: Registering for Clinical Research Process Writing

Step Three: Forming the Dissertation Committee

Step Four: Writing the Research Proposal and Ethics Application

Step Five: Completing the Research

Step Six: Preparing the Manuscript for Publication

Step Seven: Passing the Oral Defense

The completion of one step is a threshold necessary to move to the next step in the sequence: it is a linear process. Once all seven steps have been completed, the Dissertation Office will consider the student "approved for graduation," meaning that the student has completed one of the last, key milestones to earning their Psy.D.

7 STEPS FOR SUCCESSFUL COMPLETION OF DISSERTATION

PACIFICA GRADUATE INSTITUTE CLINICAL PSYCHOLOGY PROGRAM

STEP 1: CONCEPT PAPER APPROVAL AND IDENTIFY POTENTIAL CHAIRS
During the second year of coursework, student submits concept paper to research faculty for approval. Students also identify potential chairs and submit the form to faculty.

STEP 2: REGISTRATION
Students begin enrollment in dissertation writing courses during their third and fourth years of studies. Their enrollment in these courses constitutes Registration.

STEP 3: FORM THE DISSERTATION COMMITTEE
Student submits a request list of three core faculty as potential chairs. Faculty assign the chair to the student; student turns in Chair Appointment Form. Next, student works with chair to select internal and external readers, and submits reader forms to the chair (along with external reader CV).

STEP 4: PROPOSAL AND ETHICS APPROVAL
Student submits proposal to committee for review & approval, then submits ethics application to chair for review, who also (as needed) seeks approval from the RC. After both proposal and ethics application are approved, chair submits forms to the Dissertation Office. Student submits Intellectual Property Form directly to the Dissertation Office.

STEP 5: COMPLETE THE RESEARCH
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 the 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 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

While 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.

_____   Front Matter
_____   Title Page
_____   Copyright Page
_____   Abstract
_____   Dedication or Acknowledgments (optional)
_____   Table of Contents
_____   List of Figures (if applicable)

_____   Introduction
_____   Purpose of the Study

_____   Statement of the Problem
_____   Research Problem
_____   Questions or Hypotheses
_____   Definition of Terms
_____   Assumptions, Limitations, Delimitations

_____   Review of the Literature

_____   Method
_____   Description of Research Approach
     Participants or Texts
     Instrumentation
_____   Data Collection: Recording, Processing, Analysis

_____   Findings (Analysis, Evaluation, and Summary)

_____   References

_____   Appendices
_____   Informed Consent Approval
_____   Consent Form (if applicable)
_____   Testing Instruments or Questionnaire Samples
_____   Written Instructions for Testing Materials
_____   Data Sheets
_____   Illustrations or Charts

Step One: Writing the Concept Paper
and Identifying Potential Chairs

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 second year, though, students are expected to conceive and write a dissertation concept paper in the dissertation course, with the aim of having an approved concept paper by the end of the second 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 20 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 approval is granted to students who successfully completed their concept papers as part of their Dissertation Development class. The copy of the approval form (Step Two) is then submitted to the Dissertation Office.

During that class, the students *will also identify potential chairs*, with whom they wish to work on their dissertation. Once the chair is assigned to work with the student and the student and the chair then selects internal and external readers, the student may choose to share his or her concept paper with.

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, 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 concept paper and final manuscript, under single authorship. No 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. Generally, the introduction ends with a brief statement of your research problem, that is, a statement of what it is that you and we, as clinical psychologists, don't know or understand that you hope to rectify with your study. 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.

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,* 6th edition). In other words you should not state "Smith (2008) report*s*" but you should instead state "Smith (2008) report*ed*" 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. Moreover, 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.

Statement of the Research Problem and Question

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.

Statement of the Research Problem

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.

Statement of the Research Question

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.

Definition of Terms

Please briefly define the term first time you introduce them or as quickly as possible within the body of your literature review.

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

It is important to remember that your overall approach to research may draw on one or more specific research methodologies. Your choice of methodology or methodologies should be largely determined by its (their) appropriateness to your 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 your methodology and procedures section should not only present a brief, well-documented discussion of your chosen research methodology or methodologies, but also explain why it (they) are appropriately suited for your proposed research. Some of the research methodologies most commonly employed at Pacifica includes the following:

Phenomenological methodologies are used to explore the lived meaning of certain kinds of human experience by inviting research participants to describe, in either solicited narratives or intensive face-to-face interviews, specific events, circumstances, or situations in their lives and then analyzing these data using one or more phenomenological methods including, for example, thematic exposition, psychological description, or heuristic depiction. Be sure to not only state that you will be interviewing participants, but the nature and strategy of the interview method (non-interpretive, non-intrusive, intentionality, lived time, etc.). *Ethnographic* methodologies seek to understand ethnic, cultural, and religious traditions as well as the patterns of interactions, behaviors, and personal experiences that give meaning to individual collective life by conducting open-ended interviews or observations of verbal and non-verbal interactions and behaviors among group members. Ethnographic research may also inquire into depth psychological dimensions of a group, such as its relationship with dreams, healing, or spiritual experience. Ethnographic methodologies may rely on phenomenological, hermeneutic, or some other qualitative methodology for data analysis. *Hermeneutic* (or interpretive) methodologies seek to understand the underlying meaning or structure of certain kinds of human experience by inviting participants to describe, in either solicited narratives or intensive face-to-face interviews, specific events, circumstances, or situations in their lives, and then analyzing these data through the lens of a particular interpretive set or sets. Since hermeneutic methodologies are more commonly used in text-based and arts-based studies, they will be discussed in more detail in that section, below. Nevertheless, it is worth mentioning here that some of the more commonly used broadly conceived hermeneutic or interpretive sets or interpretive frameworks used at Pacifica derive from psychoanalysis, object relations, self-psychology, archetypal psychology, imaginal psychology, alchemy, existential psychology, and philosophy.

Studies using text-based and arts-based data. Studies using text and arts-based data seek to examine, criticize or further develop concepts, theories, or philosophical foundations in the field of clinical psychology; to articulate relationships among certain aspects of different theories; or to amplify a psychological construct within a cultural, historical, or philosophical context. Such studies are generally theoretical in nature and employ textual or archival data drawn from published or unpublished texts or manuscripts of a scholarly, scientific, literary, or theoretical nature or, in the case of studies using arts-based data, other classical expressions of human experience and thought such as those found in works of music, art, photography, sculpture, architecture, dance, or film. These data may then be analyzed using some form of hermeneutic or interpretive method whether that be rhetorical, semiotic, linguistic, or theoretical, the latter including such depth psychological theories as psychoanalysis, object relations, self-psychology, archetypal psychology, imaginal psychology,

alchemical psychology, or existential psychology, to name just a few. In such studies, your method is significantly determined by your theoretical and conceptual set or sets, that is, the lens or lenses through which you plan to "read" your data.

