



PACIFICA  
GRADUATE INSTITUTE

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DEPTH PSYCHOLOGY PROGRAM  
DISSERTATION HANDBOOK 2020–2021  
*May Update*

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## Preface to the 2020–2021 Dissertation Handbook

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

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

All forms pertaining to the formal, procedural aspects of the dissertation process are available on the Dissertation Handbook & Forms web page available at <http://www.pacifica.edu/about-pacifica/pacifica-graduate-institute-student-services/pacificas-dissertation-resources>. Another indispensable aid to students anticipating writing their doctoral dissertations is the *Publication Manual of the American Psychological Association*, hereafter referred to as the APA publications manual. Students who registered for dissertation writing before Fall 2020 may use either the 6<sup>th</sup> edition (2009) or the 7<sup>th</sup> edition (2020) as the style guide. Students who register in Fall 2020 and later must use the 7<sup>th</sup> (2020) edition. All writing connected with the fulfillment of Pacifica Graduate Institute's doctoral dissertation research requirements—namely, concept papers, proposals, and complete, finished dissertations—are expected to consistently follow the guidelines.

Pacifica also requires, in accordance with our plagiarism and honesty policy described in the Student Handbook, that all research and writing adhere to the professional standards of the field of psychology. These standards, including a discussion of plagiarism, are described in the APA publications manual.

### Revisions to the Dissertation Handbook

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

## Dissertation Handbook Format

The dissertation handbook is formatted as a book, not in accordance with 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 2020–2021 Dissertation Handbook

The May Update of the 2020-2021 Dissertation Handbook reflects changes in dissertation administration at Pacifica. Students now email dissertation registration forms to the Registrar's office ([abristol@pacific.edu](mailto:abristol@pacific.edu)).

The 2020-2021 edition of the dissertation handbook reflects the following changes to policy and process:

- Students working with research faculty no longer fill out and submit a Concept Paper Approval form.
- The contents of the ethics application for the use of human participants has been modified. It now begins with a 200-word dissertation abstract rather than a lengthier discussion of research question, approach, and methodology.
- Pacifica no longer coordinates proofreading of complete dissertation manuscripts. Instead, once the final draft has been approved by the committee, students hire and work with a copy editor of their choice.
- Ordering printed, bound copies of the dissertation is now optional. Although students may want a personal copy, none is required for the Graduate Research Library.
- While the campuses are closed for residential teaching during the COVID-19 quarantine, students and committee members participate in the oral defense of the work via Zoom videoconference. When campuses reopen, the student and committee can choose between a residential defense and a Zoom oral defense.

# Part 1

## Introduction to Doctoral Dissertation Research in Depth Psychology

### A Statement of Vision

When depth psychology evolved in the West at the end of the 19th century, it was committed to describing and analyzing human experience. It understood that individuals do not have full access to their experience—alongside consciousness, there is an unconscious dimension—which required a different approach to research and methodology than the approach adopted by the natural sciences. Depth psychological research draws upon earlier indigenous philosophies that integrate the unconscious, the natural world, and the more-than-human world as forces operating synergistically to inform epistemological assumptions. Thus it opens up the field for consideration of realities that extend beyond provable facts alone, and are often constituted by what is unseen, and might be verifiable only in non-traditional ways. We recognize that to exclude such realities and the ways of knowing that construct them is to truncate our relationship to the psyche to an unacceptable degree.

Depth psychological research has long been aligned with the philosophical approach of phenomenology because of its commitment to describing lived experience and illuminating its meanings. Out of this alignment, a variety of qualitative methodologies has arisen. Though these methods were initially derogated by mainstream academic psychology modeled on the natural sciences, they are presently seen as contributing valuable knowledge that was largely missing from mainstream approaches to research. At Pacifica the method must follow the topic and the nature of the inquiry. If the chosen method does not serve, another must be found that does. Our methods and our approaches to scholarly research must be responsive and accountable to the depths and complexities of human experience and meaning, to what is sometimes called “soul” or “psyche.” This requires us to continually clarify and develop research methodologies that allow us to truly see into the field and the subject of depth psychology. In this regard, methodological innovation is not only an option, it is an intention. Our program eagerly takes responsibility for an ongoing critical appraisal of research methodologies and promotes innovative approaches to psychological research.

Pacifica also holds a deep commitment to the idea that psychology is not always best when it is a stand-alone discipline. There are times when the most profound understandings of the psyche come from other disciplines including mythology, literature, anthropology, cultural studies, philosophy, the arts, ancient and indigenous medicines, and religion. This was well understood by both Freud and Jung, who, as the chief progenitors of depth psychology in the Euro-Western intellectual tradition, criticized the limitations of descriptive psychiatry that focused only on medical diagnosis, practice, and measurable phenomena. For centuries prior to the emergence of depth psychology in Europe, in most other parts of the world, epistemological assumptions and cosmologies included a multiplicity of influences including most of those listed above, as well as sources of knowledge gleaned from the unconscious. This openness to an interdisciplinary component invites students to develop a symbolic attitude and a metaphorical sensibility in their research and writing.



It is also important to understand and acknowledge the multiple contexts of our research. The discipline of depth psychology has contributed much to the widely held understanding that there is a reciprocal relationship between the knower and the known—that they constitute one another in the quest for knowledge and understanding. Therefore, as researchers we do not pretend to stand apart from our objects of study, but rather seek ways to acknowledge and articulate this complex reciprocal relationship between knower and known. We also do not pretend to stand apart from the context in which the study arises. Instead, we articulate as fully as possible the influences and limitations of our personal psychology, culture, history, language, and place that circumscribe our fields of study, prescribe our methods, and shape our interpretations. Dissertation research should always involve a critical review of its own contextual limitations and an explicit consideration of its own horizons.

The depth psychology program encompasses a number of specializations each of which focuses on particular types of research areas and questions. For this reason, each specialization's research approach has a focus on particular research methodologies and corresponding set of ethical concerns. These are described below.

### **Dissertation Research in Integrative Therapy and Healing Practices (DPT)**

From its beginning, this specialization has envisioned dissertation research as fully integrated with its commitment to therapeutic practice. Therefore, students continually reflect on how well their academic education reflects and supports therapeutic work and how therapeutic work is inspired and supported by good scholarship. Since the psyche is subtly embodied in the sacred relationship between therapist and client, research topics often arise from the students' professional work. A student's dissertation topic may be metaphorically arriving for a session in their office every week.

Just as we consider the context and history of the family, the community, and the culture in our therapy work, we see the researcher and the research project in a similar context. Often such contextual limitations may actually be horizons—invitations to change established positions within the fields of therapy, its theories as well as its practices, to see things differently. A thoughtful review of the field is both critical and creative, addressing issues that may have gone unnoticed or unsaid within the main stream of therapeutic thinking and remedying this inattention in a respectful, scholarly manner.

### **Dissertation Research in Somatic Studies**

Students in the somatic studies specialization are asked to think across professional and disciplinary boundaries to consider the absence of embodied pedagogies and research methodologies in traditional Western models of scholarship, and to reflect on how those absences have perpetuated the divide between somatic depth psychology and our capacity to effectively respond to real world problems – including current crises in healthcare, education, leadership, and social justice. It is our intention to bridge this gap with an understanding that research is inherently transformative when embedded in the interdependent and inseparable phenomena of body, mind, and spirit.

A primary epistemological stance of the somatic studies specialization is that knowing and being in the world includes embodied and psyche-centered approaches to knowing that attenuate interpretive biases. This epistemology is applied, in part, by

investigating the interoceptive and intercorporeal perceptual capacities that enhance a sense of presence and agency in the world. By applying embodied research methods with qualitative inquiries (including phenomenology, ethnography, narrative inquiry, and grounded theory) our students challenge philosophical assumptions and Eurocentric paradigms that privilege mind over body.

Somatic based depth psychological dissertations reflect the diversity of our students' professional and scholarly interests. For some who have a somatic-oriented clinical practice, dissertation research is an opportunity to explore an issue arising out of work with their clients. Other students are inspired to research the lived experience of the body in educational contexts, among disenfranchised communities, or in particular geographic environments. What unites this variety of focal points is the remembrance of the body in depth psychological inquiry—recalling its voice, observing its movements, attending its symptoms—and seeking to make a modest yet original scholarly contribution toward understanding the psyche-soma connection.

### **Dissertation Research in Community, Liberation, Indigenous, and Eco-Psychologies (CLIE)**

In CLIE, research is understood as a critical tool for individuals and communities to further define their pressing concerns, and develop grounded strategies to create together transformative social change that nourishes the well-being of individuals, communities, and the environment. A fundamental attitude for research in this specialization is the rupture of subordinating forms of human and other-than-human relations, through the creation of reciprocal, dialogical, critical, and holistic relationships and approaches to knowledge generation and collaborative action. For these reasons, our specialization's approach to research is based on a set of methodological foundations: participatory and qualitative methodologies, arts-based, and Indigenous methodologies that suggest the kinds of inquiry and praxis that address social, liberatory, and environmental justice concerns. All require careful attention to relational and ecological ethics (see "[Ethical Guidelines for Community/Ecological Fieldwork and Research](#)"), in addition to the APA ethics guidelines in this handbook. We seek to deconstruct and reject methodologies that support or reproduce structural and other forms of violence, damage-centered narratives, coloniality, decontextualized and researcher determined approaches prior to invited dialogical engagement with community members. For this reason, CLIE highlights emic approaches to research, with close attention to the role of ecological place, as well as ongoing reflection on one's own positionality and its potential effects.

Our research goals reach beyond knowledge generation to impact issues of social justice, peacemaking, and environmental sustainability, with particular attention to the centering of epistemologies that have historically been devalued and silenced. We embrace Indigenous research methodologies that decenter Western regimes of knowledge and are based on relational, inclusive, and holistic paradigms. In this way, research becomes a tool for epistemic emancipation to co-construct pluralistic knowledges and implement solidarity.

These commitments shift research from being "on" or "about" "others," to being a mode of inquiring in horizontal relationship and collaboration *with* people about unjust conditions and concerns in ways that are meaningful not only to academia but to co-participants and those aligned with their advocacies and needed actions to effect social and ecological justice. For this reason, particular care must be given to how the research

relationship is constituted, as well as to the modes of the dissemination of findings beyond the creation of a dissertation for the student's own professional goals. Indeed, we welcome as part of the dissertation, alternative presentations that are suited to the community and its aims, including but not limited to, locally relevant written approaches, oral and visual methodologies.

### **Dissertation Research in Jungian and Archetypal Psychology**

The Jungian and Archetypal Studies specialization centers on the broad application of theory to a range of phenomena. Research pursued in the specialization is profoundly multidisciplinary at its core, engaging with ideas and practices in Jungian and archetypal psychology in relation to a wide range of other disciplines, from mythology and religion, science and ecology, to the arts and culture. The multidisciplinary, and even transdisciplinary, nature of research undertaken permits the creation of new knowledge arising from the creative coming together of diverse perspectives. This emphasis is consistent with emerging trends in academia and consistent too with the aims of constructive and integrative postmodernism. Such research therefore often takes place at the cutting edge of academic thought, transcending and challenging the paradigmatic boundaries of conventional disciplines. Emphasis is placed on the articulation of ideas in a format accessible and comprehensible to those outside of the field of depth psychology. In several respects, undertaking academic research in Jungian psychology mirrors the process of individuation in that one is called to engage with the psyche, to bring forth one's own creative insight by accessing one's own inner depths. The process is therefore aptly paralleled by archetypal and mythic models of descent and transformation, such as the hero's journey, the love story of Psyche and Eros or Isis and Osiris; the descent stories of Inanna, Persephone, or Orpheus; myths of shamans engaged in soul retrieval; and the plethora of creation myths. Doctoral research in this specialization also draws upon, explicitly or implicitly, the four pillars or moves of archetypal psychology, set forth by James Hillman: personifying, or imagining things; pathologizing, or falling apart; psychologizing, or seeing through; and dehumanizing, or soul-making.

In addition to the analysis and critical application of theory, we encourage our students to be reflective and reflexive by considering how complexes, archetypes, the persona, the shadow, projection, transference and countertransference, the tension of the opposites, and the transcendent function, may play a part in the research process. Although many of our dissertations predominantly involve hermeneutic methodology—the interpretation of texts—we also encourage multiple ways of knowing including dreams, visions, intuitions, active imagination, fantasy, synchronicity, art- image-making, and symbol-making, the wisdom that arises from somatic states, etc. We frame dissertation research as a significant part of the individuation process, with transformative and heuristic implications both for the researcher and for the field of depth psychology itself. We understand that all research is done in partnership with the creative, dynamic, autonomous unconscious.

### **The Purpose of Doctoral Dissertation Research**

The essential purpose of doctoral dissertation research is to make a worthwhile contribution to a field dedicated to understanding psychological life and to serving those individuals, families, groups, and communities who constitute contemporary culture as well as the *anima mundi* herself, the ensouled world. Such a contribution demonstrates doctoral

candidates' proficiency with the literature, language, and methodologies of depth psychology, as well as the area of their particular research.

It is important to remember that all the great figures upon whose lives and works our own efforts in psychology are built started their careers by gaining acknowledgement in and admission to their fields by conducting often modest studies of significant but relatively circumscribed problems and questions. In some ways doctoral dissertation research may be compared to the final piece of work that artisans once produced to be admitted to their guilds. Few expected their work to change history, but rather to demonstrate a high degree of proficiency and serve as a passport into professional life. Nevertheless, a dissertation writer should hope to break new ground and to offer a meaningful contribution.

