PREFACE

The design of the Handbook is to serve as a guide to the dissertation process at CIIS—to be consulted as your first resource. Please do read the Handbook completely as you approach the dissertation process. Reading it early in your student career will be of great help when you do your dissertation planning. The Handbook also provides a reference for the external reviewers who serve as dissertation committee members, clarifying the program’s requirements and expectations.

There are many books and guides available to assist you at every phase of the dissertation process. This Handbook focuses on what is unique to the process at CIIS, and does not attempt to duplicate what is covered in such sources as the following.

1. The APA Publication Manual (5th edition, 2001) is your indispensable guide to editorial style and formatting. For required exceptions to APA style, see the section on “Writing and Typing the Dissertation.”

2. APA’s Ethical Principles for Psychologists and Code of Conduct (APA, 2002).

3. Ethical Principles in the Conduct of Research with Human Participants (APA, 1982) is the official source on these issues. It is organized as a discussion of principles with illustrative examples, rather than as a set of rules.


This Handbook is subject to periodic revision, and your suggestions for improvements will be appreciated.
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APPENDIX A: General Issues in Quantitative and Qualitative Research
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DISSERTATION TIMELINE: OVERVIEW OF THE PROCESS

This timeline assumes that you are pursuing a four-year degree program. If you are not, you may need to readjust the timing of these steps.

First year:
- Begin to identify general topic areas that interest you as dissertation topics
- Get acquainted with faculty and discover who has research interests similar to yours

Second Year:
- During the year-long Research Design and Statistics course sequence, look for methods that relate to your developing questions and topics. Be attentive to the research process. Be open-minded about method since the research method follows from the research question.
- In spring semester, register for Introductory Dissertation Research Seminar. Faculty and their interests will be introduced during this seminar. Here you will narrow your research focus and begin writing your dissertation literature review and methodology. Reread the Dissertation Handbook. Identify model articles and dissertations that can guide you.
- In spring semester, identify a faculty chairperson for your dissertation committee and obtain their permission to register with them for Dissertation Research in the fall semester.
- Create a timeline for yourself, with consultation of your chairperson which includes major dissertation milestones, educational and practicum/internship activities, and personal events that you can anticipate.
- Complete the Second Year Comprehensive Evaluation and second year coursework.
- Over the summer, continue gathering articles and writing the literature review.

Third Year:
- Register for Dissertation Research with your chairperson and develop a plan to work with him or her during the semester. At this point, you will be working one-to-one with your chair to develop the dissertation proposal. [Notice that during this semester you are also applying for internships.]
- Optional pilot research: give your questionnaires a dry run, appraise how long it takes to complete instruments, gather exploratory data. Be sure HRRC approval is not required for your pilot work.
- By midwinter, complete the dissertation proposal, which includes the first three chapters of the dissertation, i.e. Introduction, Literature Review, and Methodology. Give complete draft to you chairperson for review. Allow two weeks turn-around time.
- With your chair, identify an external reviewer for your proposal, if you have not yet done so. The PsyDoc Office maintains a list of potential external reviewers. Obtain approval of your external reviewer from the Program Director. [Note:
external reviewers (ER) are non-Institute faculty who receive compensation for their reviews of the proposal and dissertation.

- For empirical dissertations involving human participants, write, review with your chair, and submit the Human Research Review Committee protocol. You must receive approval from HRRC before you begin gathering data. The Committee meets on the third Thursday of each month and needs to receive your materials 10 days prior to the meeting date.
- Send the proposal to the approved external reviewer, again allowing a two-week turn-around time. After receiving feedback from the ER, address the concerns in consultation with your chairperson.
- Once the external reviewer and HRRC processes are complete, your proposal must be approved by the PsyD Program’s Director before you can begin gathering data. [Notice that in the spring of the third year, you will also be working on your clinical competency exam.]
- Make a plan with your chairperson for work to be done over the summer and when and how contact can be made while faculty are off campus.