A number of different kinds of hermeneutic methodologies have been used by Pacifica students over the years, many examples of which may be found in the Institute's library. In the past, these methodologies have grown out of two major intellectual traditions: philosophy and depth psychology. *Philosophically grounded methodologies* draw on the works of prominent continental philosophers such as Heidegger, Gadamer, or Ricoeur. *Theoretical grounded methodologies* draw on the theoretical and methodological works of various writers from Freud, to Jung, to Hillman, among many others. Some specific hermeneutic methods drawing from these general kinds of hermeneutic methodologies include cultural-historical method, dialogical methods, literary textual methods, thematic methods, and imaginal/alchemical methods. *Cultural-historical methods* investigate particular cultural issues while making use of a specific theoretical or philosophical frame of reference for their interpretation. For example, a study of scientific-technological consciousness from an archetypal point of view might seek to develop a fresh understanding of this dimension of modern life using the lens and constructs of archetypal psychology to illuminate certain unrecognized features of the human psyche. *Dialogical methods* place two or more perspectives in critical conversation. For example, a study comparing and contrasting Freud's and Jung's theories of transference might seek a new level of understanding this clinical phenomenon by placing their theories in dialogue with one another. *Literary textual* methods focus on a specific text or group of texts making use of a particular interpretive frame. For example, a study of the Fool in Shakespeare's plays from a Jungian point of view might seek to discover a new understanding of how this archetype plays itself out not only in the lives of psychotherapy patients but also in our very own everyday lives as well. *Thematic methods* develop a series of systematic reflections on a specific theme. For example, a study of the theme of beauty and psychological life might seek to develop a series of critical reflections that illuminate the significance of beauty in human development and creative achievement. *Imaginal methods*, including a particular more recently developed method call alchemical hermeneutics, begin with an understanding of soul as an autochthonous domain of reality and experience and work, through reverie, dreams and the consideration of multiple transference levels, to illuminate the symbols, complexes, and meanings of the imaginal world.

Studies using other methodologies. Many students at Pacifica use *heuristic methodologies* particularly for heterogeneous studies drawing on a mixture of participant, text, or arts-based data. Heuristic methodologies are exploratory or discovery-oriented methodologies and include a variety of exploratory, discovery oriented methods in psychology as well as a specific, experiential method emphasizing self-study that was developed by the humanistic psychologist, Clark Moustakas. It is difficult to place heuristic methodologies since they are used in such a variety of contexts and often in combination with other methodologies.

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 research coordinator 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 research coordinator 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.

Working with Human Participants

The use of participant's 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 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 participants" 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.

Procedures

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.

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

Your 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.

Implications of Publishing the Dissertation

Including Personal Material

Students should be mindful that their completed dissertation 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).). Pacifica does not allow students to embargo or delay their publishing with ProQuest/UMI.

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, and 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).

Introduction:

☐ Brief introduction to the topic (based on the literature)

☐ Description of your interest in the topic

☐ Why it is important to study this topic

☐ Research problem and question stated

☐ Clear statement of the question(s)

☐ Scholarly definition of key terms

☐ Introduction does not exceed five 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 ten pages

Methodology:

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

☐ Participants: Rationale for selecting them

☐ Participants: Inclusion/exclusion criteria

☐ Participants: Estimated number

☐ Materials: Brief description of psychometric properties (if relevant)

☐   Procedure: Specify what you will do (numbering the sequence helps)

☐   Data Analysis Steps (specific to methodology)

☐   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

Step Two: Registering for Dissertation Writing

In Psy.D. curriculum, students' registration for their dissertation writing begins during their third year of studies and continues through their third and fourth year of studies, conducted simultaneously with other coursework. During the summer prior to their third year of studies, students will be notified regarding their chair assignment based on students' selection and ranking, submitted to the research coordinator at the end of their second year.

During their third year of studies, students register for CP 957 class with their assigned chair. This registration proceeds over the course of the entire third year of classes. In order to pass this course, student must continually meet with their assigned dissertation chair, form the rest of their committee (internal and external readers) and work toward receiving approvals from their chair and other committee members of their proposal. In addition, students complete and submit their ethics application and their Intellectual Property and Copyright Form (see below).

During their fourth year of studies, students register for CP 958 class with their assigned chair. In this class, students are expected to complete their data collection and data analysis followed by submission of their Results and Discussion sections to their chair as well as receiving the Final Draft Approval for their dissertation from all three of their committee members. Students can also plan to schedule and carry out their oral defense by the end of their fourth year of studies (see below).

Staying in Touch with the Dissertation Office

The Dissertation Office begins its relationship with a Pacifica student when the concept paper and Concept Paper Approval Form are 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 of their third year of studies. Early registration is not permitted.

Delaying Registration

Delaying registration for dissertation writing is discouraged because it is scheduled to be carried out in concert with other coursework. However, if special circumstances occur, the student is required to develop a registration plan with their advisor, the research coordinator, and the Clinical Office.

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 However, if this is not possible, students may register for an additional year of writing. To do so, students will enroll in CP 959 (Continued Dissertation Writing Course).

Step Three: Forming the Dissertation Committee

A dissertation committee at Pacifica is comprised of the 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 (CP 957), the student may officially convene committee members. Prior to registration, the student will be notified of her or his chair assignment based on student's submitted choices at the end of the spring quarter (typically in the dissertation development course). During the summer faculty meeting, faculty meet to discuss student requests and interests, and assignments are made to match students with faculty chairs.

Once the student enrolls in CP 957 (Dissertation Writing), the student can submit the Chair Appointment Form to the chair. Together with the chair, the student works to identify internal and external readers. Although the students can reach out to potential readers to gage their interest, no promise is official and formal until students and the committee members have filled out and submitted the appropriate paperwork: the Reader Appointment Form and the External Reader Appointment Form with the External Reader's CV to the Dissertation Office.

Selecting and Working with the Committee

In choosing a committee, students should do their best to gather persons who have 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 3 of this handbook. Students are expected to avoid dual relationships in the selection of their committee as outlined in the Student Handbook.

Students who work closely with their committee members from the beginning of the process tend to progress more easily through the stages of dissertation writing. Keep in mind that the 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.

The chair is the central person responsible for guiding students through the dissertation, ensuring the integrity of the Institute's 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 writing period begins.

Assignment of a Chair

At the end of their dissertation development course, students will be asked to nominate three core faculty members, whose interests and expertise appear to match students' interests. Faculty will discuss students' nomination during the summer meeting (prior to students' third year enrollment). Once the matching is completed, the research coordinator will notify students about the match. When the students register and begin in their dissertation writing course in their third year of studies, students can fill out and give to their chair (who submits it) the Chair Appointment Form to the Dissertation Office. 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 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 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 Approval 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 research coordinator 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 Approval 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 draft and signs the Approval 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 Approval of Dissertation Final Draft forms sent to the chair by the other committee members and send them to the Dissertation Office.

- Coordinates a defense date with the student and the other dissertation committee members.

- Hosts the oral defense in person, which includes preparing and asking questions for the student and managing the committee's question and answer period following the student presentation of the work. If the student passes the orals, the chair signs the Completion of Dissertation Defense form and returns it to the Dissertation Office.

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 topic or methodology. In many instances, both readers complement the areas of strength or weakness of the chair.

Qualified candidates for the reader position cannot be core faculty in any program at Pacifica. However, they 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 research coordinator to discuss this. A list of readers and their interests is available in this handbook in Part 3, 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 3 (three) 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 3 weeks for each review cycle.

When the quality of the dissertation proposal is acceptable, completes and submits the Approval of Dissertation Proposal form to the chair.

- Within 3 (three) 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 3 weeks for each review cycle**. When the quality of the complete manuscript is acceptable, signs the Approval of Dissertation Final Draft form and sends it to the chair.

- Participates in the oral defense of the dissertation in person, on the telephone, on Skype, or in rare cases by sending a question.

The External Reader

The purpose of the external reader is to provide an outside perspective on the 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 research coordinator 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 taught at the Institute; may not have held any administrative position at the Institute; and may not have served as an internal mentor (chair or reader) on any dissertation or 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 chair to mentor the student and ensure the quality of the research by fulfilling the following responsibilities:

- Within 4 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 4 weeks for each review cycle**. When the quality of the dissertation proposal is acceptable, completes and submits the Approval of Dissertation Proposal form to the chair.

- Within 3 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 3 weeks for each review cycle. When the quality of the complete manuscript is acceptable, signs the Approval of Dissertation Final Draft form and sends it to the chair.

- Participates in the oral defense in person, on the telephone, on Skype, or by sending a question.