### **Overview of the Research Process**

Research at Pacifica has a double burden: to contribute to the domain of depth psychology and to develop depth psychological approaches to understanding psychological life and service. 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.

#### *Approaching Research*

The research faculty of Pacifica Graduate Institute recognizes that all research, regardless of how objective it purports to be, grows out of a particular philosophical stance that defines the possibilities and limits of research. For example, even the most stringent experimental design is based on and colored by the philosophical assumptions of logical positivism. The recognition and understanding of one's own philosophical stance—which is shaped by temperament—is an invaluable resource in designing and conducting research.

The research approach is a philosophical stance towards knowledge that may draw upon a variety of methodologies; it is not a methodology in itself. Think of it as the researcher's *demarche*, from the French word that describes one's basic gait or way of walking in the world. It constitutes one's position vis-à-vis the nature of reality (ontology) and human knowledge (epistemology). For example, within psychology, two basic approaches include natural scientific psychology and human scientific psychology. Natural scientific psychology is akin to Dilthey's *Naturwissenschaften* (natural sciences), which espouses quantitative or calculative methodologies for psychological research. Human scientific psychology, akin to Dilthey's *Geisteswissenschaften* (human sciences), propounds more qualitative or contemplative methodologies for psychological research. Pacifica, in accord with its stated mission to tend the soul of the world, supports a particular perspective within psychology as a human science. This approach is centered on and guided by the psyche as an autonomous, creative partner in the work. It acknowledges the reality of the unconscious, recognizes the complexity, fluidity, and ambiguity of psychic phenomena, and respects multiple ways of knowing.

The choice of approach orients researchers to their topic and shapes and delimits both methodologies and findings. In choosing their own approach to research, students need to consider the nature of their philosophical assumptions about psychology, as well as their own position with regard to their research topic. In addition students should be self-reflexive and consider their own values and their impact on the research. Students' choice of a research approach is also significantly influenced by the focus and nature of their particular

research project. A key distinction to remember 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. For example, students may take a phenomenological approach to research (staying close to lived experience), without using phenomenology as a research methodology. Although students actually choose a research approach very early in the research process, this is generally not discussed explicitly until writing the methodology sections of the concept paper and dissertation proposal.

### *Imagining the Dissertation*

A great deal of preparation goes into the development and design of a doctoral dissertation research project. Much of this preparation occurs prior to ever putting pen to paper or fingers to keyboard. The first questions that face students in considering doing doctoral dissertation research are “What shall I research?” and “How shall I go about it?” However, a depth psychological approach to research recognizes that a number of attitudes and assumptions can significantly influence students’ decisions, and subsequent actions underpin these questions.

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. Such complexes underscore attitudes and beliefs that can easily hinder one’s progress. Three particularly common obstacles are worth noting here: insecurity, grandiosity, and misconstruing the intent of dissertation research.

### *Insecurity about Dissertation Research*

For many students, writing a doctoral dissertation presents psychological challenges in addition to the more obvious logistical demands. Insecurities may emerge about students’ ability, intelligence, worth, knowledge, and sheer capacity to create a meaningful piece of psychological writing. Since the completed dissertation is often the first permanent and universally available record of their scholarship in psychology, anticipating doing such substantive, important work often brings up the self-doubt that has plagued students in the past. Similarly, since most students have never written a dissertation before, or taken on any research project of this magnitude, it may awaken new levels of self-doubt.

Although few, if any, students find the writing of a dissertation easy, anyone who has completed their graduate coursework already has the capacity to complete this final assignment. Nonetheless, self-doubt may inspire students to honestly assess their work in a way that is critical without being self-demeaning. It may be helpful to conceive of doctoral research not only as an opportunity to make a contribution to the field, but also as an opportunity for self-knowledge, self-reflection, and self-development.

### *Grandiosity in Dissertation Research*

If insecurity is one potential pitfall for researchers, the opposite, grandiosity—which is a common feature of academic life—is just as challenging. For example, many students harbor wishes that their dissertation will change the whole field of psychology and significantly impact culture. Others have difficulty recognizing that their research rests on the contribution of scholars who have devoted entire lifetimes to research in psychology and that eminence in this field, as in so many others, is slowly earned over a lifetime of careful craft.

Grandiosity, like insecurity, grows out of longstanding complexes in students' lives. A healthy capacity for self-doubt, when balanced with a relatively healthy self-esteem, can serve as a critical psychic asset for the long and arduous work of dissertation research.

#### *Misconstruing the Intent of Dissertation Research*

Some students use the doctoral dissertation as a vehicle for demonstrating their authority. In such works, the tone of the writing can veer toward polemics, sacrificing the epistemic humility it is at the heart of most worthwhile psychological research. Critical theory research, however, asks students to adopt a well-defended stance. In such works, a strong, passionate, or provocative point of view towards an existing idea, belief, or practice can be an integral part of the research.

#### *Articulating a Research Topic and Question*

Perhaps the most significant feature of research is the identification and articulation of a passionate and worthwhile question. Pacifica's commitment to depth psychology makes special demands of students: the Institute assumes that students' research questions will grow out of important domains of their personal and/or professional lives. Students are required to identify the autobiographical origins of their research question and also to examine their predispositions or transferences to the topic.

Pacifica expects that the pursuit of the question, no matter how personally meaningful will also be relevant, meaningful, and useful for the field of psychology and other disciplines including cultural studies, history, religion, literature, organizational behavior, political theory, gender studies, disability studies, and so on. Finally, the researcher should determine the theoretical and/or therapeutic gap the research aspires to fill.

#### *Begin with Yourself*

Pacifica encourages students to begin with their own experience in life as persons and as professionals. What has a profound sense of vigor and relevance to you is likely to be valuable to others. However, a few words of caution are in order. First, consider whether the topic generates so much emotion that it is impossible to maintain the open, inquiring attitude that is crucial to good research. This may indicate that you have not adequately worked through the issue enough to insure adequate scholarly distance. How will you be steadily vigilant of your personal predispositions, transferences, and complexes in relation to the problem throughout the research process? Additionally, consider whether sharing personal material will compromise anyone in your life or you, professionally, in the future.

#### *Consider Others*

Once you have begun to have a sense of the general topic, ask how it may be of concern to others. How might future scholars use the work to advance their own? What insights into problems or issues might the work yield? How might the research findings be used in teaching, parenting, therapeutic practice, health care, business, or other applied settings? If the answers to all of these questions are unclear, the topic may lack theoretical or practical relevance.

An important aspect of identifying the significance of the topic for others is surveying relevant literatures in the field. This preliminary survey of published articles, books, and dissertations on the proposed topic has two purposes. On the one hand you

need to determine whether or not the topic you are proposing has already been addressed in the manner you intend. If yes, is the topic already too overworked to carve out a special undeveloped area or approach? If no, and there is little or no existing literature on the topic, is there sufficient justification for undertaking a topic that, on first glance, does not seem to concern others in the field? In such instances, the challenge is to determine whether the topic actually *should* be of concern to the field of depth psychology in spite of the lack of apparent historical interest.

### *Hone the Question*

One of the greatest difficulties beginning researchers have is developing an appropriate focus for their investigation. Students tend to be too general in their research aspirations. This hinders their ability to design an effective research plan that has a realistic chance of addressing the problem and answering the question within the reality of the dissertation clock. 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, approach to the problem.

When drawn to a field that has already been well-researched, it is useful to ask the question, “Why me?” What do you have to offer it? How have your life experiences prepared you to say something unique? Or, if you take seriously the reality of the autonomous psyche, why might psyche have selected you to research this topic?

Once having identified a research topic and problem, your challenge is to further sharpen and structure the research by formulating a specific research question. This may well be a lengthy process characterized by ambiguity as much as clarity. Often the researcher is confronted with the challenge of tending to what is unknown, in doubt, elusive, and unarticulated, “sitting with” the topic in the way a therapist sits with a patient. Eventually you will have to formulate an effective statement of the research area (the problem or opportunity), as well as a clear, robust research question.

Prudent researchers try to reign in their ambitions and focus on the least possible number of unknowns. There is nothing at all wrong and, indeed, much right with asking a single, carefully worded research question. Along with relevance, parsimony and elegance are preeminent values for researchers to embrace.

### *The Public Nature of Dissertation Research*

As you contemplate the research topic, be aware that Pacifica students must publish their work in a digital format via ProQuest/UMI, an immense database of scholarly work easily and quickly available worldwide. (Though ProQuest/UMI offers embargo options to delays publication, Pacifica does not allow it.) For very good personal and professional reasons, you should be judicious in what you choose to include in the final work.

### *Gathering Data*

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

### *Participant-Based Data*

Participant-based data are data that are gathered directly from selected research participants. The particular kind of data provided by such participants depends on the research approach and methodology. All participant-based studies deal with empirical data, that is, the actual, concrete responses in behavior, gesture and language of real persons. Naturally, since these data are obtained from the responses of human participants, 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.

Qualitative, participant-based data refers to various forms of descriptive data, that is, descriptions of human experience in written or recorded form. Such data may be gathered in a number of ways depending on the approach and methodology. Typical ways include individual interviews, focus groups, clinical observation, and writing field notes. Depth psychology is unique in defining what constitutes data because researchers always take the unconscious into consideration. Therefore, qualitative data includes dreams, waking visions, symptoms and synchronicities, among other phenomena.

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. Each qualitative methodology often contains specific instructions for how the researcher accomplishes such reflexivity. 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, of course, psychology.
- *Scholarly texts* might include works from literature, religion, history, or the arts.
- *Literary texts* include, for example, poetry, short stories, novels, folk stories, mythology, biographies, letters, or published diaries.
- *Theoretical texts* are works presenting perspectives on psychological life.
- Clinical data includes case notes and other descriptive data of a therapeutic client. It cannot be used in research without undergoing the ethics application process that describes how the researcher plans to secure informed consent, avoid harm, ensure confidentiality, and so on.



### *Arts-Based Data*

Research in depth psychology often draws upon material emanating from the arts. Primary arts-based data can include:

- Paintings, drawings, sketches, photography, sculptures, fiction, poetry, and multimedia productions
- The artistic creations of patients in psychotherapy or participants in workshops, focus groups, etc.
- Film, theater, music, and dance productions
- Cultural or ethnic ritual, dance, or song
- Historical artifacts such as ancient engravings or woodcuts (e.g., the Rosarium or Thurneisser woodcuts), or illuminated manuscripts (e.g., *The Red Book*)
- Architecture, archeological ruins, or the artifacts of ancient cultures

In most cases, arts-based data is used to supplement, corroborate, or strengthen findings grounded primarily in participant-based or text-based data. However, in some cases arts-based data provides the primary evidence upon which studies in depth psychology draw.

### *Heterogeneous Interdisciplinary Data*

Many if not most depth psychological dissertations are interdisciplinary. Researchers seek information in the natural and human sciences, from philosophy, literature, the arts, and the humanities to clarify, enrich, and even substantiate depth psychological findings. Given the historical heterogeneity of data, it falls upon researchers to justify their data choices with reference to their particular research topics and to respect the distinctive nature, possibilities, and limitations of each kind of data.

### *Analyzing Data*

Having developed a research question, identified a research approach, and decided the most appropriate data for the study, the next concern is choosing a method and procedure for analyzing their data.

### *Analyzing Participant-Based Data*

Participant-based data requires researchers to make sense of the body of information drawn from the responses of a select group of human participants. Researchers can conduct either a quantitative analysis, a qualitative analysis, or use a mix of qualitative and quantitative methods (known as mixed methods research).

*Analyzing quantitative participant-based data.* Participant-based quantitative data from a sufficient number of participants invariably require some form of analysis using specific statistical techniques. Initially, the outcome of such an analysis is given in mathematical language and usually presented in tables and charts. For instance, data may be analyzed with relevant statistical methods such as linear and multivariable regression, analysis of variance (ANOVA), factor analysis, cluster analysis and linear equation modeling, using computer-assisted software such as SPSS, the Statistical Package for the Social Sciences. Regardless, 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 psychology. Note, however, that opportunities to do this kind of analysis are very limited unless students have access to an existing large dataset that maps to

the research question. A de novo quantitative design, for instance, would usually require too large a sample size for a pre-doctoral (usually unfunded) student to conduct a meaningful quantitative analysis.

*Analyzing qualitative, participant-based data.* Participant-based qualitative data require some kind of qualitative analysis. Methods for analyzing qualitative data include hermeneutics, phenomenology, grounded field theory, ethnography, content analysis, discourse analysis, categorization analysis, heuristics, linguistics, and semiotics. There are a host of digital research tools used for qualitative data analysis including, Atlas-TI, Nudist, or NVivo.

Each of the qualitative methodologies also is an approach to data analysis, carrying with it specific assumptions about the nature of reality and knowledge, as discussed earlier.

#### *Using Multiple Methods to Analyze Participant-Based Data*

Research using multiple methods, as distinct from mixed methods, proposes either two or more quantitative methods, or two or more qualitative methods, for analyzing the data. Though there are instances when the research calls for triangulating the data from multiple methodologies, most often students choose multiple methodologies out of a surface understanding of each research paradigm. For example, a student may choose autoethnography and hermeneutics, without understanding that autoethnography is inherently hermeneutic (i.e., it is already interpretative by nature). Students are strongly encouraged to work with research faculty to discern whether or not they need each distinct methodology.