**Fourth Year: (typically, the internship year)**

- Complete data gathering and analyses according to the proposed plan.
- Write the Results and Discussion chapters.
- Submit a draft of the completed dissertation to your chairperson for approval.
- Once the dissertation is approved by your chairperson, send the dissertation draft to your external reviewer.
- Address the external reviewer’s feedback, making changes in the dissertation where necessary.
- Schedule a dissertation defense with your Chairperson and reader. Send final drafts of the dissertation to both committee members 2 weeks prior to the defense.
- Notify the PsyDoc program office at least 2 weeks ahead of time of the date and time of your defense so that it can be publicized.
- Once the dissertation is signed off by chairperson and external reviewer, submit the dissertation to the PsyDoc Office and to the registrar prior to the June graduation deadline (for June graduations). This is usually about March 1.
- Submit the dissertation to the Library by the April 15th (approx.) deadline.
- Celebrate!
- Graduate!
THE DISSERTATION PROCESS

The CIIS Psychology Doctoral Program conceives the doctoral dissertation in much the same way as does the National Council of Schools and Programs of Professional Psychology (NCSPP). The dissertation is part of a clinical training program where there is a “broadened view of psychology with a flexible epistemology, multiple ways of knowing, and how practitioners doing practice remain local clinical scientists doing disciplined inquiry….” (Peterson, Peterson, Abrams, and Stricker, 1997, p. 373) Compared to traditional approaches, the PsyD dissertation may have a more applied focus and will “embody a broader array investigative approaches and a wider range of dissertation topics, which have in common an omnipresent emphasis on disciplined inquiry as basic to clinical education.” (Peterson et al., 1997, p. 373)

What is the CIIS Psy.D. dissertation?

The CIIS PsyD dissertation reports the results of original research that makes a significant contribution to the field of psychology. Further, it is of a quality that would be recognized as professional work by our peers. For example, an article based on the dissertation would be accepted for review by a peer-reviewed journal in the area of the dissertation topic. In addition, as suggested by the NCSPP descriptions, the Psy.D. dissertation may use a wider range of methodologies, as outlined in this Handbook. Finally, in keeping with the integral mission of CIIS, many CIIS Psy.D. dissertations explore questions acknowledging the interrelationships of body, mind, and spirit and the value of Eastern as well as Western approaches to psychology.

In the simplest terms, regardless of the method of study chosen, the dissertation includes:

- formulation of a well-justified and explicit research question from the field of psychology
- a focused but complete critical review of relevant literature
- explication of a methodology appropriate to the research question
- application of the methodology to the information developed by the research and data collection
- discussion of results or outcomes, as informed by the literature review and the larger significance of the investigation to the field of psychology

Choosing a Topic

California licensure requires that the dissertation is “psychological in nature,” and this term was elegantly defined as follows in a meeting of the Board of Psychology on March 17, 1990:

“Psychological in nature” incorporates the integration or association of the mental, physiological, social and/or behavioral factors in relationship(s) which are rooted in the laws and principles of psychology and mechanisms of behavior; explicates the understanding, prediction and influencing of behavior; explicates the
diagnosis and amelioration of psychological problems; explicates the construction, administering and interpretation of tests, growing out of or having its genesis in theory formulation, hypothesis formulation and testing; case study methodology; conceptual analysis; experimental manipulation; correlational analysis; or an integrated literature review which defines, compares, unifies and integrates psychological knowledge.

Please give careful thought to selecting a topic. Be sure that your chosen topic is “psychological in nature”, as opposed to philosophical, sociological, etc. Since you are enrolled in a Psy.D. program, dissertation research should make a meaningful contribution to the practice of professional psychology.

Refining the Question

Most students find it helpful to explore research questions for which they have genuine feeling. Do allow the time and care to discover a topic you really care about. Explore an area that has personal relevance. Make your dissertation project an undertaking that is personally enriching. It will assist you greatly in sustaining your commitment to a demanding endeavor. Reading the literature on your topic should be engaging, not boring. For an excellent book-length description and tutorial regarding this process, and books on how to choose a topic, see Booth, et al, The Craft of Research; Kumar and Ranjit (1996), Research methodology: A step-by-step guide for beginners, and Rudestam, K.E., and Newton, R.R. (2000). Surviving your dissertation: A comprehensive guide to content and process.

One marker of limited interest would be the realization, in the midst of conducting a literature review, that you are not interested in what you are reading.

Because this is a lengthy process, you will want to begin thinking about your dissertation right from the very beginning of your graduate school experience. Collect and compile hunches, ideas, and materials. Avoid putting off the generation of dissertation ideas until the end of your coursework.