The Role of Research Coordinator

The role of research coordinator 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:

- 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 research coordinator is the committee chair, the department chair serves as substitute.

- Reviews all Use of Participants projects and upon approval, signs the Ethics Application Approval Form.

- Serves on the Council of Research Coordinators to discuss changes to Institute-wide dissertation processes and policies.

- 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 dissertation policy director.

- Academic matters will be directed to the program's research oordinator.

- If the research coordinator 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 begin with students' concept paper (approximately 20 pages in length) and expand it to approximately 40-50 pages. This proposal becomes, 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, and Methodology—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).

Students' dissertation proposal (as well as final dissertation) must draw from clinical psychology literature as its primary source as well as seek to integrate and contribute to clinical scholarly literature and practice. 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 (5 pp.)

> Purpose Statement
>
> Relevance of the Topic for Clinical Psychology
>
> Autobiographical Origins of the Researcher's Interest in the Topic
>
> The Researcher's Predisposition to the Topic
>
> Statement of the Research Problem and Question (1p.)
>
>> The Research Problem
>>
>> The Research Question

Literature Review (15-25 pp.)

> Literature Relevant to the Topic

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 version, 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 of concern to other scholars and practitioners in the field of clinical psychology and has applications to clinical practice. 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 on ProQuest, including any personal or sensitive information about others or organizations, 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.

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 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 stated;" or "Scholars have suggested;" or "At this point, my summary of the scholarship points to;" or "It is my opinion"). 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*th edition). In other words, students should not state "Smith (2008) report*s*" but should instead state "Smith (2008) report*ed*."

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 human 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 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 or 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 or 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 authors, 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 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 in Clinical Psychology

Up to this point the literature review has focused on what has been learned in the past and what remains to be learned with reference to the research topic. This is an ideal place to provide a vivid rationale for undertaking the research project thus setting the stage for the students' contribution to the field. This is effectively accomplished by offering a very brief summary (one to three paragraphs can suffice) of the literature review, first highlighting what has come to known or understood about the topic and then highlighting and what is still not yet know or understand. This summary should open the way to a succinct statement of what students proposed investigation is designed to contribute to the knowledge and understanding both in the field of clinical psychology in general and, within that, depth psychology in particular. Strive to make this statement of the anticipated contribution to the field clear, concise, and right to the point (e.g., "As the above literature review has shown, a comprehensive depth psychological understanding of the phenomenon of X is not developed;" or "Although there have been a number of studies to investigate X, they have significant methodological weaknesses"; or "Even though a number of studies addressing such phenomena as A, B, and C , no understanding of what the related phenomenon, X, might mean from a Y perspective has been developed").

Using Online 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, online scholarly books and encyclopedias. 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 and include any copyright permissions that may be applicable.

Definition of Terms

Students should include definitions within the text of their writing at the first (but most appropriate) moment. For example, although some terms may be mentioned in the introductory purpose statement, an in depth definition with citations should be included soon thereafter in the Introduction.

Although students may want to begin by trying to define the terms themselves, using their own language, students should eventually consult widely available technical and theoretical works in psychology and philosophy as well as general etymological and lexicographical references. Authoritative dictionaries such as *The Oxford Universal Dictionary* and *The Oxford English Dictionary* which contain excellent etymological information as well can be very useful in this regard. Partridge's (1958) *Origins: A Short Etymological Dictionary of Modern English*, J. Ayto's (1990) *Dictionary of Word Origins,* Barnhart's (1988) *Chambers Dictionary of Etymology,* or Onion's (1966) *The Oxford Dictionary of Etymology* are also all superb resources for assisting in the clarification of root meanings and definitions.

As with the formulation of the research question, clarity and parsimony are essential. These should be student's most faithful guides for defining key terms in the primary research question.

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 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, or 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 in the section of this Handbook describing the concept paper, 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.

Researchers use a quantitative methodology to demonstrate probabilities, correlations, make predictions, or prove or disprove discrete empirically verifiable hypotheses. Quantitative studies typically involve gathering data from research participants, which is then subjected to statistical analysis. Mixed method approaches combine the statistical rigor of quantitative research with the deep insights possible in the best qualitative inquiry. For more information, see the previous discussion of "Participant-based data" in Part 1 of this Handbook.

Below is a brief recapitulation of the qualitative methodologies commonly used at Pacifica Graduate Institute. For more information, read the "Research Methodology and Procedures" section, above, that describes the concept paper.

- Phenomenological methods, used to explore the lived meaning of certain kinds of human experience. The researcher invites participants to describe specific events, circumstances, or situations in their lives, then analyzes and discusses emergent themes in the data.

- Ethnographic methods, which seek to understand ethnic, cultural, and religious traditions in collective life. Researchers gather data in open-ended interviews and/or observations of group members, then analyze it using phenomenological, hermeneutic, or some other qualitative methodology.

- Hermeneutic methodologies, used to interpret human works to criticize or further develop concepts, theories, or philosophical foundations in the field of psychology; articulate relationships among aspects of different theories; or amplify a psychological construct within a cultural, historical, or philosophical context. Hermeneutic research is generally theoretical in nature and uses textual or arts-based data.

- Heuristic methodologies, useful in heterogeneous studies drawing on a mixture of participant, text, or arts-based data that emphasize exploration and discovery. They also include a specific, experiential method emphasizing self-study developed by the humanistic psychologist Clark Moustakas.

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

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.

Materials (If Appropriate)

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 or Myers Briggs Types Indicator. Please note that many of these scales are copyrighted and are not in public domain. Please contact the publishers or authors of each instrument you used for permission. 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.

Ethical Concerns

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:	In most cases, Pacifica recommends against the use of patients for research purposes when such research would take place concurrent with a therapeutic relationship. Such a situation can constitute a dual relationship—that of researcher and psychotherapist. The use of past or terminating patients for research presents less difficulty. Nevertheless, care must be taken that consent is indeed freely given, and that the pursuit of research does not harm the therapeutic relationship. At all times the researcher must maintain an awareness of the potential impact on the patient and on the transference situation, which may extend beyond termination. Students should consult with their chair on gaining approval for research projects that involve current or past patients. Case material that is used in such a manner that the patient may recognize 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. The use of case material should be discussed with the dissertation chair as a part of the ethics approval process. Of course, measures to conceal the identity of the patient must be employed.

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.

For participant-based studies, researchers should discuss relevant ethical concerns having to do with the use of human participants as well as the researcher's own integrity in the conduct of the study. At a certain time during their coursework training, students will be required to complete free online training developed by the National Institute of Health on ethics in studies with human participants. The chosen research methodology significantly determines the content of this discussion. It is the researcher's obligation 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, this section must include a brief discussion of the intention to comply with standards established by the American Psychological Association, 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. Pacifica Graduate Institute's specific institutional requirements for gaining approval from its Institutional Review Board are described below.

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 ethics application form, along with the dissertation proposal, to their chair. If the study does not propose to use participants, the form is a simple one-page document that declares this. It requires only the chair's signature for approval. If participants will be used in the research, the chair, in consultation with the program's research coordinator, must approve the application before final acceptance of the dissertation proposal and before students begin gathering research data. If the student has followed the guidelines for using human participants, the ethics application will be approved promptly.

Attaining Approval of the Ethics Application

Ethics applications proceed through the following steps:

1. The dissertation committee reviews and approves the proposal, which describes the research design, including a discussion of ethical issues.

2. Once the proposal has been approved by the entire committee, the student submits the completed ethics application to the dissertation chair, who reviews it. If the study will use human participants, the chair forwards the application to the research coordinator for review.