Regardless of the broadly conceived approach to data analysis and the particular methodology within that approach, researchers need to identify and articulate their interpretive lens. For instance, they may view and analyze data through the lens of Freudian, Kleinian, Kohutian, Jungian, archetypal, existential, or some other particular depth psychological theory, always remembering that the term “depth psychology” is an umbrella term for many different branches of psychology that assert the fundamental reality of the unconscious. Such researchers also need to articulate, where possible, which theoretical formulations they anticipate will play a central part in their data analysis. For example, a theoretical construct may come from personality theory (e.g., libido, self, ego, complexes, archetypes, etc.), developmental theory (e.g., fixation, oedipal or pre-oedipal issues, individuation, etc.), psychotherapeutic theory (e.g., transference, projective identification, coniunctio, etc.), archetypal theory (e.g., pathologizing, psychologizing, dehumanizing, etc.) or some other kind of depth psychological theory.

#### *Reporting the Research Outcome*

The preceding four stages of research are the prelude to conducting the research itself. Each stage—one, developing a research question; two, identifying a research approach; three, deciding on which kind of data is most appropriate for the study; and four, choosing a method and procedure for analyzing data—is part of the overall research design. The fifth and final stage includes carrying out the research and documenting the outcome, which results in the complete doctoral dissertation manuscript.

The primary purpose of the doctoral dissertation manuscript is to report the focus, structure, outcomes, and implications of the research to colleagues in the field, colleagues in other disciplines (when the work is interdisciplinary), and to the academic community as a

whole. 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 psychology, and suggestions for further research.

#### *Dissertation Length*

The length of a dissertation is usually between 200 and 300 pages or between 70,000 and 105,000 words. Empirical dissertations can be shorter, usually between 150 and 200 pages or between 52,000 and 70,000 words. Please discuss the projected length with the committee chair.

#### *Publishing the Research*

Pacifica encourages students to become involved in publishing. The most obvious opportunity would be to publish the dissertation. However, this depends on whether or not the results merit publishing. Sometimes the best designed dissertations still do not produce publishable results. You should consult with members of the committee regarding the advisability of and various strategies for publishing.

#### *External Doctoral Grants, Fellowships, etc.*

Pacifica encourages students to seek out external grants, fellowships, bursaries, etc., for their dissertation work. The award of a grant or fellowship may confer professional honor as well as financial assistance. Grant-writing, however, is a sophisticated skill, and there is considerable competition for the major grants. This endeavor should be considered completely independent of the Institute, as it is predicated on the individual student's initiative and motivation.

## Part 2

# Seven Stages of Dissertation Research

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

Learning the seven steps in dissertation research now 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 are explained in the remainder of this part of the dissertation handbook. The completion of one step is a threshold necessary to move the next step in the sequence: it is a linear process.

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

### Step One: Writing the Concept Paper

Students often enter the doctoral program with one or more areas of research interest and, over the first two years of coursework, may develop and refine their ideas or discard those ideas in favor of a new topic that arises during coursework. Other students enter with no specific ideas and find passionate areas of interest along the way. By the third year, though, students are expected to conceive and write a dissertation concept paper, with the aim of having it approved by the end of coursework. If the concept paper is not approved, the student is required to do an academic tutorial with a research faculty to finalize it. (See the Student Handbook for a copy of the Academic Tutorial form and information about enrolling in a tutorial.)

The dissertation concept paper articulates a research topic and question, reviews some of the literature that contextualizes and supports it, and identifies an appropriate research methodology. It is typically 15 to 18 pages in length. Though this may seem analogous to a term paper, the concept paper carries more intellectual and emotional weight since it is a thoughtful articulation 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 our field.

Pacifica encourages students to use their concept paper when contacting prospective dissertation committee members since it is an ideal way to acquaint a prospect with the topic, method, and you as a researcher and writer. An interested faculty can tentatively agree to work with you, but this agreement is only tentative. Students may not officially convene dissertation committee members until after they are registered for dissertation writing, which is Step Two (described next).

An approved concept paper is one hurdle students face to register for dissertation writing. Other requirements that may apply include taking care of any coursework incompletes and being current with the Student Accounts Office.

### **Prohibition on Joint Authorship**

Students are expected to conceive of, design, research, and write a dissertation as a sole author. Therefore, each doctoral candidate must submit his or her own dissertation concept paper and final dissertation manuscript under single authorship. No doctoral dissertation sharing joint authorship will be accepted. If participatory action research is the chosen methodology, a student should carefully acknowledge all those who contributed to the project

### **What is a Concept Paper?**

For Pacifica students, the first threshold for entering into dissertation work is the completion of an approved concept paper. It serves three essential purposes. First, it provides a structured opportunity to develop the dissertation topic and question, the domains of the literature review, and an appropriate research methodology. Second it serves as a signal of your readiness to enroll in dissertation writing so that the two year period does not begin before you are ready to start working. Third, a good concept paper becomes a succinct statement of your interest and aims, and is thus a good document of introduction to be shared with potential committee members.

A concept paper is a succinct and thoughtful initial presentation of the proposed dissertation research. It includes an introduction to the research topic and its relevance for depth psychology, a preliminary review of relevant literatures, an initial formulation of the research area, opportunity, or problem and question, and a brief discussion of the proposed research methodology. Concept papers are short in length, running between 15 to 18 pages, excluding references and appendixes. Shown below are two different ways to organize the content, though research faculty may suggest some variation in either of these outlines.

#### **Organization A:**

Purpose Statement, one paragraph

Introduction, approximately 4 pages

Introduction to the Research Area, Problem, or Opportunity

Statement of the Research Question

Relevance of the Topic for Depth Psychology

Definition of Terms

Researcher's Relationship to the Topic

Literature Review, approximately 6 pages

Summary of Relevant Research Domains

Literature Relevant to the Topic

Literature Relevant to the Researcher's Theoretical Approach

Methodology and Procedures, approximately 2 to 5 pages

Research approach

Research methodology

Participants (if relevant)

Materials (if relevant)

Procedures (if relevant)

Ethical Considerations

References

**Organization B:**

Purpose Statement, one paragraph

Introduction, approximately 4 pages

Introduction to the Research Area, Opportunity, or Problem

Researcher's Relationship to the Topic

Relevance of the Topic for Depth Psychology

Statement of the Research Intention and Question, approximately 1 page

Literature Review, approximately 6 pages

Summary of Relevant Research Domains

Literature Relevant to the Topic

Methodology and Procedures, approximately 2 to 5 pages

Research approach

Research methodology

Participants (if relevant)

Materials (if relevant)

Procedures (if relevant)

Ethical Considerations

References

*Purpose Statement*

The purpose statement in the concept paper is analogous to an abstract for a journal article: a succinct and thorough summary of the paper designed to quickly orient the reader to the research. It describes the methodology, the purpose of the research, the unit of study

to be undertaken, its central focus, and a general definition of the central concept. An excellent purpose statement can be as few as 150 words or even less. Though it opens the concept paper, it is typically written last—after students have thoroughly revised the work and know their research aim more precisely.

#### *Introduction to the Research Area, Opportunity, or Problem*

In this brief section (usually 3-4 pages) students provide a general description of the research area, opportunity, or problem and state how it is of concern to the field of depth psychology. The introduction should provide an interesting and informative preface for the reader that expresses what the audience does not know or understand that the study hopes to rectify. Often, this introductory section will show the relationship between what has been learned in the past with our current understanding—particularly what is missing in our knowledge of the subject—and indicate how the proposed research may fill this gap. By the end of the introduction, readers should have a clear sense of how the proposed research will extend and enrich the field of psychology.

Naturally, how you express the research area, problem depends on the selected methodology. Quantitative designs often lead to the articulation of specific, testable hypotheses. In contrast, qualitative and theoretical studies require the articulation of a broader research opportunity, for instance, a lacuna that you noticed in the existing literature on the topic that the work will address. Formulating designs and research questions should be done in conjunction with appropriate members of the faculty.

#### *Definition of Terms*

If the research uses key terms or concepts which an audience of psychologists is unlikely to know, such terms may be very succinctly defined in the introduction or elsewhere in the concept paper as appropriate. Any detailed elaboration of terms, for instance, an in-depth etymological analysis, is probably best left for the proposal.

#### *Researcher's Relationship to the Topic*

The introduction to the research area in the concept paper may also include a brief account of the researcher's relationship (transference) to the topic; how he or she is called to the work. Due to the short length of the concept paper, this section probably cannot and should not fully explore the vocational aspect of the research. If included, the fuller statement is best saved for the dissertation proposal.

Depending upon the organization—A or B, described above, or another variation as directed by the research faculty)—this part of the concept paper may include other sections as well.

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

In some concept papers, a brief 1-page statement of the research intention and question immediately follows the introduction. Regardless of where the research question appears, it is the very heart and soul of the concept paper. What you write here not only defines the research, but also provides the most reliable and effective grounds for guiding the progress of the study and, ultimately, suggests how to evaluate the research results.

### *The Research Intention*

The Statement of the Research Intention is a brief summary or synthesis of the present understanding of the area of research and its relevance for the field of psychology. This summary does not introduce new ideas. Rather, it reflects the key points already articulated in the introduction to the topic.

### *The Research Question*

Confusion and uncertainty often characterize the process of arriving at a worthwhile research question. The goal, however, should be a concise, focused statement. Do your best to achieve clarity, parsimony, and elegance. Avoid unexamined assumptions or biases in the question, closed-ended questions that can be answered yes or no, and questions that imply their own answer. Remember the function of a research question is to open up the unknown, not fill it with hidden agendas. Imagine yourself as an explorer of the psyche, heading toward *terra incognita*, rather than someone traveling a well-worn and comfortable path. When asking the research question you should find yourself reminded of what it is you do not know or understand and what you hope to discover or comprehend. The question reveals the researcher's positionality and reflects what you intend to explore. Though it is not necessary to have auxiliary questions, they may be useful but only if they relate directly to the main research question. In other words, they should support and deepen the primary question rather than add tangential or related problems to consider.

### *Literature Review*

The concept paper literature review is a thoughtful initial overview of published literature that usually runs 4 to 6 pages in length. It should describe the most important works or studies. Since the concept paper is short, you must be quite selective. (In contrast, the literature review for the dissertation proposal will be inclusive and lengthier.) Be concise and examine only the most central issues, omitting more peripheral research.

There are three purposes of the literature review. First, the literature review demonstrates your preliminary familiarity with relevant literature. Second, it locates the topic effectively within the literature of psychology. Third, it demonstrates how the proposed work addresses the need for new research in the field. 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 clarify the relationship between the proposed study and previous work on the topic. To do this, organize the literature review thematically, based on the nature and focus of the investigation. For example, as you read, ask yourself questions such as:

- What does this work have to say about my topic?
- What aspect of my topic hasn't been addressed by this work?
- What are the limitations of this research?
- What additional research should be done?

When complete, the literature review should be a systematic, coherent preliminary introduction to relevant texts.

In addition to a review of literature relevant to the topic, students may also discuss texts that are relevant to the researcher's theoretical approach, orientation, or theoretical lenses through which the researcher will analyze the data. Concise, unambiguous definitions of the approach and some of the terms basic to the study are essential. For example, if you



are doing a hermeneutic study, you need to include, either here or in the methodology section, a discussion of your interpretive stance not only with respect to depth psychology in general but also with respect to your particular stance within depth psychology (e.g., Freudian, Jungian, archetypal, imaginal, object relations, inter-subjective, existential, etc.).

### *Methodology and Procedures*

The first purpose of this section of the concept paper, usually 2 to 5 pages, is to demonstrate familiarity with literature relevant to the research approach and the proposed research methodology. The second purpose of this section is to describe, at least tentatively, specific procedures that you anticipate adopting for the study. In other words, this section succinctly articulates how you think about knowledge and research in depth psychology and what you intend to do to answer the research question. Thus, this section not only clarifies your own *demarche* and demeanor (see the previous section on “Approaching Research” in Part I of this Handbook), but also suggests some specific procedures for addressing the topic. 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 the research approach, methodology, participants, materials, and procedures.

Note: If you are planning to use a hermeneutic text-based methodology in the research, the concept paper need not discuss participants, materials, and procedures, described in the following pages.

### *Research Approach*

This component of the methodology section offers a brief, documented discussion of your general approach to research, that is, your philosophical or epistemological stance. Issues such as human vs. natural scientific approaches to psychology, essentialism vs. constructionism, or monistic vs. dualistic conceptions of the world are some of the kinds of issues you may choose to address very briefly here. You may even choose to characterize the overall approach to research by identifying it more specifically, for example experimental, hermeneutic, phenomenological, imaginal, heuristic, feminist, Indigenous, critical race theory, decolonial, etc. Explain why this approach is well-suited to the proposed research.

### *Research Methodology*

The choice of methodology may be preliminary when developing the concept paper. Nonetheless, you should thoughtfully select a methodology that is suitable for the proposed study. In discussing the research methodology, briefly describe its origin and history, cite the key authors who have contributed to understanding it, and succinctly summarize the author’s points. It is also highly useful to explain the rationale for choosing this particular methodology.

The vast majority of students in the Depth Psychology specializations conduct qualitative research. The qualitative research methodologies employed in the Depth Psychology Program include (but are not limited to) phenomenological, ethnographic, hermeneutic, heuristic, case study, and narrative methodologies, as well as visual methodologies and participatory action research.

On rare occasions, a student can conduct quantitative research or a mixed-method study that combines quantitative and qualitative methodologies. This typically requires more

training in quantitative research design and analysis than is offered in Pacifica's research curriculum, as well as continued mentorship throughout the dissertation research and writing process with an expert in quantitative studies. Students interested in this kind of study should speak to research faculty and the program's research coordinator.