Choosing a Method

The methodology selected should fit the research question and must be defensible. The research question dictates choice of method and not vice versa.

Psy.D. students undertaking quantitative or qualitative research must demonstrate competence in that methodology beyond their formal training. That is to say, careful examination of the literature leads the student to the methodological approaches that have been applied in the research area. This enables one to achieve a deeper, more critical appreciation of the value and limitations of those methods.

Psy.D. dissertations often involve the collection of new data, quantitative or qualitative. These methods can be complementary, where the dissertation can include imaginative combinations of both. (For fuller discussion of qualitative methods, see J.M.

**Common Questions about Dissertation Research**

**Can I Use Archival Data?**

Though students usually collect original data, archival data may be appropriately utilized in some designs (if the methods that were used to acquire the archival data were appropriate methods to answer your specific research question).

**Can I write a Theoretical Dissertation?**

While theoretical dissertations in our Psy.D. program are permitted, it is generally the case that such treatises are attempted during the later stages of one’s professional career. Such projects presuppose considerable intellectual background and preparation, not to mention a serious commitment of time (certainly more than an academic year or two) for completion.

**What is the Role of Case Study in Dissertation Research?**

The analysis of a single clinical case cannot qualify for a Psy.D. dissertation. Given an appropriate methodology, a systematic series of case studies or a single subject design study may be acceptable.

**What is the Role of Personal Experience in Dissertation Research?**

Personal experience always serves as a context for doing any kind of psychological research. In many ways, it is fundamentally from our knowledge of ourselves as an “n” of 1 that we approach all research questions. Knowledge regarding the single case—whether that initial “n of 1” is ourselves or another person or a case study—has been considered to be a useful preliminary method to begin the exploration of a new research question. Often such studies are called pilot studies and can provide very useful insights to later plan and execute a more comprehensive study using more than one participant.

There are indeed unprecedented situations where, because of our own personal experience, we are uniquely situated to be able to study a particular phenomenon. An example might be a situation where we have survived a traumatic event, and because of our unique position, we might be able to conduct research to explore relevant psychological issues both in our own experience and in the experiences of other individuals. It would not be adequate for a dissertation to only explore our own idiosyncratic “n of 1” experience; yet our own experiences could be part of a larger project that would include an investigation of others.

One potential problem with research that directly includes personal experience is that if our own personal experience is so intense and overwhelming regarding the topic at
hand, we may be unable to maintain the necessary self-reflective, self-critical stance that is indispensable for receiving dispassionate feedback. To determine if a particular research topic, which directly includes such personal experience, would be considered problematic, it would be best to consult with several faculty members well in advance of working on such a project.

In contrast, it is also problematic if we have too little personal interest in the research topic. The ideal is to have a compelling curiosity about the research question, have personal experience that provides us with insight that can be obtained in no other way, and have sufficient psychological distance to be able to critically reflect upon, and seriously entertain, alternative views regarding relevant issues. A clear sign that such self-reflection is absent is when we are prematurely adamant about the nature of the phenomena we are studying and resistant to considering alternative viewpoints.

**What is the Role of the Pilot Study in Dissertation Research?**

Pilot research can be of benefit if you are developing a new questionnaire where you will want to insure in advance that it performs in the way you want—so that the participants understand the questions in the way you intend, that they are willing to answer them, etc. If you are doing interviews, you may want to practice your technique, or to get a feel for how long they will last. Whether pilot data can be included in the actual dissertation results really depends on the nature of the pilot project and its outcome. If you do pilot research, you may need advance approval from the Human Research Review Committee.

In this context, dissertations and published research sometimes will include but not be limited to materials from case study, pilot research, or personal experience, to help identify important issues that can be understood in no other way. For these reasons, case study, pilot research, or personal experience methods are of great value in psychological research.

Because case study, pilot research, or personal experience methods are considered a preliminary step in the research process, they are not, in themselves, acceptable for dissertation research or for a research publication. This is consistent with the long standing tradition in the discipline of psychology of searching for general principles about psychological issues that apply, at a minimum, to identifiable groups of people. It is the systematic search for general principles that might apply to a group in question that determines whether our initial pilot “findings” are either generalizable or idiosyncratic. It is the discovery of such general principles that make for a dissertation’s contribution to the field.