3. The research coordinator carefully reviews the ethics application and discusses any necessary revisions with the chair. The chair works with the student on the revisions until the ethics application meets the research coordinator's approval. If the research coordinator deems it is necessary, he or she may seek additional levels of ethical review from internal or external experts.

4. Once the ethics application is complete and approved, the chair and the research coordinator sign the form and forward the application to the Dissertation Office.

5. The Dissertation Office notifies the student of the approval of the ethics application by mail.

Students who encounter irresolvable conflicts with the research coordinator may seek redress with Pacifica's Education Council.

Important

A signed approval form allowing the student to use human participants, along with the dissertation proposal acceptance forms, must be on file in the Dissertation Office before any work is done with or data gathered from participants.

For further resources and information, see the sections on ethics included in relevant references in the section as 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.

Using Case Material

Many dissertations and the publications that result from these dissertations use case material. Often the process and presentation of these materials present 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).

Sample Ethics Application

On the next pages, there is a sample of an ethics application to help students who propose to work with human participants.

Ethics Application for
Putting Asunder: Men and the Myth of Divorce
Abstract

For over a hundred years, depth psychology has plumbed human experience to explore the roots of psychological suffering, and has attempted to make some sense of the human condition. Divorce is a relatively new phenomenon in many cultures, but has become more widespread in recent decades. Court systems in many states have sought to tie fathers to their families with enforceable child support laws on one hand while holding out the promise of continued fathering and co-parenting on the other. This often leaves today's divorced man in some form of ongoing relationship with his former spouse. It keeps him within earshot of the echoes of his divorce, which has been described by many men as one of the most difficult periods in their lives.

As a psychotherapist, I have worked with many men in various stages of divorce who have endured great suffering, often silently, in ways that transcend the usual rough patches or hard times in life. This phenomenological study attempts to shed some light on how men conceptualize divorce, how they move through the process, and what depth psychological and archetypal underpinnings frame this process. By exploring how men fare during the process of separation and divorce, the study attempts to provide a framework for what many experience as a time of tremendous internal upheaval. Data will be gathered in one-on-one interviews with a small group of five to eight men. Responses will be analyzed within the contexts of masculine acculturation and depth psychology.

The central question posed by this study is, "What is happening psychologically to men who are struggling in the middle of a divorce?"

Methodology

This study will use a qualitative phenomenological research approach to examine the lived experience of those who share a similar event—divorce from the mother of their children—in order to arrive at a description of the universal essence of that phenomenon. With this approach, the researcher attempts to suspend judgments about divorce and bracket out any psychological speculation in an attempt to more fully witness the participants' own primordial experience of the phenomenon in the effort to discover its essence.

Participants will respond to a few broad, open-ended questions about their experience of divorce. Interviews will be recorded and transcribed. A systematic phenomenological data analysis will be performed beginning with coding the data and identifying themes, significant statements, quotes, or affects that capture the participants' experiences of divorce. From the significant statements and themes, I will identify textural and structural descriptions of participants' experiences and the contexts in which they were experienced. From these textural and structural descriptions, I will write a composite description in hopes of capturing the essence of the experience of divorce for men who, because of the child or children they share, have an ongoing relationship with their former spouse.

Participants

Eligibility Requirements

A group of five to eight divorced men will be included in this study. To be eligible, participants must (a) identify as male, (b) be separated for at least 12 months and divorced for not more than five years, (c) be between the ages of 35 and 65, and (d) have least one dependent child with their former spouse.

Screening

A brief screening interview will be conducted either by telephone or in person at the researcher's office. Potential candidates with a history of significant mental health issues will be screened out. This screening will be used to identify potential candidates who are self-aware, reflective, and able to verbally convey the felt sense of their experience of divorce.

Recruitment

A pre-approved flyer will be used to advertise for participants in this study. The flyer will be posted in local coffee shops and eateries. It also will be emailed to local marriage and family practitioners, other mental health practitioners, family law attorneys, and, with prior permission from facilitators, flyers will be distributed at local divorce groups and men's group meetings. The flyer will inform the interested individuals that their participation in the study is entirely voluntary and will have no adverse effects on any prior relationship to therapists, attorneys, or support groups where they found or saw the flyer.

Procedures

Once identified, the selected group of five to eight men will be interviewed individually at my office for the purpose of studying their lived experience with the phenomenon of divorce. If participants are unable to meet at my office, a suitable private location will be mutually agreed upon.

This qualitative phenomenological study will be carried out in three steps:

The first step is a screening interview, via phone, in which I will determine if the interested person is eligible to participate. If eligible, the participant will be given following information verbally:

"You will be participating in a study on men who have gone through divorce. Your
confidentiality will be protected, and you will be given an opportunity to review and
edit any material that you share. When we meet, you will be asked to tell me the story
of your divorce. You will be asked to share your thoughts and feelings as you went
through divorce, as well as anything about your beliefs or your set of circumstances
that influenced the process."

This information will also be part of the informed consent form distributed to participants
in the next step.

The second step is the initial meeting in person; participants will be interviewed using
the following prompts:

1. Tell me the story of your divorce.

2. What factors influenced or affected your experience of divorce?

3. How do you think shared parenting affected your divorce experience?

4. What, if anything, has surprised you about this experience?

5. What are the most difficult things to admit when talking about your divorce?

6. What do you know now as a result of the divorce experience?

7. Were there any dreams, images, recurring thoughts, or anything else unusual that
   arose during that time that you can recall? If so, please describe them.

At the end of the interview, each participant will be given the following information and
invited to do the following:

"After thinking about your time here today and your experience of divorce, write
a poem or draw or find an image of what you would like people to know about
what the experience of divorce has been like for you. Also, pay attention to your

dreams, and if there is one that you remember and would like to share, be sure and write it down. You can share any or all of these with me when we meet next time to discuss the transcription of today's interview."

All interviews will be recorded, transcribed, and coded by the researcher. A thematic analysis will be performed on the data, and results and conclusions will be drawn from the data and analysis.

In the third step, participants will be given a copy of their interview transcriptions for their review. Within a few weeks, a follow-up 60-minute interview will be conducted with each participant so that they may have an opportunity to comment upon, clarify, edit, or add any additional information. This interview will also be recorded.

Risks and Safeguards

The American Psychological Association's policies and procedures for conducting human research will be followed. Two primary areas of risk have been identified for participants in this study. First, participating in psychological research can be psychologically activating. Many men are acculturated to hide their pain and their emotions. Therefore, interviews about a painful time in a man's life could be activating, and could also expose old wounds. Each participant will be notified of this inherent risk in the Informed Consent Form, and he will be provided the opportunity to opt out of the study at any time. Three referral sources for therapeutic support will be provided for any participant deciding to opt out, as well as for any participant who requests additional support.

Follow-up phone calls to participants will be made at a 3-day and a 30-day interval after the initial 90-minute interview to assess for any potential mental health issues that may have arisen as a result of the interview. A brief assessment will also be

conducted during the 60-minute follow-up session. A phone call to assess for any mental health concerns will be made to participants 14 days after the final 60-minute follow-up session. During the interviews, participants may refuse to answer any question and stop the interview with no consequences. If participants request additional support, I will provide them with three referrals for local mental health practitioners, which they may contact and work with at their own expense. Finally, participants may be excused from the study at any time upon request.

Inadvertent breach of confidentiality is the other risk for participants in this study. Every effort will be made to ensure anonymity for the participants, and that their confidentiality is protected. The names and any other information that could potentially be used to identify a participant will be changed or omitted. The confidentiality of family members, extended family members, former spouse(s) and children mentioned during interviews will also be protected in a similar manner. Recordings will be stored in the memory of the recording device with a backup copy stored on a jump drive. All devices and written records will be stored in a secure location. Recordings will not be uploaded to cloud-based servers. If analyzed on a computer, all data will remain password protected on a local non-networked laptop. Finally, all recorded materials and identifying data will be destroyed at the conclusion of the study.