### *Participants*

Studies that use participants produce data from actual, concrete responses, behaviors, or words of real persons. Researchers then analyze this data using some kind of qualitative or quantitative method. It is essential that you state why you will select the participants. This can be best done by specifying the inclusion and exclusion criteria. The use of participants can occur in either quantitative or qualitative methodologies.

Researchers choose quantitative studies to examine relationships between two or more psychological variables, or to compare similarities or differences between different social groups and/or psychological dimensions. Quantitative research typically uses "human participants" who participate in the study by providing raw data via psychological tests (e.g., the MMPI-2) and instruments (e.g., survey questionnaires), or brief responses to some kind of written or verbal protocol. Researchers then analyze these data using quantitative or statistical methods. The aims of such studies should be modest because large-scale quantitative research usually requires significant funding not available to pre-doctoral students. Students with a feasible research design might conduct a pilot study as their dissertation project to see if the data "tend" in the hypothesized direction. Another possibility is to use quantitative instruments in a description fashion.

Many qualitative methodologies use data obtained from research participants who, in written narratives or open-ended interviews, typically describe experiences in their own words rather than by choosing among a selection of pre-formed responses. Qualitative research encourages the development of rich, idiosyncratic narrative detail where the exceptional, sometimes called a "statistical outlier" in quantitative studies, is valued as highly as the normative. Researchers doing a qualitative study may also use other sources that report experience, such as journals or autobiographies, or Internet sources such as blogs, etc. Note: this section is not needed in hermeneutic research.

### *Materials*

Many participant-based studies use materials such as survey questionnaires, outcome measures, or therapeutic tools to assess various aspects of the participants. If researchers plan to create or use such materials, these should be briefly described in the concept paper. For example, if a description of an instrument such as the Beck Depression Inventory-II is provided, it should not only include the general type of instrument, but the number of items, reliability, and validity. Note: this section is not needed in hermeneutic research.

### *Procedures*

This last component of the methodology and procedures section describes how you plan to put the method into practice. You need to succinctly state how you plan to conduct the research, for instance, what information you will provide to prospective participants about the study, where and how you will seek participants for the study, how you will screen them, where, when, and how interviews, if any, will take place, how you plan to analyze the data generated via the interview or written narrative, and so on. Typically, this will involve

several steps so you should outline each of these. Note: this section is not needed in hermeneutic research.

### *Ethical Considerations*

If you anticipate using research participants or clinical cases you should identify possible ethical issues that may arise and provide prospective participants with an “Informed Consent” statement. This should describe the subject, aim, and intended use of the research. It also includes a discussion of how you will protect their identity, when the method calls for it, and the measures you will take to minimize or eliminate possible harm. 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 participants or refer them to an outside resource for counseling. In addition, you will need to explain what procedures you will take to ensure that all participant records will be kept confidential, if appropriate to the study.

If you are interfacing with a particular group or community, also address the possible impacts of your participation on this group or community and any additional ethical concerns. Those undertaking ecopsychological and interspecies research may need to carefully create relevant ethical guidelines, in the absence of APA guidelines in these areas.

Researchers need to make every effort to comply with the American Psychological Association standards for conducting research with human participants. Later, when you expand this section as part of the dissertation proposal, you will submit a formal ethics application for review and approval. No researcher can begin collecting data from participants until the proposal and ethics application are approved.

### *References*

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

### **Following APA Formatting Guidelines**

Properly formatted and cited research should be a concern from the very beginning, when students are writing the concept paper. Mistakes and oversights, including misspelled words, inconsistent punctuation, or incomplete citations, for example, are one measure of scholarly credibility and readers will notice. Moreover, it is far easier to get the formatting right in a 15-page paper than a 200-page final manuscript. The *Publications Manual of the American Psychological Association*, 6<sup>th</sup> edition (2009) or 7<sup>th</sup> edition (2020) is the student’s ultimate reference.

### *Pacifica Exception to APA Style*

Whereas APA style guidelines dictate one-inch page margins, Pacifica dissertations use a larger left margin, 1.5 inches wide, for the purposes of binding hard copies of dissertations.

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

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

- Set the left margin to 1.5 inches and all others to 1 inch. (This is the only exception to APA formatting guidelines, for the purpose of binding print copies of the work.)
- Use Times New Roman size 12 font, double space, with no extra vertical space between paragraphs or subheadings. Double space the entire manuscript including the Table of Contents, block quotes, headings, and references.
- Avoid widows (single lines at the bottom of a page) and orphans (single lines at the top of the page) by formatting paragraphs with Widow/Orphan control.
- Avoid italics, boldface, or quotation marks to emphasize a word or phrase in a paragraph. Write better sentences instead.
- Never use underline to identify the title of a text; use italics instead.
- Avoid capitalization except for proper nouns. Jung is a proper noun, depth psychology is not.
- Omit leading or trailing ellipses from any quoted text, whether it is within a paragraph or in a block quote. Only use ellipses to indicate deleted text from the middle of the quotation. Create an ellipsis manually (three dots with a space in between each one). If the deleted text exceeds one full sentence, use the ellipsis symbol and an additional dot, or manually enter four dots, not three.
- Format long dashes consistently and correctly. Use what is called an “em dash” that looks like this—with no spaces between the words it is separating.
- Use block quotes sparingly and, when possible, avoid them by separating the longer quote into smaller quotes which you weave into the work. Strive to embed block quotes within a paragraph so that the paragraph surrounding it, both above and below the quoted text, consists of your own analysis, reflections, and ideas.
- Check that every source cited in the text is in the list of references and that the spelling and capitalization are consistent.
- Use meaningful, succinct subheadings to alert the reader to the direction of the discussion. Be sure the discussion following keeps the promise of the subheading.
- Check for consistency between subheadings and table of contents entries.

### **The Relationship among Concept Paper, Proposal, and Final Dissertation**

During the formulation of the doctoral dissertation, which occurs over several years, Pacifica students write three things: the concept paper, the dissertation proposal, and the final, complete dissertation manuscript. They are integrally related to one another and mark stages of the development of the researcher’s ideas and work. Students sometimes discover that entire paragraphs or sections written for the concept paper remain largely unchanged and appear in the final, published work. That is to say, the creative work is cumulative and Pacifica’s milestones are meant to be meaningful steps along the journey.

As the work develops, significant changes to the topic, central research question or premise, and methodology should be discussed with the dissertation committee.

## Step Two: Registering for Dissertation Writing

Students may register for dissertation writing four times per year; start dates are shown below. To register, students submit a dissertation registration form to [abristol@pacifica.edu](mailto:abristol@pacifica.edu) at least two weeks before the registration deadline.

Most doctoral students will register for dissertation writing the first quarter following the completion of coursework. Some may choose to delay registration whereas a very few students seek program approval to register early.

### Dissertation Start Dates for 2020–2021 Academic Year

Tracks	Fall Quarter	Winter Quarter	Spring Quarter	Summer Quarter
H, P, S, T, TT	Sept. 21, 2020	Jan. 18, 2021	Apr. 26, 2021	Aug. 9, 2021
N, ZZ	Oct. 1, 2020	Jan. 7, 2021	Apr. 1, 2021	June 24, 2021

### Early Registration

Students may petition to register for dissertation writing prior to the completion of their coursework. To do so, they need the approval of the program chair and/or research coordinator. If students register for dissertation writing early, they remain enrolled and are expected to complete all remaining coursework with the cohort, doing both dissertation research as well as the normal course workload. Students should think carefully about whether or not the demands of their personal and professional life support this choice.

### Delaying Registration

Qualified students may choose to delay registering for dissertation writing for personal or professional reasons by taking a leave of absence for one, two, three, or four quarters. To delay registration, students submit a Leave of Absence form to the Registrar or they risk administrative withdrawal from Pacifica.

When making the decision, keep in mind that the eight year Program Time Limit, which begins in the first quarter of the first year of coursework, continues to count down even during leaves. Delaying registration may also affect financial aid. Contact Pacifica's Financial Aid office for more information.

### Specialization Requirements for Registration

The requirements to register for dissertation writing vary among the depth specializations, as described below:

*Community, Liberation, Indigenous, and Eco-Psychologies:* Students are qualified to register for dissertation writing when they have completed their M.A. requirements with no failing grades, are in good financial and academic standing, and have an approved concept paper. If they have program approval, students may register for dissertation writing concurrently with their other coursework.

*Integrative Therapy and Healing Practice:* Students are qualified to register for dissertation writing when they have completed all of their coursework, passed their written and oral

comprehensive exams, are in good academic standing with no failing grades, and have an approved concept paper. If they have program approval, students may register for dissertation writing concurrently with their other coursework.

*Jungian and Archetypal Studies:* Students are qualified to register for dissertation writing when they have completed their M.A. requirements with no failing grades, are in good financial and academic standing, and have an approved concept paper. If they have program approval, students may register for dissertation writing concurrently with their other coursework.

*Somatic Studies:* Students are qualified to register for dissertation writing when they have completed their M.A. requirements with no failing grades, have passed the oral comprehensive examination, have passed all the DPS 932 A, B, & C dissertation development courses and have an approved concept paper, and are in good financial and academic standing. If they have program approval, students may register for dissertation writing concurrently with their other coursework, provided all of the above criteria have been met.

### **Doctoral Candidacy**

Students who register for dissertation writing advance to doctoral candidacy and can refer to themselves, personally and professionally, as “doctoral candidates.” Students who achieve candidacy may not indicate in public announcements or advertising that they hold a doctorate, nor append PhD-c or PhD-ABD to their name in printed material.

### **Keeping an Eye on the Clock**

There are two clocks that doctoral students should pay attention to. The first is the Program Time Limit, a master clock for the entire doctoral journey that begins counting the first quarter of the first year of coursework. The duration of the Program Time Limit, or PTL, is eight years. Pacifica students are expected to complete all degree requirements before the PTL ends. Assuming the coursework is completed in three years, the ordinary duration, students will have five years to complete the research, prepare and submit the dissertation for print and digital publication, and defend it. The Program Time Limit is not suspended even if a student takes a leave of absence.

The second clock is the two year clock, when students enroll in dissertation writing. To maintain student status, it is important to remember when an enrollment period is about to end so that, if necessary, you can register for an additional year of dissertation writing.

### **Fees for the Initial Two-Year Registration**

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

Financial aid recipients: send the registration form six weeks before the quarter start.

Date of Entry	9-Qtr. Fee	Quarterly Payment
Fall 2014	\$27,014	\$3,001.56
Fall 2015	\$28,100	\$3,122.22
Fall 2016	\$28,500	\$3,166.67
Fall 2017	\$28,900	\$3,211.11
Fall 2018	\$28,900	\$3,211.11
Fall 2019	\$29,500	\$32,777.78
Fall 2020	\$2,800	\$3,311.11

Below is the 9-quarter fee chart for students enrolled in the Depth Psychology specialization in Integrative Therapy and Healing Practices.

Date of Entry	9-Qtr. Fee	Quarterly Payment
Fall 2016	\$26,900	\$2,988.89
Fall 2017	\$27,300	\$3,033.33
Fall 2018	\$27,300	\$3,033.33
Fall 2019	\$27,800	\$3,088.89
Fall 2020	\$28,100	\$3,122.22

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

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

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

Upon completion of the first four (4) quarters of the nine-quarter dissertation period, the Financial Aid Office will confirm students' active participation in the dissertation process. Active participation is defined as submission of written materials beyond the initial

concept paper and ongoing consultation with students' dissertation committee, or as outlined by program. Once active participation in the dissertation process is confirmed, students may be eligible for additional Stafford Loans during the remaining five-quarters of the nine-quarter dissertation period.

If additional time beyond the nine-quarter dissertation period is necessary for completion of the dissertation, students must enroll in the extended one-year clock. Students will be eligible for Direct Loans during the annual extension following the nine-quarter dissertation period provided the dissertation committee has approved the student's proposal and submitted the approval form to [dissertation@pacific.edu](mailto:dissertation@pacific.edu). Proposal requirements are defined by each program and are included in this dissertation handbook. It is the student's responsibility to stay in contact with their committee and to follow-up on the progress of their proposal approval. Please be aware that all pending financial aid will be canceled once the final draft of the dissertation is approved.

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

- First four quarters of initial nine-quarter dissertation period: Successful completion of coursework requirements as defined by FSAP policy for coursework requirements.
- Remaining five-quarters of initial nine-quarter dissertation period: Continued financial aid eligibility requires confirmed submission of written materials beyond the initial concept paper and on-going consultation with the dissertation committee, or as outlined by program.
- Third year/One-year extension: Continued eligibility during the one year following the nine-quarter dissertation period requires dissertation committee approval of the proposal and submission of the approval form to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).

Those students who are receiving financial aid should be aware that their dissertation chairs have to provide information on a student's "Satisfactory Academic Progress." This includes telling the Financial Aid Office whether a student has (1) formed a full dissertation committee and communicated with the members; and (2) submitted written work beyond the concept paper that contributes to the dissertation proposal.

### **Important**

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

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

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

Not all researchers work in the same way, of course, and many discover that they are far more effective when letting the research process unfold and determine its own schedule. Other researchers, however, work best with a more predetermined prospectus. For these



latter students, presented below is a suggested timetable for finishing a dissertation comfortably within two years.