**Writing Standards for the Dissertation**

Students should develop proficiency in the language of the discipline and know when it is appropriate to use formal and less formal writing styles. Where it appears to be justified and appropriate, flexibility of stylistic expression is encouraged. Students must follow the writing standards and style that are described in the *Publication Manual of the American Psychological Association (5th Edition)* (2001). This manual for
academic writing in the field will help the student to express ideas in a form both accepted by and familiar to a broad, established readership in psychology. Although the Manual primarily describes standards for preparing journal manuscripts, the writing standards apply equally to dissertation manuscripts. A useful step by step text for turning clumsy prose into the clear, powerful, effective writing is J. M. Williams’s Style: Toward Clarity & Grace. University of Chicago Press, 1995.

Library Resources

Both the CIIS Rockefeller Library and the following article are resources for literature searches: K.E. Joswick, “Getting the most from PsycLIT: Recommendations for searching.” Teaching of Psychology, Feb. 1994, 21(1), 49-53. CIIS is a member school of the Northern California Consortium of ten institutional libraries with borrowing privileges for students. In addition, CIIS students can obtain University of California library privileges through any UC alumni association for a nominal yearly fee.

The CIIS Library and the CIIS Library Website have extensive on-line resources including PsychArticles (full text APA journal articles available online at CIIS), full text articles available through several other databases, Psychlit database of abstracts of psychology and medical journals articles and books, digital dissertations (full text dissertations published since 1997 available in PDF files for download at home or burning on CDs in the CIIS Library), as well as Interlibrary Loan.

If you are not acquainted with CIIS Library’s on-site and on-line resources, schedule a personal orientation with the reference librarian soon!


Appendix C: Finding Information about Psychological Tests (from APA website).

Critical Thinking Standards

Since the late 1960s, we have witnessed the emergence of what has come to be referred to as “advocacy-oriented” perspectives and methodologies such as feminist theory, critical theory, ethnic theory, etc. Every point of view and approach to scholarly work is anchored in a world view and a set of epistemological assumptions. The discourse in dissertations should reflect a balance between dispassionate, incisive thought and passionate, literate expression and advocacy (Refer to W.C. Booth, et al, The Craft of Research, 1995).
Types of Dissertations

Qualitative Dissertations

With the possible exception of phenomenology, qualitative research in psychology has until recently been published in the journals of other disciplines—e.g., education, sociology, anthropology, health sciences, history, communications, political science. It has only been recently that the unique capacity of qualitative approaches for examining psychological phenomena has been appreciated. Students electing to adopt such methods, therefore, may need to consult sources in disciplines other than those found in academic psychology.


Quantitative Dissertations

Quantitative methods and data analysis provide sophisticated tools for investigation of the relation among variables. In their long evolution, these tools provide the basic working methods for the physical, biological, and social sciences. Competence in the use of quantitative methods is an essential requirement for students who aim to teach in college settings.

Quantitative methods require that units of analysis be placed in correspondence to a number through some operation such as counting or measurement. The substitution of numbers for objects or amounts permits easy and precise manipulation of information. If it can be identified, usually it can be counted or measured. The use of the computer has vastly reduced the time and increased the options for data analysis, including two, three, and n dimensional graphic displays suitable for reproduction as figures in dissertations. Quantitative analysis permits precise representation of results for a given body of information.

Quantitative statistical methods vary from non-parametric tests of contingency, such as Chi Square, to sophisticated methods such as multiple abstract analyses of covariance. Within this range of methods (from the simple to the more complex) are a host of special techniques appropriate for specific empirical and general theoretical questions: factor analysis, and cohort, discriminant, and path analysis. Methods and computer programs exist for a range of empirical and theoretical paradigms.

Choice of design and quantitative method must be appropriate and well-matched to the dissertation’s issues and questions. Candidates who make use of quantitative methods should understand and be competent to explain the assumptions and operations involved in the data analysis. The candidate is responsible for constructing the data
analysis. Data analysis should not be “farmed out” to a consultant. Consultation is acceptable, but the data analysis must be performed by the candidate. A dissertation defense may include detailed questions about the quantitative methods involved.