Benefits

Participants may find some personal benefit from an in-depth reflection and discussion of the impact of divorce. Benefits might include some relief from psychological suffering, easing of tensions, the gleaning of new insights, and/or some somatic relief. Further, participation may provide additional insight into the nature of the

suffering that many men experience in divorce. In the broadest sense, it is hoped that participating in this study serves the community at large.

Informed Consent for Participation in a Psychological Study on Men and Divorce

I understand that I will be participating in a psychological study performed by [INSERT RESEARCHER'S NAME] in partial fulfillment of requirements for a doctoral degree at Pacifica Graduate Institute . This study is concerned with men and their experience of divorce. I understand that this study will consist of three parts: (a) a 90-minute recorded interview, (b) a review of the interview transcription, and (c) a follow-up 60-minute review meeting.

Participation

I understand that in order to participate, I must (a) identify as male, (b) be separated for at least 12 months and divorced for not more than five years, (c) be between the ages of 35 and 55, (d) have least one dependent child with my former spouse. I agree to meet in person for one 90-minute interview regarding my experience of divorce and agree to have the interview audio recorded. This meeting will take place at the researcher's office located at [INSERT ADDRESS], or some other mutually agreed upon private location. I understand that I will be asked to reflect upon and answer approximately a half-dozen open-ended questions about my experience of divorce.

The researcher will transcribe the interview and provide me with a copy of the transcription afterward for my review. I agree to meet again at a mutually agreed upon time for a follow-up 60-minute discussion. At that time, I will have the opportunity to further comment upon, correct, edit, or add any additional information to the transcript of the first interview. Further, if I so choose, I may share a poem, an image, or a dream that may have arisen after the interview process or the recollection of my experience of divorce. If my poem, image, or dream is included in the dissertation, I will have an opportunity to review it before publication.

I understand that the dissertation will be published by Pacifica Graduate Institute and will be publically available.

Risks

I understand that my participation in this study may be psychologically activating. As with any psychological study, or any exploration of psychological material, difficult or confusing feelings, thoughts, or somatic symptoms may arise, not only about divorce but also about earlier or other life events. I understand that my participation in this study may produce a range of thoughts, feelings, and emotions of varying intensity and/or duration.

Safeguards

At any time before, during, or after the completion of this study, if I become uncomfortable, I can (a) decline to answer an interview question; (b) choose to opt out of the study; and/or (c) ask the researcher for referrals to therapy or counseling resources to process material arising from participation. I understand that my participation in this study precludes the researcher from acting as a therapist. This would create a dual relationship and is prohibited. Thus, the researcher will provide at least three referrals in the event that I need therapeutic support, but I will be responsible for paying any counseling fees.

I understand that every effort will be made to ensure that my confidentiality will be protected at all times. My name and any other information that could potentially be used to identify me will be changed or omitted. These same protections will be extended to my family, extended family, child(ren), and former spouse(s) who may be mentioned during the interviews.

All recorded materials will be stored on password-protected devices, and/or devices that are stored in locked containers. At no time will any recorded material be uploaded to cloud-based servers, be made available on the Internet, or placed in a situation where confidentiality could be compromised in any way. All written records will be stored in a secure location. If analyzed on a computer, all data will remain password protected on a local non-networked laptop. At the conclusion of the study, all recorded materials will be destroyed. All identifying data will be destroyed as per protocol at the appropriate time.

Benefits

By agreeing to participate in this study, I may find some benefit in an in-depth reflection and discussion of the impact of divorce. These benefits might include some relief from psychological suffering, easing of tensions, the gleaning of new insights, and/or some somatic relief. Further, my participation may provide additional insight into the nature of the suffering that many men experience in divorce. My participation, in the broadest sense, may serve the community at large.

I have read and understood this Informed Consent notice, and with my signature below, hereby give my informed consent to be a willing participant in this psychological study under the terms and conditions listed above. Further, if I share a poem, image, or dream from this experience, I grant [researcher's name] permission to include a portion or all of that material in the final doctoral dissertation. I understand my confidentiality will be protected in the use of any and all materials.

The information about this study has been provided to me by the researcher, [RESEARCHER'S NAME]. If I have further questions, I may contact the researcher via

email at [RESEARCHER'S EMAIL] or by calling [RESEARCHER'S PHONE

NUMBER]. I may also contact the faculty member at Pacifica Graduate Institute who is

supervising this research study, [RESEARCHER'S DISSERTATION CHAIR], at

[CHAIR'S PHONE NUMBER].

Participant Signature: _____ Date: _____

Participant Name: _____

Phone: _____ Email: _____

Researcher's Signature: _____ Date: _____

Researcher's Name: _____ [INSERT NAME] _____

Contact Information: _____ [INSERT PHONE # & EMAIL] _____

Supervisor's Name: _____ [INSERT NAME] _____

Contact Information: _____ [INSERT PHONE # & EMAIL] _____

Research Instrument

for Participation in a Psychological Study on Men and Divorce

This qualitative phenomenological study will be carried out in three steps with a group of five to eight men selected for participation in this study.

The first step is a screening interview, via phone, in which I will determine if the interested person is eligible to participate. If eligible, the participant will be given following information verbally:

"You will be participating in a study on men who have gone through divorce. Your confidentiality will be protected, and you will be given an opportunity to review and edit any material that you share. When we meet, you will be asked to tell me the story of your divorce. You will be asked to share your thoughts and feelings as you went through divorce, as well as anything about your beliefs or your set of circumstances that influenced the process."

This information will also be part of the informed consent form distributed to participants in the next step.

The second step is the initial meeting in person; participants will be interviewed using the following prompts:

1. Tell me the story of your divorce.

2. What factors influenced or affected your experience of divorce?

3. How do you think shared parenting affected your divorce experience?

4. What, if anything, has surprised you about this experience?

5. What are the most difficult things to admit when talking about your divorce?

6. What do you know now as a result of the divorce experience?

7. Were there any dreams, images, recurring thoughts, or anything else unusual that arose during that time that you can recall? If so, please describe them.

At the end of the interview, each participant will be given the following information and invited to do the following:

"After thinking about your time here today and your experience of divorce, write a poem or draw or find an image of what you would like people to know about what the experience of divorce has been like for you. Also, pay attention to your dreams, and if there is one that you remember and would like to share, be sure and write it down. You can share any or all of these with me when we meet next time to discuss the transcription of today's interview."

All interviews will be recorded, transcribed, and coded by the researcher. A thematic analysis will be performed on the data, and results and conclusions will be drawn from the data and analysis.

In the third step, participants will be given a copy of their interview transcriptions and the analysis for their review. Within a few weeks, a follow-up 60-minute interview will be conducted with each participant so that they may have an opportunity to comment upon, clarify, edit, or add any additional information. This interview will also be recorded.

MEN WANTED!
PSYCHOLOGICAL STUDY ON DIVORCE

Must be ages 35 – 55

Going through divorce

At least one dependent child

Identify as male and heterosexual

Contact: [Researcher's Name, Phone number, and email]

Submitting the Intellectual Property and Copyright Infringement Form

Students engaging in 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.

- 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 that students understand the rights and responsibilities, they are required to complete, sign, and submit an Intellectual Property and Copyright Infringement Form to the dissertation chair along with the dissertation proposal.