0-2 months	This is a time to officially set up the committee. Engage a prospective dissertation chair and confirm the chair's availability. Students should use their concept paper to begin dialogue and set research goals. Consult with the dissertation chair on the reader and external reader possibilities. Start to expand the literature review.
2-6 months	Work towards a clear understanding with the chair about the direction and structure of the dissertation. This may involve a number of meetings and/or phone discussions. The process may begin with some reworking of the concepts initially presented. This period will be crucial in terms of writing the proposal. After students have clarified the structure of the literature review, commit to a period of intensive research and library work. Work with the dissertation chair on methodological issues; these will form an important part of the proposal, particularly in participant-based research. Review other dissertations with similar methodologies.
6-12 months	Set the "one year point" as an outside date for the completion of the proposal, and ethics application, if required. The proposal is an important milestone that gives the overall project its shape and direction. Remember to allow up to 6 weeks for committee members to turn material around. The chair must approve the proposal before it is sent to the reader and external reader.
12-18 months	This period places students at the core of the dissertation process. Here it is critical for students to formulate their own timetable, with intermediate goals and rest periods. Based on students' experience writing papers during coursework, it may be helpful to imagine how long it will take to complete a chapter and set a realistic schedule accordingly, setting short-term goals. Students should remember to reward themselves after meeting one of these goals. Stay in contact with the chair; checking in from time to time to remain anchored to the process.
18-24 months	Set a first-draft deadline around the 18-month point. This allows time for each committee member to review the final draft (this may take up to 6 weeks for each review) and for necessary revisions. Remember that the chair must approve the final draft before it is sent to the reader and external reader. Students will also need to hire a proofreader to copy edit the manuscript and pass the oral defense. Allowing 3 months for these processes is realistic.

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

Students may register for an additional year of dissertation writing, one year at a time, up until the time the PTL expires. To do so, complete the Dissertation Registration form and send it to the Registrar approximately four to six weeks before the current registration

period expires. Check your Pacifica email account for confirmation the registration has been received and processed.

*Extended One-Year Enrollment Fees*

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

Academic Year	Full Year Fee	Quarterly Payment Fee
Fall 2018 – Summer 2019	\$14,050	\$3,512.50
Fall 2019 – Summer 2020	\$14,250	\$3,562.50
Fall 2020 – Summer 2021	\$14,250	\$3,562.50

Below are the extended one-year fees for students enrolled in the Depth Psychology specialization in Integrative Therapy and Healing Practices program.

Academic Year	Full Year Fee	Quarterly Payment Fee
Fall 2020 – Summer 2021	\$13,650	\$3,412.50

*Extended One-Year Clock Payment Options*

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

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

Near the end of the dissertation enrollment period, students may petition for a one-quarter, no-fee extension. Students cannot petition for an extension in the middle of an enrollment period.

Extensions are granted for one of three reasons: a short illness, the sabbatical of a committee member who is core faculty at Pacifica, or because the student is near-completion.

To petition for the extension, students fill out the one-quarter, no-fee extension form citing the reason for the request and email it to [abristol@pacifica.edu](mailto:abristol@pacifica.edu) approximately 4 weeks before the current enrollment period expires. Then check your Pacifica email account for notification about the status of the petition or other

correspondence related to it. If the petition is granted, students will receive a copy of the approved form.

### **Taking a Leave of Absence Once Dissertation Writing has Commenced**

Students are not permitted to take a leave of absence in the middle of a registration period, that is, during the first two-year registration period or during any subsequent one-year registration periods. They can take a leave at the end of either the two-year or additional one-year registration periods, but once they do, the dissertation committee is dissolved.

If students wish to continue after a leave of absence, they must first register for an additional one-year dissertation period and then reconvene a committee. Keep in mind that new committee members are not obliged to accept work that former committee members deemed acceptable, and that previous committee members are under no obligation to rejoin the committee.

### **Step Three: Forming the Dissertation Committee**

A dissertation committee at Pacifica is comprised of the dissertation chair, a reader, and an external reader. Once the concept paper has been approved by one of the research faculty and students have registered for dissertation writing, they may officially convene the committee members. However, it is highly likely that a student may already have approached some faculty to see if they might be interested in serving on the committee. In fact, Pacifica recommends that students give some thought to this as they are developing the dissertation concept paper by reflecting on and seeking out likely faculty members and academics outside of Pacifica.

This is when the concept paper can act as an ambassador for the work. However, remember that any and all verbal commitments made before you register for dissertation writing are unofficial. No promise is official and formal until you and the committee member have filled out and emailed the Committee Member Appointment forms.

### **Selecting and Working with the Committee**

In choosing a committee, seek members who have knowledge or expertise with the research topic and methodology. Ideally at least one of the committee members will be able to address each of these two major concerns. Although compatible personality style is also important, it should not come at the expense of helpful knowledge. Committee members should have a doctorate in psychology, a related field, or a field that is foundational for the study. Students are expected to avoid dual relationships in the selection of the committee as outlined in the Student Handbook.

Students progress through the dissertation process more easily when they work closely with committee members. They are dedicated to helping you succeed, so it is a good idea to communicate with them at important junctures in planning and writing. Members of the committee are encouraged to communicate with each other when the proposal and final draft are under review. On rare occasions, the dissertation chair may call a formal meeting of the committee.

Both students and committee members must respect the maximum six-week review period for the dissertation proposal and final draft. Please discuss any problems arising from

time-frame issues directly with the committee members involved and, if unresolved, with the research coordinator.

### **Important**

**Once committee members are convened, students are not permitted to fire or replace committee members. In rare cases of well-documented committee dysfunction, the student may contact the program's research coordinator to seek a remedy.**

#### *The Dissertation Chair*

One of the most important decisions students make in the process of considering and conducting doctoral dissertation research is the selection of a chair. The chair should be someone with whom a student can work compatibly and who also possesses knowledge or expertise in the research topic or methodology; the chair need not, however, be a widely acknowledged expert in the field. He or she will be the central person responsible for guiding the student through the dissertation, and the one who ensures the integrity of the Institute's dissertation guidelines as well as the academic standards of the field. The chair is available for consultation in initially setting up the dissertation committee, and oversees the activities of the committee once the dissertation period begins.

After you have identified a prospective chair, you should approach that person, describe your project, and offer a copy of the concept paper. If the person agrees to become your chair, you will complete and submit the Committee Member Appointment form to the chair *after* you have registered for dissertation writing.

The chair must be a core faculty member of Pacifica Graduate Institute, or an adjunct faculty member approved by the research coordinator. In certain instances the research coordinator may also approve contributing faculty members, guest lecturers, or scholars from another institution

#### *The Responsibilities of the Chair*

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

- Signs the Committee Member Appointment Form and emails it to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).
- Upon review of the concept paper and discussion of the project with the student, works to define the direction of the dissertation and assists in the development of a promising and appropriate dissertation research proposal.
- Approves the appointment of the reader and the external reader to the committee, emailing the appropriate forms to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).
- Reads the dissertation proposal and submits an evaluation to the student, requesting revisions as necessary. Signs the Approval of Dissertation Proposal form and emails it to [dissertation@pacific.edu](mailto:dissertation@pacific.edu). Advises the student as to when to send drafts to other committee members.

- Directs the student in submitting the ethics application. When the proposed research uses human participants, the chair reviews and approves the ethics application in consultation with the program's research coordinator and emails it to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).
- 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 emails them to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).
- Reads the completed draft of the dissertation; submits an evaluation to the student, requesting revisions as necessary. Approves the final dissertation draft and signs the 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 emails them to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).
- Coordinates a defense date with the student and the other dissertation committee members.
- Hosts the oral defense, 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 emails it to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).

#### *Convening the Chair*

Before registering for dissertation writing, students may have an informal commitment from a faculty member to chair the dissertation committee. To formalize the relationship, students complete the Committee Member Appointment Form and send it to the chair. The chair signs the form and emails it to [dissertation@pacific.edu](mailto:dissertation@pacific.edu). Student and chair are officially notified when the form is processed.

Once the chair is convened, students begin seeking a reader and external reader, but are encouraged to discuss possible candidates with the chair. When the choice is settled, students complete and submit the appropriate appointment forms to the chair, along with the proposed external reader's curriculum vitae. The chair emails them to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).

#### *Faculty Sabbatical*

Approximately every three years, Pacifica core faculty members are allowed to take sabbatical for one quarter, during which time they are not expected to work with dissertation students. Faculty should notify students of an upcoming sabbatical well in advance of the start date so that students can plan accordingly. If, at the end of a registration period (either the initial two-year or extended one-year registration), students need to continue working on

the dissertation, they can apply for a one-quarter no-fee extension, citing “committee member sabbatical” as the reason.

### *The Reader*

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

Qualified candidates for the reader position are rarely core faculty in any program at Pacifica. However, readers are typically associated with Pacifica, for instance as adjunct faculty, a guest lecturer, or as an internal mentor (chair or reader) on Pacifica dissertations. Readers are paid a stipend of \$1,000 for serving on a dissertation committee.

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. If this is the case, speak to your chair and your program’s research coordinator to get written approval for the exception.

NOTE: In the Community, Liberation, Indigenous, and Eco-Psychologies (CLIE) specialization either the reader or the chair must be a core CLIE faculty, distinguished visiting scholar, or Emeritus Faculty. If none are available, there must be at least one person on the committee who has taught in CLE.

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

- Within six 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 six 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 six 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 six 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 dissertation chair. (In some cases the internal and/or external reader may wish to read and approve the chapters as you complete them. Work with committee members to know when this is appropriate and/or advantageous.)
- Participates in the oral defense of the dissertation in person, by telephone, via videoconference, 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 dissertation research conducted by Pacifica students. Qualified candidates should have expertise in the topic or methodology and be able to evaluate a work of scholarship. 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. Discuss all prospective candidates with your dissertation chair. External readers are paid a stipend of \$700 for serving on a dissertation committee.

Because Pacifica Graduate Institute takes seriously the idea of an outsider's perspective, the external reader may not be a graduate of Pacifica; may not be a current member of Pacifica's core or adjunct faculty; may not have recently taught at the Institute (i.e. within the past five years); may not have held any administrative position here; and may not have served as an internal mentor on any dissertation committee at any time in the past five years (this includes the roles of advisor, chair, internal reader, and coordinator). In addition, the external reader must not have a dual relationship with the student (i.e. supervisor or therapist, employer, friend, family member, etc.). Students should consider these limitations as they begin to seek qualified candidates to serve as external reader and discuss potential external readers with the dissertation chair.

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

- Within six 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 six 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 six 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 six 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 dissertation chair.
- Participates in the oral defense of the dissertation in person, by telephone, via videoconference, or in rare cases by sending a question.

### **The Role of the Research Coordinator**

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

- Reviews requests by a student to register early for dissertation writing.
- Serves as arbitrator in cases where, after many efforts at resolution, the tensions in a dissertation committee become detrimental to the work of the committee. (See "Committee Dispute Procedures" below.)
- Reviews all Use of Human Participants projects and upon approval, signs the Ethics Application for Approval to Use Participants form.
- Serves on the Graduate Research Council to discuss and implement changes to Institute-wide dissertation processes and policies.

- Makes revisions to the dissertation handbook that reflect dissertation policy and process changes and suggestions from faculty.

### **Committee Dispute Procedures**

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

- Direct academic and procedural matters to the program's research coordinator. If necessary, the research coordinator will consult with the chair of the Graduate Research Council to resolve the issue.
- 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 Graduate Research Council.

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

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

After students register for dissertation writing and convene the committee, they begin the process of writing the research proposal. Most proposals are approximately 40 to 80 pages in length and become, in time, part of the complete dissertation manuscript.

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

The dissertation proposal, to an even greater degree than the concept paper, thoughtfully articulates a coherent and promising research design that demonstrates a student's readiness to conduct doctoral level research. The proposal systematically formulates a research area, problem, or opportunity, reviews relevant foundational literatures, and explicates methodological issues and procedures. Although depth psychological research often includes poetic, literary, and autobiographical material, the overall tone and language of proposals and dissertations are scholarly and address a professional, academic community of fellow scholars. Proposals are thus written in the modest voice of a seeker of knowledge who desires to contribute to the discipline of depth psychology and to the development of depth psychological scholarship.

Given the interdisciplinary nature of depth psychology and the diversity of research approaches and methodologies used at Pacifica, it would be impossible to establish a single, general template for every possible kind of research design. Instead, this section merely attempts to establish some broad scholarly standards and expectations, leaving the particularities of design, research methodology, and manuscript organization for individual researchers to determine in consultation with their committee members. The intent is to establish some general institutional expectations and standards for research, while, at the



same time, allowing for the continued development of a variety of appropriate designs. For information and guidance on specific research approaches you should consult appropriate course material, research faculty, or members of your dissertation committee. A number of research faculty have developed methodological resource portfolios that include literature, references, and sample proposals explicating specific approaches.

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

The dissertation proposal follows nearly the same organization as the dissertation concept paper, the key differences being that the proposal is more detailed, thorough and hence longer discussion of each of the major components: Introduction, Literature Review, Statement of the Research Area and Question, and Methodology. Whereas a good concept paper is approximately 15 to 18 pages organized as a single essay, a complete dissertation proposal ranges from 40 to 80 pages.

There is an organic relationship between the concept paper and the proposal: one grows into the other, so that little or none of your thinking, research, and writing need be wasted, although it is sometimes the case that there are changes in literature review categories, methodology/ies, or research questions; these should be discussed with your committee members. Moreover, the proposal forms the first chapter or chapters of the final dissertation manuscript, when it is complete, so again there is little or no wasted effort. This often comes as a big relief to anxious students for whom the dissertation is the longest and most intensive written work of their lives, so far.

Note that this organization is not fixed or rigid: students should discuss the outline of their own proposals with the dissertation chair.