Guide to Intellectual Property and 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. This is especially true for musical works by contemporary artists. In reaction, the RIAA (Recording Industry Association of America) recently launched a series of lawsuits against music duplicators, music file-sharers, and the like. While copyright law allows for only 10%, but not more than 30 seconds, of a song to be reproduced for academic means, some individuals have successfully argued their cases—some have not, which is why it is best to err on the side of caution. Imagine receiving a cease and desist notice regarding the use of a song after the dissertation has been published. Therefore, this information serves as a guideline regarding current practices in intellectual property, but students are still personally responsible for complying with copyright law. The good news is that the completed dissertation will also be protected by these principles.

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).

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

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, dissertations 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.

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.

Requesting Permission to use Copyright Protected Materials

It is ideal for students who would like to use copyrighted materials in their dissertation to formally request permission from the copyright holder early in the dissertation process. Some copyright holders have forms available online to request permission. If such a form in unavailable, students will need to write to the copyright holder to request permission. Below is a sample letter that students can adapt to request permission. If permission is granted, students should save a copy of the permission in their personal files and send a copy to the Dissertation Office to be held in their student file.

Dear (Name of Copyright Holder),

My name is _____ and I am a student at Pacifica Graduate Institute (249 Lambert Road, Carpinteria, CA 93013, USA) working towards a PhD in Clinical Psychology. As a part of my degree requirements, I am writing a dissertation entitled, *Title of Dissertation*.

I am emailing you to respectfully request permission to reproduce the figure "Name of Figure," found on page __ of Author's Name book *Name of Book* in my dissertation. If granted permission, I will use the standard scholarly form of acknowledgment, including the figure title, author, book title, publisher, and year of publication, unless you specify otherwise.

When my dissertation has been finalized, it will be printed and stored in Pacifica Graduate Institute's Research Library. It will also be made available on ProQuest/UMI (online database of academic writings). I will not be making a profit from my dissertation.

I would greatly appreciate your consent to my request. If you require any additional information, please do not hesitate to contact me. I can be reached at: (your email address) Thank you for your thoughtful consideration.

Sincerely,

Your Name

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 doctoral.-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 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

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 research coordinator 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, two signatures are needed to approve it: the chair's signature and the program's research coordinator.

3. The chair notifies the student of any changes necessary to gain its approval.

4. The Dissertation Office mails the student a letter when their ethics application has been approved by the dissertation chair and the research coordinator.

Students MAY NOT begin their proposed research until the Dissertation Office has received the student's approved ethics application. The Dissertation Office notifies students when their ethics application has been approved only if the student uses human participants. For the dissertation proposal to be formally approved, the following forms must be submitted to the Dissertation Office: (a) Intellectual Property & Copyright Infringement form, (b) approved ethics application, and (c) three Proposal Approval Forms (one from each committee member). When the Dissertation Office has received all of these forms, the proposal will be formally approved. At that time, students receive email confirmation of proposal approval from the Dissertation Office.

Step Five: Completing the 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.

At this point, the Dissertation Office will begin the processes that will help students segue into Step 6 (preparing the manuscript for publication) of dissertation writing and Step 7 (oral defense). For students, this means:

- working with the committee chair to write a dissertation abstract of no more than 250 words formatted according to Pacifica/APA 6th edition guidelines

- working with the Dissertation Office to create and approve the format of the title page

- preparing a final copy of their complete dissertation, including all front matter, and sending it to the Dissertation Office

- planning the presentation for the oral defense

- working with the chair to secure the scheduling of the oral defense

Students need to be sure to check their Pacifica email account at this time, otherwise the student may miss crucial informational emails from the Dissertation Office.

Final approval of the dissertation by committee members must take place within a period of dissertation enrollment.

Carrying Out the Research

Once the ethics application, intellectual property and copyright form, 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 based (theoretical) dissertations are typically 80-120 pages. In contrast, quantitative, participant-based studies are typically 60-80 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 180 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.

End Matter

Following the body of the dissertation is the end matter. This consists of the References, including listing of books and articles that are cited in the body of the work—and the Appendixes, which contain any original materials of one kind or another referred to in the text.

The *reference list* demonstrates the authority behind students' research and provides readers with information about how they can locate the sources that were used. List references according to standard APA style (6th ed.). Be sure to see this handbook's discussion on exceptions to APA guidelines listed in step six. *It is important that original (or primary) sources of information be used when citing references.*

The *appendixes* will include all of the material that surrounds the research design and implementation. This would include copies of tests or materials used, written instructions that accompanied such material, informed consent forms, research instruments that were used, or the protocol descriptions provided by the participants.

Appendixes

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. Appendices should be given letters, not numbers.

Computer printout material can only be included in an appendix. It should be recorded on good quality white paper.

Assembling a Complete Manuscript for Dissertation Committee Review

When assembling the dissertation into its final form, 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 and degrees of the student's doctoral committee will also appear, the chair first, so identified, and the others following. Title pages no longer bear the signature of the committee members out of concern for identity theft.

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 title page. It should include the student's full legal name and, at the top right, the month, day, and year the final draft was approved. See the sample later in this chapter. 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. A sample Abstract page is included in this section.

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. (ProQuest/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 later in this chapter.

Dedication and Acknowledgments

Students have the option to include a page with a brief note of dedication and/or an acknowledgment page(s) of help received from particular persons. Students must include dedication or acknowledgements page(s) in the final draft that is sent to the proofreader for these pages to be included in their dissertation. Dedication" or "Acknowledgments" is a level-one heading and the paragraphs are the font Times New Roman, 12 point, 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 bottom of the last page of the Table of Contents, include a style note 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* (2019-2020).

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 writers must have more than one heading at each level in each section of a chapter—just as with standard outline format, wherein writers 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.

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, its title, or the title of the image in italics, name of the artist, source of the figure/image, brief explanation of the figure, copyright year, and either the phrase "Reprinted with permission from copyright holder" or "Public domain." The following is an example of a caption for a copyrighted image:

Figure 1. View of Sigmund Freud's Office by Sarah Johnson. Sigmund Freud's office in Vienna contains a desk, books, couch, and hundreds of small sculptures. Copyright 1995 by The Art Institute of Chicago. Reprinted with permission from copyright holder.

The figure number and title is also used to compile the List of Figures (briefly described next), which is part of the front matter of the dissertation following the Table of Contents.

Please note if copyrighted images, charts, figures, etc. are used, written permission from the copyright holder is required. Submit a copy of written permission to use copyrighted material to the Dissertation Office.

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.

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.

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.

Running head: SHORTENED TITLE

Title Page Template

(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 Psychology

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

SHORTENED TITLE   ii

Copyright Notice Template

Copyright [year of final draft approval] by

(Student's Legal Name as Printed on Title Page)

(Please note that in the actual dissertation, ii should be placed in the upper right-hand corner of the page)

Abstract Page Template

Abstract

(Title of dissertation as printed on title page)

by

(Student's Name as printed on title page)

(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 keywords 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.)

Keywords: keyword1, keyword2, keyword3, keyword4, keyword5, keyword6

Formatting the Text

The text of the dissertation follows the table of contents. If students include an introduction, this will be the first page of the text. (Remember that the first page of text is not numbered.)

APA Quotations in the Text

- Alter the initial capitalization of quoted material, as needed, to blend with the text.

- Do not add an ellipsis at the beginning or end of quoted material. Use an ellipsis only to indicate omitted text from the middle of a quotation. Short quotations, 39 words or less, appear in the body of the text enclosed in quotation marks. If the short quotation includes a direct quote, use single quotation marks to enclose it.

- Long quotations, 40 words or more, are set apart in their own text block. Single-space the block quote and indent the entire block 0.5" from the left margin, without further indenting the first line of the block quote. Do not enclose the block in quotation marks. If there is a quotation within the block, enclose it in double quotation marks. If the block quote extends to multiple paragraphs, indent the first line of each new paragraph.

APA Citations in the Text

- Cite author and date anew in each new paragraph. Within a paragraph, don't repeat the date after the initial citation, unless citing multiple authors and need the information for clarity.

- Always include page numbers for direct quotations, citing a specific page range when necessary: e.g., (pp. 28-29) rather than (pp. 28ff). When using an author's ideas, but not quoting directly, page numbers are strongly encouraged.

- 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 (1979/1997).

- When citing Jung within the text, always include the publication dates and page number. It is optional to also provide volume number and paragraph information enclosed in square brackets. For example: (Jung, 1937/1968, p. 29 [*CW* 12, para. 206]).

- Cite personal conversations, interviews, telephone conversations, and letters in the text this way: (J. O. Reiss, personal communication, April 18, 2001).

- Cite journal entries and dreams in the text this way: (Author's personal journal, September 18, 2002) or (Client's dream, August 8, 1994).

Footnotes

APA discourages the use of footnotes or endnotes. If you choose to adopt them, use them only for textual commentary or amplification, never for simple citations, and follow the APA manual consistently.

References

A section of references follows the dissertation text. An important aspect of scholarship is consistency between cited works in the text and notes and the list of references. 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 does not include texts that are not cited in the body of the dissertation.

Please note that 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.

Appendixes

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. 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.

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 Approval 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 Approval of Final Draft forms, students begin preparing the manuscript for publication, which includes:

- Working with the chair to finalize the dissertation abstract, if not completed before.

- Compiling front matter, chapters, and end matter into one document and submitting the manuscript to proofreading dedicated D2L account following instructions from 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, within the student's program time limit.

After the final draft has been approved by the committee, it is highly recommended that students review the entire work one last time before submitting it to the Dissertation

Office for proofreading. This includes making sure that all elements are present and that the manuscript conforms to APA format.

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-spaced throughout.

- Confirm accurate page numbers in the Table of Contents.

- Correctly and consistently format all headings and subheadings: the precise format depends on the number of heading levels in the manuscript (two, three, four or five levels).

- Check every citation within the text for proper APA format and verify that these citations are reflected in the reference list.

- 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.

Step Six: Preparing the Manuscript for Publication

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 (100–250 pages) done in good APA form ranges from $240 to $600. Students' proofreading 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.

After the committee has approved the final draft, students should review the entire work one last time to make sure all elements are there and it is as error-free as possible. If a committee member has approved the final draft with minor revisions, incorporate all revisions before submitting the manuscript for proofreading. All manuscripts are submitted for a plagiarism check, so be sure your citations are in order.

After the dissertation has been sent to the proofreader, content cannot be added or deleted. The only revisions allowed will be to correct grammar, punctuation, reference accuracy, and APA style as instructed by the proofreader.

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 D2L submission include:

- Documents must be submitted in Microsoft Word format (.doc, .docx)

- **File sizes must be less than 40MB**

- Pictures need to be saved in a JPEG format with a resolutions of 448 x 336 to 640 x 480, or equivalent before being inserted into a document.

- **Note: if your file is too large, here is a link for reducing image sizes to a manageable submission size**: http://www.picresize.com

- Personal computers doing uploads to D2L must have active Anti-Virus/Anti-Malware software installed.

- Personal computers doing uploads must have broadband Internet services (Cable, DSL, T1)

- Do not include special characters (+, -, /, etc.) in your document title. To use a date in the document title, please format like this: month_date_year

Working with the Dissertation Office during Proofreading

Once the Dissertation Office receives the manuscript, it is - forwarded to the Institute's APA proofreader within two business days. The proofreader reviews the dissertation and edits it in accordance with APA requirements. The proofreader returns the dissertation with notations for corrections to be made. The Dissertation Office will send this marked manuscript to the student for correction.

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 can be an 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. The proofreader sometimes includes in your notes items that need to be updated that are not marked in track changes. You are responsible for making all updates listed in the proofreader's notes.

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, delete the comment box.

4. For tracked changes, under the Review tab you can choose either (a) to accept changes one at a time, or (b) after reviewing the full dissertation, accept all changes in document.

5. If you discover a correction you believe to be incorrect, add a new comment that explains your concern.

6. Save the updated, clean 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, students will have made every correction the proofreader discovered the first time around. However, it is very common for mistakes or oversights to remain even after the most careful scrutiny. If so, the Dissertation Office will return the manuscript to the student for further work. This cyclic process—to the student for further corrections, back to the Dissertation Office for spot-checking—may need to be repeated more than once to ensure that all necessary changes have been incorporated. In fact, students should anticipate that checking and correcting the manuscript for errors may take a few months.

Final Dissertation Forms

Once a dissertation is proofed and corrected, and the student has successfully defended his or her dissertation, the dissertation 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 & Methodologies Form.

Dissertation Order Form

After the Dissertation Office receives all three approval forms from the committee, it sends students a set of forms to fill out and return. Among them is the Dissertation Order Form, which students use to specify the number of hard bound and paper bound copies of the dissertation they want. Students must order two hard bound copies, one for themselves, and one for Pacifica's library. Some students also order additional copies of the work for themselves and for family and friends.

Students are billed for all duplication and binding charges, so it is important to consider this cost when thinking about whom 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 $54 for the duplication (18 cents per page) plus $50 for the binding, with a total cost of $104. Each paperbound copy would cost $33 (11 cents per page). If a CD pocket is required, there is an additional $8.00 charge for each copy ordered. There is an additional $1 fee to print each page that contains a color image for both hard and softbound 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.

Library Catalog & Methodologies Form

A second form required by the Dissertation Office is the Library Catalog & Methodologies Form. The Pacifica Library uses this form to identify and list the methodology used in the dissertation in the library catalog.

ProQuest Form

A third form the Dissertation Office sends to students one the committee has approved the dissertation final draft has to do with digital publishing. All Pacifica dissertations are cited in Dissertation Abstracts International and a full text version goes into ProQuest Digital Dissertations, a 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 complete and submits to the Dissertation Office pages 4-6 of ProQuest/UMI Forms. The form also authorizes ProQuest to sell (at cost) copies of the manuscript. Pacifica requires students to apply for the copyrighting of your work, using this same form. ProQuest charges $25 for traditional publishing and $120 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.

Important

Students do not need to wait to send in the Dissertation Order Form, the Library Catalog & Methodologies Form, and ProQuest forms until their manuscript has been proofread and is ready for printing. Please send them 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 l7, section 101), Pacifica requires students to have a copyright of their dissertation. Once your degree has been posted, the Dissertation Office will submit your dissertation to ProQuest for publication. Before ProQuest publishes your dissertation, they will submit your application to the United States Office of Copyright on your behalf. Registering your copyright via ProQuest is the fastest and most efficient method currently available. Copyright of your dissertation will be granted in your name and a certificate from the Library of Congress is available upon request by contacting ProQuest.

Final Dissertation Bill

Once the Dissertation Office has received all three final dissertation forms listed above, and the proofreader has reviewed the manuscript, a dissertation bill will be created for the student. This bill will include the following fees: proofreader hours, copyright, publication, hard and soft bound copies, CD pockets (if applicable), and color printing (if

applicable). The final dissertation bill needs to be paid before the oral defense can be scheduled.

Publishing and Presenting the Findings (Optional)

In addition to ProQuest publication, students are encouraged to publish and present their work in other venues. This is especially important for students wishing to pursue academically oriented careers. The most obvious opportunity would be to publish your dissertation in the form of a journal article, in a chapter of a book, as a book. However, this depends on whether or not the results merit publishing. Sometimes the best designed dissertations converted into other printed forms do not produce publishable results. Students should consult with members of their committee regarding the advisability of and various strategies for publishing. This may involve a collaborative relationship in which students work with committee members to make the dissertation sufficiently concise for a journal article, or book chapter, or expand it to a book length. Committee members can advise students on which journals or publishers may be appropriate and the steps required for publishing. In addition to the dissertation, there may be opportunities to publish other material with various faculty members or practicum/internship supervisors. An excellent guide to publishing (and writing in general) is Sternberg's (2003) *The psychologist's companion: A guide to writing for students and researchers* (see especially Chapter 10: Standards for evaluating the psychology paper and Chapter 11: Submitting a paper to a journal).