#### Introduction

- Introduction to the Research Topic
- Researcher's Relationship to the Topic
- Relevance of the Topic for Depth Psychology
- Definition of Terms
- Statement of the Research Intention and Question

#### Literature Review

- Summary of Relevant Research Domains
- Literature Relevant to the Topic
- Literature Relevant to the Researcher's Theoretical Approach

#### Methodology and Procedures

- Research Approach
- Research Methodology
- Participants
- Materials
- Research Procedures

Procedures for Gathering Data  
Procedures for Analyzing Data  
Ethical Considerations  
Limitations/Delimitations of the Study  
Organization of Study

## References

The organization presented in the preceding example is certainly one effective way to structure a research proposal, but it is not the only one. Researchers, in consultation with committee members, decide the actual sequence, organization, and length of each of these content areas. For example, the proposal can be organized in as few as one and as many as three chapters, depending not only on its nature and length. Discuss this with your dissertation chair.

The required content areas shown in the sample organization above have been described earlier in the explanation of the concept paper. Therefore, the following discussion assumes you are already familiar with the basic intent of each section and highlights the differences between the concept paper and the proposal.

### *Introduction*

The purpose of the introduction is to describe the topic in a robust, detailed manner, to orient and engage the reader, and to establish the importance of the topic for depth psychology. This is an ideal opportunity to demonstrate the maturity of your thinking, the breadth of knowledge and understanding of the topic, and to cite the best sources to support any knowledge claims or theoretical positions you assert. You also may include a section describing the autobiographical origins of your interest in the topic and any biases or assumptions.

As you are crafting the introduction to the work, keep in mind possible titles for the dissertation. An ideal title is a succinct and meaningful description of the content that arouses readers' interest. The title should not exceed 2 lines and 12 words.

### *Researcher's Relationship to the Topic*

As noted in the introduction, Pacifica recognizes the reciprocal relation between researchers and their topics, a relation that precedes, perhaps by years, the first conceptualization of the study. Given this co-constitutional nature of inquiry, Pacifica invites you to clarify and examine the relationship between you and the topic. Transference to the topic emerges from researchers' own autobiography, including their wounds and complexes, their life situated within a given historical and cultural moment, as well as their social location and associated biases, beliefs, values and assumptions regarding the topic. In philosophy, this *foreknowledge* is called the *fore-structure of understanding* (see, for example, the works of Heidegger and Gadamer). Hermeneutic philosophers and depth psychologists alike understand that it is not possible to avoid personal/cultural/historical influence. By examining your assumptions, biases, and agendas, readers are assured of your capacity and desire for critical self-reflection, openness, and scholarly discipline.

The purpose of this section, typically written in the first person, is to increase self-understanding and collegial comprehension. Avoid personal confession for its own sake. Two excellent touchstone questions when contemplating personal disclosure are, Does it serve the work? and Does it serve the reader? The answer to both questions should be “Yes.” Moreover, bear in mind that the dissertation will be a public document, readily available to anyone you know personally or professionally.

### *The Relevance of the Study*

The proposal reflects a much greater knowledge of the literature than the concept paper so that you can more persuasively establish the relevance of the research. Although this may be stated tentatively, since it is not yet known whether the study will actually bear the theoretical fruit to which it aspires, you still need to make evident at least the potential of your proposed study. Doing so naturally leads to a thorough, systematic review of literatures relevant to the research topic, including, especially, literatures in the field of psychology.

### *Literature Review*

The purpose of the proposal literature review is to demonstrate thorough familiarity with literatures relevant to the investigation. This includes locating the topic effectively within psychological literature and demonstrating how the proposed study addresses a specific need for new research in the field. The review should thoughtfully discuss works or studies that touch upon the dissertation topic and its theoretical approach. (Another choice is to discuss works relevant to the theoretical approach in the Methodology section of the proposal rather than in the Literature Review.)

Whereas the concept paper literature review is approximately 4 to 6 pages and describes a dozen texts or so, the proposal literature review can be 20 to 40 pages long (or more) and describes 100 texts. This is, of course, a generalization. In reality, it may be appropriate to review varying numbers of texts in the Literature Review section, depending upon methodology and/or research design. For instance, a hermeneutic dissertation where literature is reviewed and interpreted throughout the body of the work may review only very foundational literature in this section, whereas dissertations that generate participant data and analyzes it may require almost all the literature to be reviewed in this section. These sorts of choices are best discussed with the dissertation chair.

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 for you to make unexamined truth claims or assert ideological arguments but, rather, for you to critically examine how each work contributes and/or fails to contribute to knowledge or understanding of the topic as well as how the various works discussed relate to one another. Whenever you 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”). As with dissertations and proposals as a whole, the most effective literature reviews are written in the voice of a seeker, an 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 interest characterize the thoughtful literature review.

There are many 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 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. The 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.

Some studies may be significantly interdisciplinary in nature. As a result, it will include literature from such scholarly disciplines as philosophy, religion, literature, and the arts, science, cultural or ethnic studies, etc. For these types of reviews, using thoughtful, well ordered, easy to follow headings is ideal.

Regardless of how broad or narrow the scope of the literature review, your task is to describe the texts and evaluate their relationships 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 scholars already know about the research topic in such a way that the literature itself is critically and thematically subservient to the research topic. Thus, the challenge is to show what each particular work/author contributes to knowledge of the topic as well as what each fails to contribute. In addition, where relevant, try to show how different works relate to, support, or contradict each other vis-à-vis the topic. Whenever appropriate, the literature review should also consider what relevant works/authors reveal about basic, contextual or foundational issues, that is, basic theoretical, philosophical, ethical, or cultural issues or problems integral to understanding the topic.

It is imperative that you thoroughly and appropriately document 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 you are still reviewing literature. Also, citations should always follow the APA recommendations and all works that you cite or quote should be immediately placed in the list of references at the end of the proposal. It is important to remember that whether you are citing a single new idea, or quoting a few words, phrases, or whole sentences and/or paragraphs, correct acknowledgement is required including author(s), date of publication, and, where appropriate, page numbers. The purpose of such thoroughness is to provide readers direct access to sources so they can substantiate the work or investigate further on their own.

You may find it helpful to write the literature review with two kinds of readers in mind. On one hand, imagine providing informed readers with evidence of your familiarity with and critical mastery of the bodies of relevant literature. On the other hand, imagine providing uninformed readers with a clear, coherent, and self-explanatory introduction to

those same bodies of literature, something like an intensive course on the topic given to an intelligent and interested but not necessarily sympathetic audience. If the research is interdisciplinary, keep in mind that readers from those disciplines may know nothing about depth psychology, and keep their needs in mind as you carefully define terms and concepts.

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

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 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 we have come to know or understand about the topic and then highlighting and what we still do not yet know or understand. This summary should open the way to a succinct statement of what the proposed investigation is designed to contribute to our knowledge and understanding within the field of depth psychology. Strive to make this statement of the anticipated contribution to the field clear, concise, and to the point. Here are some examples:

- “As the above literature review has shown, a comprehensive depth psychological understanding of the phenomenon of X does not yet exist;”
- “Although there have been a number of studies to investigate X, they all have significant methodological weaknesses, or they haven’t addressed X using this methodology”
- “Even though we have had a number of studies addressing such phenomena as A, B, and C we still do not appear to have a clear understanding of what the related phenomenon, X, might mean from a Y perspective;” etc.).

### *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 as a primary source, and personal blogs as academic sources but does encourage the use of online peer-reviewed journals. The APA *Publication Manual* includes basic guidelines and rules for providing publication data for electronic sources (Sections 6.31 & 6.32, pp. 189-192) and examples of reference entries for electronic sources in the individual sections on different types of sources (Chapter 7, pp. 193-224). Before finalizing the list of references, confirm the website being used as a source for citations.

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

This section is the very heart and soul of the dissertation. The research question or hypothesis is a faithful guide throughout the project and provides the most trustworthy basis for evaluating the integrity and validity of the findings. In addition, this section provides readers with a vivid sense of your aims and purposes as a researcher. It should briefly reiterate your understanding of the problem or opportunity that makes the study worthwhile, followed by a lucid and concise statement of your primary research question along with relevant auxiliary questions.

The selected methodology affects how you express your intention. Quantitative designs are often guided by testable hypotheses, whereas qualitative and theoretical studies

are guided by a research question. Again, since most dissertations at Pacifica are qualitative or theoretical in nature, the below discussion will focus on them.

### *The Research Intention*

This section usually begins with a succinct reiteration and synthesis of the previous two major sections (Introduction and Literature Review) and ends with a concise description of what area of opportunity exists for the research. For instance, you may have discovered that homophobia among adolescents has been addressed by social psychologists, but no published research has explored it from a depth or archetypal perspective. Frequently, students find that using a depth psychological approach to many topics, even those that have already attracted a significant body of research, can make a meaningful contribution.

You may want to make explicit the previously implicit link between your autobiographical interest in the problem and the need in depth psychology for your 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 your proposed study (e.g., “It is hoped, therefore, that the proposed study might lead to A, B, and/or C within the field of depth psychology.”).

### *The Research Question*

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.

Given the significance of this single interrogatory sentence, any time you spend honing the research question is likely to pay back rich dividends in saved time and energy throughout the research process. Researchers often find that they revisit their primary research question time and again as their understanding of the topic deepens. In fact, the many transformations of the research question as you strive for clarity and focus can be a provocative mirror of the journey of understanding. With this in mind, it is worth reiterating a point made earlier. Articulating a succinct and valuable research question may well be a lengthy process characterized by confusion as much as clarity in which you, as the researcher, are asked to patiently sit with the topic as it strives to reveal itself.

Although at this point you may already have an appropriate, and worthwhile research question, it still may be worth considering the following guidelines. First, you 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 the 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: 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 you are conducting: Whereas quantitative studies ask questions (or state hypotheses) of measurement and proof, qualitative and theoretical studies ask questions of meaning and understanding. In other words, there should be congruence between question and methodology. Fifth, if you ask auxiliary questions, articulate them 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.

### *Definition of Terms*

You may need to define the key concepts and terms comprising the primary research question. However, a separate section devoted to a definition of terms is not always necessary. Artful writers often can succinctly define terms the first time they appear (for example, in the Introduction) using a short, clarifying phrase. If the topic uses numerous unfamiliar terms from another discipline, you can do both: succinct definitions the first time the term is used and a separate Definition of Terms section, placed either here or near the end of the proposal.

Although you may begin by defining terms using your own language, you should eventually consult widely available technical and theoretical works in psychology and philosophy as well as general etymological and lexicographical references. APA prefers *Merriam-Webster's Collegiate Dictionary*, 2005. For specialized terms used in depth psychology, such as concepts introduced by Freud or Jung, the best sources are primers devoted to their psychology.

### *Research Methodology and Procedures*

The purpose of this component of the proposal is to more fully describe the research approach, methodology, participants, materials, and procedures. You will be familiar with these 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 the approach and methodology and their related literatures. The proposal also provides a description of the participants and any materials that you will use. Finally, it includes a discussion of the specific procedures that you anticipate following. In short, this section articulates, as clearly as possible, how you intend to go about conducting the research.

### *Research Approach*

This is a thoughtful, systematic discussion of your 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 that you discuss, albeit relatively briefly, those issues most central to your research approach. Depending on the particular research project, you may also consider it 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 you go about this discussion, it is important that, as in the literature review, you demonstrate your familiarity with literature supporting the research approach and elucidating basic concepts and issues germane to its understanding and practice. For example, a discussion of a phenomenological approach might include a well documented consideration of historical and philosophical foundations; different approaches to phenomenology such as descriptive, transcendental, hermeneutic, or existential phenomenology; and/or basic conceptual concerns such as essence, intuition, imaginative

variation, and phenomenological reduction. Similarly, a discussion of a hermeneutic approach might include a well-documented consideration of historical and philosophical foundations; different approaches to hermeneutics such as methodological, ontological, or critical hermeneutics; and/or basic conceptual concerns such as the hermeneutic circle, foreknowledge, horizons, and interpretive set. Whatever general approach to research you choose to adopt, it is important that you 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 the research methodology and its appropriateness to the topic.

As discussed earlier, students can choose a quantitative method, select one among a variety of qualitative methodologies, a set of hybrid methods, or use a mixed-method approach that combines both qualitative and quantitative methodology. The exact nature, content, and style of the discussion of the specific methodology is left to the student's discretion in consultation with the committee. However, the purpose of this part of the proposal is to assure readers that you are familiar with the issues, concepts, authors, and literature most germane to the research methodology and why this specific methodology is appropriate for the study.

### *Participants*

When writing the proposal, you 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 that you want to ensure that the selection of participants will adequately represent the research topic.

Participant-based research also includes the use of clinical case material—except studies available in public archives or in previously published sources. This means that researchers must obtain permission to use the clinical information from the patient or client, whose consent indicates that they approve what is used from their records and how it will be interpreted.

## **Important**

**Students may not recruit participants for their study until they have received approval of their ethics application and dissertation proposal.**

### *Materials*

Many studies utilize materials such as tests, images, or apparatus. It is thus important to describe these materials. Frequently formal psychological tests are used such as the Beck Depression Inventory-II, Myers Briggs Types Indicator, or the MMPI-2. These should be listed along with their number of items, response format (True-False, Likert, self-report, ratings by clinician), reading level, and psychometric properties. When describing reliability



and validity, it is often not possible to include all the relevant research. Instead, a brief summary should be included 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 using arts-based images, it would be important to describe them and discuss why they were selected for the research.