Students are also encouraged to present their findings at professional conferences. Listings of conferences can be found in publications such as the *APA Monitor*, newsletters for other professional organizations (i.e., Society for Personality Assessment), professional organization websites, and online at http://www.conferencealerts.com/find.mv?Keywords=psychology.

Step Seven: Oral Defense

After students have submitted a publication-ready dissertation, have submitted all required forms, and are in good standing with the Student Accounts Office, they may begin the process of scheduling the final step, the oral defense. The Dissertation Office will send email confirmation to you and your dissertation chair when you are ready for defense scheduling.

Scheduling the Oral Defense

Scheduling the oral defense is a coordinated process involving the student, the chair, and the Dissertation Office. It begins when the student and the chair receive notification from the Dissertation Office that the student is cleared for defense scheduling. At that time, either the student or the chair initiates a conversation to determine a few workable days and times for all committee members that is a minimum of three weeks in advance. 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 everyone has agreed on a few possible dates, the chair, not the student, checks availability with the Dissertation Office. 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 flexible. Defenses are not scheduled during the first session of a new academic year or during holidays and holiday weekends.

Because announcements of the upcoming defense are sent to the student's cohort and it takes time to schedule, the earliest possible date is three weeks from the day the chair contacts the Dissertation Office on the student's behalf. For example, if the chair contacts the Dissertation Office on October 2nd, the oral defense would be scheduled no sooner than October 23rd.

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

The Dissertation Office sends out invitations to the student's classmates with the abstract included. . An e-mail announcement is also sent to faculty and staff. Your announcement and abstract are also posted on the Pacifica dissertation webpage (https://www.pacifica.edu/dissertation-oral-defenses).

Preparing for the Oral Defense

The oral defense takes place in a public forum at the Institute, and may include faculty, students, alumni, and invited guests. It is best if all of your committee members are present, but if that is not possible for geographic reasons or scheduling conflicts, a committee member may participate via the Pacifica's conference phone, by Skype, or by submitting written questions. Normally, it is the student's responsibility to provide any special equipment needed for the defense. However, the Institute can provide easels, chalkboards, a slide projector or an LCD projector and screen, a DVD player and television screen, and a portable CD player. Please notify the Dissertation Office at least 2 weeks in advance if any such special equipment is needed.

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 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 out loud or with a friend or family member before delivering it to the audience. Be aware of time constraints; you will need to condense and 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 do not understand a question, ask the speaker to clarify what he or she is asking.

- If you do not 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.

- Seek to not 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 oral defense as a meaningful experience.

Completion of Degree Requirements

The degree is posted by the Registrar when a student has successfully completed all academic program degree requirements—course work, publication-ready manuscript, and successful completion of the oral defense. (Pacifica encourages a student to allow a minimum of five days 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, a student can request from the Registrar's Office an official transcript commencement details.

Part 3:
Appendices

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

Appendix A: Core Clinical Psychology Department Faculty Research Interests

Avedis Panajian, Ph.D., ABPP
APanajian@pacifica.edu
Object relatives, Jung, Bion, Klein, Hillman; Psychopathology and culture; Primitive mental states; Attachment

Michael Sipiora, Ph.D.
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, Ph.D.
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, Ph.D., DHS
bbbarratt@earthlink.net or DrBarnabyBBarratt@Yahoo.co.za
Sexuality; Somatic Psychology; Healing Processes; Psychodynamic approaches to Bodymind functioning; Psychoanalytic Theory and Praxis; Existentialism and Spirituality; Liberation Psychology in Africa (and generally outside the North Atlantic orbit).

Michael I. Beiley, Ph.D.
mbeiley1@gmail.com
(805) 962-2869
Anxiety Disorders in Children and Adults; Obsessive-Compulsive Disorder; Forensic Evaluation; Cognitive Behavior Therapy

Toby Bobes, Ph.D.
tobybobes@gmail.com
Multicultural/systems perspective in working with couples and families; Narrative principles and practices

Joan Chodorow, Ph.D.
loujoan@mac.com
Natural healing function of imagination; Dance therapy; Body and psyche; Affect and image; Active imagination; Early development and symbol formation

Darren Del Castillo, Ph.D.
Darren.DelCastillo@sa.ucsb.edu
Masculinities studies, narrative analysis (qualitative research), brief psychodynamic therapy, psychoanalytic theory and practice, social anxiety, and interpersonal consequences of child maltreatment.

Delphine DeMore, Ph.D.
duffydemore@yahoo.com
(818) 757-3800
Trauma; Dissociation; Meditation; Attachment; Substance abuse; Spousal abuse; Theories of psychotherapy

Candace De Puy, Ph.D.
foxwoodC@aol.com
Mythology; Change and transformation; Creative imagination; Rituals; Eating disorders;
Nature and instincts; Mindfulness psychology; Feminist thought; Neuropsychology

Marcia Dobson, Ph.D.
mdobson@coloradocollege.edu
Relational Self Psychology; Jung and Archetypal theory; Third field/transitional
phenomena in the various psychoanalytic disciplines (e.g. Jung, Schwartz-Salant,
Winnicott, Ogden and so forth); Psychoanalytic studies in their connection with Classical
literature, myth, and religion.

Azarm Ghareman, Ph.D.
dr.ghareman@gmail.com
Cultural individuation; Ethnic identity; Social issues; Interphase of science, culture, and
psychology; Integration of Masculine and Feminine; Emergence of the positive
Masculine

Elisa A. Gottheil Ph.D.
elisantonieta@yahoo.com
Spirituality; Fetal alcohol spectrum disorders; Adolescent in the juvenile justice system;
Forensic evaluations

Mel Gottlieb, Ph.D.
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
Clinical psychopharmacology; Clinical work in areas of interaction between psyche and
soma

Ian Kaminsky, Ph.D.
iankaminsky@gmail.com
Addiction; Compulsive behavior; Greek mythology; Jungian and analytic psychotherapy

Vicki Rose Koenig, Ph.D.
vkoenig1@yahoo.com
(805) 252-0645
Clinical practice and theory; Supervision; Spirituality; Expressive arts, dance therapy and
clinical applications; Stress/anxiety and mindfulness and the application to clinical
practice and research and wellness; Health psychology and wellness coaching to enhance
lifestyle change and transformation.

Anson Levine, Ph.D.
alevine@calstatela.edu
Alchemy and transference
Dreaming; Spiritual life and psychotherapy; Active imagination

Christine H. Lewis, Ph.D., Psy.D.
clewisPh.D.2@gmail.com
Contemporary Psychoanalysis; Attachment; Trauma; Literature and psychotherapy;
Dreams; Spirituality and depth psychology; Development.

Enrique Lopez, Psy.D.
drelopez@yahoo.com; 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

Valerie Mantecon, Ph.D.
(949) 347-8755
Family systems; Ineffective thought/behavior patterns; Communication skills; Grief;
Feminist therapy; Issues of adoption

Barry Miller, Ph.D.
(310) 859-8246
Meaning and sexuality; Psychology and existentialism; Gay identity and individuation;
Dreams and transference
Pride

Jean Palmer-Daley, Ph.D.
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, Ph.D.
Loripye@gmail.com
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, Ph.D.
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Therapeutic issues; Theory and practice of psychotherapy; Intimacy/relation; Sexuality;
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