### *Research Procedures*

This final major component of the methods section is a detailed, explicit, and concrete description of the processes and procedures you anticipate employing throughout the conduct of the study. This includes a description of how you will gather data and analyze it. If you have already discussed this elsewhere, this section may not be necessary.

Composing this section enhances a confident sense of your own direction and activity as a researcher. It will also provide readers with an unambiguous understanding of the specific research actions you plan to undertake. The description of processes and procedures also provides a basis for readers eventually to evaluate not only the degree to which you have 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.

**Procedures for gathering data.** 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, etc.), 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, etc.).

**Procedures for analyzing data.** Regardless of the kind of data used for the study, you need to articulate the specific steps and procedures you plan to follow in analyzing and interpreting the data. In participant-based studies this means describing specific steps for both single-case and cross-case analyses. In both participant-based and text-based studies, this also means identifying and discussing (if you have not already done so) the hermeneutic or interpretive set or sets, both with respect to the overall theoretical lens (e.g., psychoanalytic, Kleinian, object relations, Jungian, archetypal, imaginal, existential, phenomenological, etc.) but also with respect to any particular conceptual lens or lenses you plan to employ (e.g., transference, self, primary process, splitting, projective identification, transference, complexes, archetypes, developmental stages and processes, etc.). If you have thoughtfully discussed the interpretive set(s) in earlier sections, for instance in the section on the Literature Review, then you need only mention and name the interpretive set or sets again here and then refer the reader to the relevant preceding discussions.

It should be acknowledged that the analytic procedures may not be entirely clear to you in advance or they may change or emerge as the study progresses. In either of these cases you may want to state here that you plan to augment your present procedural prospectus 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/or 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 your participation in it.

### *Ethical Concerns*

Doing psychological research with human participants raises important ethical concerns that need to be anticipated in the planning of research, and navigated with integrity during each stage of research. For studies utilizing any human participants, the Ethics section of the proposal should discuss relevant ethical concerns having to do with the use of human participants as well as your integrity as a researcher in the conduct of the study. To these ends, the next sections will present the ethical principles derived from the American Psychological Association's ethical standards. As you develop the research design and complete this application for approval, 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 the study with no coercion or harmful consequence should they elect not to participate. Participants must also be free to end their participation in the 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 that you choose for the study. You 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 your 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. It is not recommended that you do research involving such strenuous activity and/or geographical isolation. 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; psychological issues and painful memories may be reactivated. The documentation that you present to the participants must accurately reflect these considerations.

**Dual relationship:** Pacifica prohibits the use of current patients or for research purposes since this situation constitutes a dual relationship—that of researcher and psychotherapist. The use of past patients for research is acceptable if the therapeutic relationship ended at least two years ago. Examples of case material include quoting directly from the patient, describing dream images or narratives, or excerpting case notes about the patient. All of these necessitate informed consent. That is, when students propose to use case material from their own practice, they must formally submit an ethics application to the dissertation chair, which ensures that the patient is informed of the nature of the study and is willing to have their psychological material incorporated in it.

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

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

Students are obliged to be thoroughly familiar with and abide by the standards inherent in the methodology and also the standards of the field of psychology as a whole. Therefore the “Ethical Concerns” section of the proposal must include a brief discussion of the intention to comply with standards established by the American Psychological Association, above, 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.

## Important

**Students may not seek participants for their study from among Pacifica students, staff, or faculty.**

Students submit an ethics application to the chair along with the draft of the dissertation proposal, which is described in more detail below. Accompanying this application is one of two forms, depending upon the nature of the proposed research: either the Ethics Application for Approval to Use Participants or the Ethics Application for Research without Participants.

### *Limitations and Delimitations of the Study*

If not already presented elsewhere in the proposal, students should discuss ways in which they have intentionally set certain parameters (delimitations) on the study, specifically in relation to the scope of the research question, the demographics of participants, and texts or other primary research data. Likewise, students should discuss ways in which they anticipate that the research design itself may establish certain limitations with respect to the credibility of the findings. Finally, it is important to discuss, at least briefly, the ways in which relevant social, cultural, or historical contexts may influence the outcomes and implications of the study. Often, students will reflect upon this discussion after completing the research and when writing the summary and conclusions chapter at the end of the dissertation.

### *Organization of the Study*

This section is a brief prospective overview of the dissertation as a whole. Such an overview will be tentative since, with many types of qualitative studies, the organization is likely to change as the research progresses. Nevertheless, the committee members need a clear sense of at least a “best guess” as to the direction the study might take. This section will be revised after the dissertation is complete to reflect the actual chapters within.

### *Titling the Dissertation*

Students should give some thought to the title of their dissertation, which can have no more than 12 words and fit on one or two lines. The best titles strike a balance between parsimony and completeness to communicate the central theme of the work in such a way that the reader feels curious to read more. The title can also help others interested in the topic find the dissertation in a digital search.

Students should make good use of the colon in their titles. Often a more “poetic” or evocative initial title is followed by a subtitle which includes the methodology, research approach, and in some cases, the population studied. For instance:

Finding Nemo: A Narrative Inquiry into a Parent’s Experience of Child Abduction

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

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

## 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.

If the study will not 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 entire application packet, which consists of the correct form and all the necessary information, described below. If the student has followed the guidelines for using human participants, the ethics application is usually approved promptly.

### *Contents of the Ethics Application*

A complete ethics application for the use of human participants consists of two documents, a PDF form and a Word document.

- The three page Ethics Application form, a PDF file, is available on Pacifica's "Dissertation Forms & Handbooks" web page, <https://www.pacifica.edu/student-services/dissertation-handbooks-forms/>. Students fill out their portion of the form, then send it to the dissertation chair for review. The chair works with the program's research coordinator to review the description of research procedures. When it meets their approval, both sign the Ethics Application form.
- A separate Word document that describes, in detail, how the researcher will recruit, screen, and work with participants as well as how the gathered data will be transcribed, securely stored, analyzed, and destroyed at the end of the study. Students write this document and submit it, along with the PDF form, to the chair. The sections of this document are:

- Abstract: Describe the central question or theme of the study, methodology, and aims (one paragraph, maximum 200 words).
- Participants: Describe who will participate in the study, the number of participants, and how, specifically, you will find them. Also include any eligibility requirements and the way you intend to screen participants for inclusion in the study (approximately 1 page).
- Procedures: Describe the informed consent procedures, the collection of data, and method of data analysis (approximately 1 page).
- Risks: Describe any potential risks to participants, including breaches in confidentiality, and the likelihood and seriousness of such risks (approximately a half-page).
- Safeguards: Describe procedures for protecting and/or minimizing the risks of participating in the study, including preserving confidentiality, and assess their effectiveness (approximately 1 page)

Benefits: Describe the benefits to be gained by the participants and/or society as a result of the study you have planned (approximately a half-page).

Appendices Three appendices to the Word document, which are 1) the one-page recruitment flyer; 2) a sample of the informed consent form that fully explains eligibility criteria, risks, safeguards, and benefits; 3) the research instruments (e.g. questionnaire, survey, or interview guide).

When complete, students send both the ethics application form (PDF file) and the ethics description (Word document) to the dissertation chair for review. The chair will seek approval from the program's Research Coordinator and supervise any revisions the student needs to make for ethics approval.

### *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. The dissertation chair emails the completed proposal approval forms to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).
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. Students and their dissertation chair should allow 4 to 6 weeks for this step.
4. Once the ethics application is complete and approved, the chair and the research coordinator sign the form and emails it to [dissertation@pacific.edu](mailto:dissertation@pacific.edu).
5. Pacifica 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 ethics approval form allowing the use of human participants in the research must be on file before the student posts recruitment flyers, contacts prospective participants for pre-screening, or gathers any data.**

For further resources and information, see the sections on ethics in the *Publication Manual of the American Psychological Association*.

### *Using Case Material*

Many dissertations and the publications that result from these dissertations use case material, which present complex issues in processing and presentation for the scholar. 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 client 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) if altering these facts will not change the reasoning behind any conclusions that have been reached about the case.
- Wherever possible, change details regarding the client’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.

### *Securing Client Consent*

In all instances, research will require informed consent. This is particularly true if the client 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 at least two years 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 databases (i.e., when conducting meta-analyses or past epidemiological research).

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

Students engaging in dissertation research at Pacifica Graduate Institute own the copyright to their finished work. At least one copy of the work is available to the public, a digital version that is published by ProQuest. As the rights-holder to the dissertation, students are legally and ethically responsible for any infringement of copyright and

intellectual property law, and may be subject to a lawsuit if they do not comply. The key points to be aware of include these:

- Students are not permitted to make unauthorized reproductions of copyrighted materials in the dissertation and agree not to do so. **Such copyrighted material does not include brief text quotations from another author's work, but such excerpts must be properly cited to avoid plagiarism.**
- Students should not assume that since they are writing an academic dissertation that the use of copyrighted materials will be deemed to be "fair use."
- Students must contact the copyright owner of each work used in the dissertation and request express written permission to use the material, whether it is published or unpublished, and keep copies of all correspondence.
- Students should allow at least four months to get necessary permissions prior to submitting the dissertation final draft to the committee;
- Students submit a full set of permission statements with the final draft of the work uploaded to D2L.

Students are required to complete, sign, and submit an Intellectual Property and Copyright Infringement form along with the dissertation proposal.

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

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

#### *Definition of Terms*

##### *Intellectual Property*

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

##### *Copyright Law*

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

What else might be protected by intellectual property rights? Such items include patents, trademarks, registered trademarks, registered designs, company logos, cartoons,



created scents, trade dresses, performances, maps, spoken recordings, and lectures. All are examples of items or ideas that can be protected from unauthorized use.

### *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 use. However, fair use is not a law, and is mostly considered more along the lines of a doctrine. U.S. guidelines and common practices of fair use for laws relating to intellectual property are described next.

### *Using Protected Materials*

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

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

According to copyright law, no more than 10% or 1,000 words of a single work may be reproduced without authorization. However, for academic purposes, “fair use” clauses relax such restrictions, if only a little. Though the boundaries of “fair use” are often unclear, anything in the 15-20% range is considered pushing your luck, and anything greater than 15-20% of the entire work will likely be considered unacceptable. Proper attribution and citation are always required (anything else is plagiarism). Most students do not quote more than 10% of a book within their own papers, theses, 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, you may use up to 250 words. Additionally, you may use 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.

### *Music or Lyrics*

Music reproduction is a topic of frequent interest these days, and music publishers are aggressive in litigation against copyright violators. Students may not alter or change the fundamental musical structure or character of the work and they are advised to include only a very small sample or excerpt if doing so without the express written permission of the rights holder. Even if you intend “academic” or “educational” applications of copying or distributing complete songs, you are not protected under fair use. Please note: This means

that students may not submit entire songs or copied CDs to accompany their papers, theses, or dissertations (that's called "pirating" material) without expressed permission from the copyright holders. Additional copyright restrictions involving the thwarting of industry technology (anti-pirating coding) also prevent the copying of entire CDs.

CD artwork, designs and lyrics may also be protected by copyright law, and it is best to seek permission to use these if you intend to reproduce them on a large scale. Fair use may protect you to a degree, as no legal precedent has yet been set for the reproduction of lyrics. Using no more than 10% is recommended; however, if you decide not to seek official permission to reprint lyrics, you do so at your own risk.

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

In most cases, expressed permission to use these must be obtained. For example, if you wish to use a strip from *Calvin and Hobbes*, you 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 you snapped the photo. If you wish to use a picture of the Guggenheim, you may be required to obtain written permission to use the image. Most art and architecture books include an extensive section of items listed as "[re]printed with permission." Also, finding an image on a website does not imply that it is free of copyright restrictions or fees. If you intend to use a photograph of a person, you will need to written permission to do so.

For paintings, you may be required to obtain permissions from the governing/owning body, such as the Tate, the Huntington, the Getty, the National Gallery, and so on, as well as the copyright holder. Copyright permission must be granted regardless of the person photographing the artwork, this includes pictures taken by the student.

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

As with music, you may not alter the integrity of copyrighted art work or make your own modifications.

#### *Videos, Movies and Multimedia*

You 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*

If you would like to use copyrighted materials, 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 is unavailable, you will need to write to the copyright holder to request permission. Below is a sample letter that students can adapt to request permission.

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 Depth Psychology with

emphasis in \_\_\_\_\_. 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

#### *Formatting of Captions: Specifying Copyright Permission*

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 and are single spaced. Captions should be succinct and descriptive, and include the following elements: Figure number, title of figure, source’s name, brief explanation of the figure, year of copyright, copyright holder’s name, and either the phrase “Reprinted with permission by copyright holder” or “Public domain.” As discussed earlier, written permission from copyright holders are required for use of all copyright images, figures, and charts. Here is an example of how to appropriately format a caption:

*Figure 1. Title by Author or Artist. Description that includes information such as publisher, where an art piece is housed, etc. Copyright (insert year) by Copyright Holder’s Name. Reprinted with permission by copyright holder.*

#### *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 and students will not receive an official transcript or formally earn their doctorate.

## **Attaining Approval of the Research Proposal**

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

The chair gives the student the okay about when to send the revised and/or approved dissertation proposal on to the other committee members. Each of them also has a full six weeks to review the work. Readers should submit any comments and revision requests to the chair and the student and discuss their feedback as necessary. For the dissertation proposal to be formally approved, the following forms must be emailed to [dissertation@pacifica.edu](mailto:dissertation@pacifica.edu): (a) Intellectual Property & Copyright Infringement form, (b) approved ethics application, and (c) three Proposal Approval Forms (one from each committee member). When all forms are on file, the proposal will be formally approved and the student will receive email confirmation.

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

Once the dissertation proposal has been formally approved, the student may go on to conduct the study and complete the work. The student completes the research under the supervision of the chair who remains, as before, the student's primary mentor.

If you have developed a thorough and effective research proposal, this next phase of your research can be quite exciting. First gathering your data, then analyzing your data, and, finally, writing up your findings can all prove to be deeply rewarding, enriching and edifying. It is important to make good use of your committee during this time, particularly your dissertation chair.

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

How you organize your dissertation manuscript, subsequent to your proposal will depend largely on the nature of your 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 the data. In addition, they typically include one or more chapters devoted to summarizing the findings and discussing the implications. Qualitative, participant-based dissertations and text and arts-based dissertations are typically 200 pages or more. In contrast, quantitative, participant-based studies are usually less than 100 pages.

## **The Final Chapters of the Dissertation**

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

conclusions, a discussion of findings or conclusions and their relationship to your methodology, and a discussion of the implications of the research.

### *Presentation of Findings*

Both qualitative and quantitative 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.

#### *Findings in 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. These are divided into a Results and a separate Discussion chapter. In other words, initially include only the amount of explanation necessary to help readers understand the basis of the data; you 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 readers to make an independent judgment about the significance of the data and findings. You must not withhold anything from readers that would prevent their judgment. Having offered this detailed presentation of findings you then present a condensed restatement of those findings in a succinct, highlighted form.

#### *Findings in Qualitative, Text, and Arts-Based Studies*

The very nature of qualitative research—regardless whether the study uses participants, textual, or arts-based sources—precludes the possibility of any general format for the findings section. It is, and should be, profoundly shaped by the findings themselves. Yet regardless of the particular kind of study, the most effective discussions of findings and implications include, wherever relevant, the following components:

- a brief retrospective of the nature and structure of the study as a whole, including the research design and methodology
- a condensed reiteration of the significant findings integrated with a thoughtful, comprehensive, well integrated discussion of their meaning or significance
- a discussion of the implications of the research now and for the future, including the implications of your work for the development of depth psychology
- suggestions for further study or methodological development, and, if not already discussed, any social, cultural, or ethical implications that deserve attention

The statement of the study's findings or conclusions will naturally include your own interpretive description and comment of the study as a whole: that is its purpose. However, it is still important to present the information in such a way that readers can make an independent judgment about the overall significance and implications. It is imperative that you not withhold anything from readers that would prevent this judgment from being made.

### *Conclusion*

How you choose to close your dissertation is a matter of personal discretion. Many students simply 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 depth psychology and, perhaps, contemporary life. Other students choose a more creative synthesis, for example, by pointing to essential depth psychological meanings for the past, present, and future. Still other students choose to do both. This final decision rests with you.

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

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

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

### *Assembling the Front Matter*

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

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

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

#### *Title Page*

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

As mentioned earlier, choosing a meaningful yet succinct title for the dissertation is crucial. Limit the length of the title to no more than 12 words that fit on one or two lines. A good title can be shortened into a running head easily. The 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. This page will be given the lower-case Roman numeral "ii."

### *Abstract*

An abstract of between 150-250 words must be included in each dissertation. Type the abstract as a single paragraph without indenting the paragraph. The abstract should (a) give the full title of the dissertation and the student's full legal name, (b) provide a concise yet comprehensive description of the contents of the dissertation including the problem addressed, the methods used, the conclusions or findings, and the stated implications of the study for depth psychology, (c) be written in the third person, for example, "This research explores..." as opposed to "I explore..." and (d) seek simply to report rather than evaluate, comment, or argue.

Because dissertations are now widely available via the Internet, students may also wish to 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*

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

### *Table of Contents*

A table of contents, with page numbers, is required in all dissertations. It should include an entry for the first two level headings, and may also include entries for subsequent (lower) level headings in the manuscript, properly indented and formatted. At the end of the Table of Contents, include a style note at the bottom of the page 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* (2020–2021).

Note: If the dissertation follows the 7th edition of the publication manual, substitute (7th Edition, 2020) instead.

The Table of Contents is an accurate snapshot of the headings and subheadings used in the work, which are designed to improve the readability of long or complex manuscripts by orienting the reader to the subject of the current discussion. A dissertation may have up to five levels of headings. Writers usually plan them carefully, either before or during writing. Some writers, for instance, make a working outline of the sections of the entire dissertation ahead of time to establish a hierarchy of headings. Others reflect on headings and subheadings during or even after producing a first draft. Thus, creating headings in the work requires a judicious combination of imagining the overall structure of the work along with imagining what will be helpful to the reader. The only firm rule of heading levels is that you must have two or more headings at each level in each section of a chapter—just as with standard outline format, wherein you can't have a "I" without a "II," an "A" without a "B," a "i" without a "ii," or an "a" without a "b."

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

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

### *List of Figures*

If the dissertation includes plates, charts, diagrams, or illustrations scattered throughout the text, a separate List of Figures with page numbers must follow the table of contents, on a separate page. Students should use the figure number and title of the figure as labeled in the captions, described later in this chapter, to compile the List of Figures.

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

### *Front Matter Template Pages*

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



Running head: SHORTENED TITLE

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

[Title of Dissertation]

A dissertation submitted

by

[Student's Legal Name]

to

Pacifica Graduate Institute

in partial fulfillment of  
the requirements for the  
degree of

Doctor of Philosophy  
in  
Depth Psychology

with emphasis in  
[Name of Specialization]

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

Month Day, Year  
*(date final draft was approved)*

**Sample Copyright Notice**

Copyright [year final draft was approved] by

[Student's 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)

**Sample Abstract Page**

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

## 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 6-10 keywords immediately following the body of the abstract, which will count toward the 250-word maximum length of the abstract. The line containing keywords appears on a separate line, indented, immediately following the abstract paragraph as shown below. Note that “Keywords” is in italics and followed by a colon, and each of the keywords is in regular font, not capitalized, and separated by commas. Do not end the keywords line with a period.)

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

### *Finalizing the Body of the Dissertation*

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

### *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, name of the artist, brief explanation of the figure, source of the figure/image, and either the phrase “Reprinted with permission” or “Public domain.”

### *Assembling the End Matter*

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

A last section may contain supporting data for the text in the form of one or more appendixes. 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.

## **Using Your Own Published Articles in a Dissertation**

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

## **Gaining Final Draft Approval**

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

When you submit the final dissertation draft to any of the committee members, include copies of the Approval of Dissertation Final Draft form. Once the reader and external readers have signed their copies of the form, they send it to the chair, who emails them to [dissertation@pacifica.edu](mailto:dissertation@pacifica.edu). Once the dissertation is approved, students begin preparing the manuscript for publication.

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

### Step Six: Preparing the Manuscript for Publication

After the committee has approved the final draft, students review the entire work 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 to the content, incorporate all revisions before submitting the manuscript for professional proofreading.

#### Hiring a proofreader

In the next step, students hire their own professional proofreader to copy edit the work, which includes correcting grammar, punctuation, formatting, checking list of references and the table of contents for accuracy, and proper use of APA style. Pacifica Graduate Institute requires students to use either the 6<sup>th</sup> or 7<sup>th</sup> edition of the *Publication Manual of the American Psychological Association* as the dissertation writing style guide. Be sure your proofreader follows its guidelines.

- Students who registered for dissertation writing before Fall 2020 may use either the 6<sup>th</sup> or the 7<sup>th</sup> edition of the publications manual.
- Students who registered for dissertation writing during or after Fall 2020 must use the 7<sup>th</sup> edition of the publications manual.

#### Proofreading Checklist

During proofreading of Depth Psychology dissertations, the following items must be checked:

1. Proper APA formatting of the dissertation itself and the front matter—consistently following either the 6<sup>th</sup> or the 7<sup>th</sup> edition of the publications manual—including font style and size, page margins, page numbering, consistency in paragraph style;
2. Consistent and correct headings and subheadings;
3. Correct and accurate table of contents in which subheadings match TOC in language, capitalization, and page numbers;
4. Consistent and correct list of references (i.e., all texts cited in the body appear in the reference list, and all item in the reference list appear in the body of the work);
5. All figures have captions;
6. All images subject to copyright have proper attributions, student has express written permission for the use of the images, and the dissertation includes a list of necessary permission statements.

The proofreader should correct all errors in the entire manuscript using Track Changes. When the file is returned to you for correction, keep one copy with the visible markups and create a corrected clean copy of the file under its own file name. Students are required to submit both files to D2L as proof of copy editing.

### **Working with your proofreader**

Keep the following points in mind while working with your proofreader:

- All manuscripts will be checked for plagiarism.
- The proofread manuscript may *only* be submitted in Microsoft Word format (.doc, .docx); it may not be Pages, PDF, or any other file format.
- The work must be accompanied by letters or email giving express written permission to use any copyright-protected image in the work.
- Before inserting images into the work, save them in JPEG format with a resolution of 448 x 336 to 640 x 480 to ensure that the manuscript will meet the file size requirement.

### **Submitting the corrected manuscript to Pacifica**

Students submit two copies of the proof-read work via D2L: the marked-up copy showing the proofreader's edits and the final, clean copy with the edits incorporated.

### **Publishing the Dissertation**

Once a dissertation is proofed and corrected and the student's degree has been posted, the work is published digitally through ProQuest Dissertation Database where it is available to a worldwide community of scholars. In addition, students have the option to order hardbound copies for themselves and others.

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

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

Students must complete the 3-page ProQuest/UMI publishing form digitally (not hand-written) in full, which authorizes ProQuest to digitally publish the work and sell (at cost) copies of the manuscript. Students also use this to copyright the work. ProQuest charges no fee for traditional publishing and \$95 for open access publishing. There is a charge of \$75 for copyrighting. These fees are included in the student's final dissertation bill. Please note ProQuest fees may increase at any time without notice.

Pacifica Graduate Institute does not allow students to choose the embargo option offered by ProQuest. Dissertations are sent to ProQuest for publication as soon as students complete all dissertation and degree requirements.

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

Students are not required to order printed copies of their dissertation. If desired, printed and bound copies of the dissertation may be ordered directly from ProQuest or any academic bindery.

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

Students submit a Library Catalog & Methodologies Form to [dzakhour@pacific.edu](mailto:dzakhour@pacific.edu) make basic information about the research—dissertation title and methodology used—available through the Pacifica library. Among other things, this information helps students decide whether or not to read the copy of your work because they are interested in the topic, methodology, or both.

### *Copyrighting of Dissertations*

Because the deposit of a dissertation at Pacifica appears to constitute publication under the terms of the copyright law (Title 17, section 101), Pacifica requires students to have a copyright of their dissertation. Once your degree has been posted, your dissertation will be submitted 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.

## Step Seven: Completing the Oral Defense

After students complete Step 6—with an approved publication-ready dissertation, have submitted all required forms, and are in good standing with the Student Accounts Office—they may begin the final step, the oral defense.

### **Scheduling the Oral Defense**

Scheduling the oral defense is a coordinated process involving the student, committee, and, optionally, Pacifica's dissertation administrators. It begins when Step 6 is complete. The student and chair find a convenient time for all committee members. When the defense is conducted via Zoom, chairs who opt to schedule and run the defense themselves oversee the process of creating a meeting link, opening the meeting, hosting the defense process, and closing the meeting.

If the chair prefers assistance, they find a convenient time for all committee members and work with dissertation administrators to confirm the date, time, and location of the oral defense. Then, and only then, is the actual dissertation defense date official. (Please do not make non-refundable travel arrangements for a residential oral defense until Pacifica confirms the defense date.) An announcement is emailed to the student's cohort, faculty and staff, and posted on the Pacifica Dissertation Oral Defense webpage (<http://www.pacific.edu/about-pacific/pacific-graduate-institute-student-services/dissertation-oral-defenses>).

Although students must be enrolled in dissertation writing while awaiting committee review and approval of the final draft, they may do proofreading and defend after their dissertation registration period ends (so long as it is before the expiration of the Program Time Limit).

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

The oral defense can take place in one of two forums: a residential defense at the Institute or remotely, via Zoom. While the campuses are closed to abide by state safety guidelines, all defenses will be conducted via Zoom. Once campuses re-open, the student and committee discuss which option is best for all concerned: either a residential or a remote (Zoom) oral defense. In either venue, the defense may include faculty, students, staff, alumni, and invited guests. Committee members who are unavailable may participate by submitting questions that the chair will ask the student on the person's behalf.

For residential defenses, the Institute can provide a laptop connected to a projection screen, a hookup for a student's personal laptop to connect to a projection screen, and a portable CD player. It is the student's responsibility to provide any special equipment. Please email [dissertation@pacific.edu](mailto:dissertation@pacific.edu) at least 2 weeks in advance of any AV equipment requests or special room setup.

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

- 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 organize and remember what you plan to say, and/or create a PowerPoint for coherence and visual interest.
- Rehearse the dissertation presentation out loud beforehand. You will need to condense or discard aspects of the research for the sake of clarity and brevity.
- When fielding a question, pause a moment to collect your thoughts. Thoughtful, well-considered answers are more impressive than rambling ones.
- If you do not understand a question, ask the speaker for clarification. If you do not know the answer to something, say simply that you do not know.
- Avoid slipping into defensiveness. Their questions are intended to probe more deeply into the study, including its limitations.
- Remember that everyone wants to see you succeed. Most students look back fondly on the dissertation defense as a meaningful experience.



## **Completion of Degree Requirements**

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