General Issues in Quantitative and Qualitative Research

Appendix A provides a summary of general issues that are important to consider when determining if qualitative or quantitative research methods are more appropriate for a particular research question. This Appendix also discusses the purpose of research, the role of theory, the use of deduction and induction in research, methodological threats to validity, and dealing with bias in dissertation proposals.

Varieties of Dissertations

See Appendix D for more details and for references to dissertations and journal articles that are models of each method.

Quantitative Studies
Group designs (design of many traditional dissertations)
   Experimental
   Correlational/quasi-experimental
   Archival or original data

Quantitative single or multiple case designs
   N of 1 research (Kazdin, 1998)
   Time series designs

Qualitative Designs
Ethnography
Ethnomethodology
Field Research
Grounded Theory
Narrative Analysis
Participant Observation
Phenomenological Study
Approaches using theory-driven analysis/coding of transcripts

Mixed Quantitative and Qualitative Design

Program Evaluation

Professional and Public Policy Issues

Integrations
   Integrative case studies
   Integrative literature reviews
   Meta-analysis:
quantitative pooling of participants across empirical studies to evaluate effect sizes for given treatments
Selecting a Committee

CIIS PsyD dissertation committees ordinarily have two members, the chairperson and the external reviewer. Both committee members must hold either a Ph.D. or Psy.D. degree. The chair must be a core faculty member in the PsyDoc program, and there are no exceptions to this policy. The chair is the person with whom you work most closely and holds all final decision-making authority.

Among the points to keep in mind when selecting a committee chair is compatibility of working styles. Some students like to work as independently as possible and will consequently be comfortable with a laissez-faire chair with whom there is minimal necessary contact and supervision. Other students need ongoing support and feedback and should find a chair who can provide more active guidance.

The external reviewer, a non-Institute committee member, serves as an objective reader of the proposal and dissertation. Unlike traditional committee members, the external reviewer does not play an interactive role in proposal development or data analysis; the external reviewer’s role is to independently evaluate and provide written feedback on the proposal and, later, on the final dissertation draft, and then to participate in the dissertation defense. Students have no ongoing contact with the reviewer, and it is inappropriate to consult with the external reviewer at any time along the way.

Persons in a possible conflict of interest position are ineligible to serve as external reviewers. Examples of this situation are your personal therapist, business associates or coworkers, employer (including a licensed psychologist to whom you report as a psychological assistant), employees, supervisors, fellow psychological assistants, friends, or relatives. If the status of a committee member changes in such a way as to make membership on the committee inappropriate, secure a replacement and submit a new Dissertation Committee Approval form.

Steps to Develop the Dissertation Proposal and to Form the Dissertation Committee

Beginning the dissertation process signifies your preparedness and willingness to conduct independent scientific inquiry under supervision. It means that you have mastered the necessary elements of research design, and qualitative/quantitative analysis as appropriate to your intended scholarly inquiry.

1. Students begin formally developing the dissertation proposal during the Introduction to Dissertation Research seminar. The major product of this seminar is the preparation of a preliminary literature review and methodology for the dissertation.

2. When a student is ready to start the dissertation process, s/he contacts a core faculty member to determine if s/he is available to review a dissertation proposal and if they are available to chair a dissertation. Not all faculty members may have openings for new dissertation commitments at the time that you inquire.
3. Students should then submit a prospectus including only the title page, abstract, introductory section, and references to a prospective chairperson. The specific contents for these sections are described in the following section.

4. Based upon the faculty person’s review of the prospectus, the potential chairperson may choose to request to review the completed dissertation proposal, to support and appraise the development of subsequent drafts of the proposal with the student, or refer the student to a more appropriate faculty member.

5. If the faculty member agrees to act as the dissertation chairperson, the student and faculty member complete the Dissertation Committee Form for submission to the PsyDoc Office.

6. Use the specific format outlined below for the dissertation proposal.

7. The student and chairperson may confer about the choice of an external reviewer. A listing of approved external reviewers is maintained in the PsyDoc Office. You may also nominate an external reviewer for final approval of the PSY program director.

8. The external reviewer is added to the student’s Dissertation Committee Form.

The Dissertation Proposal Outline

The Dissertation Proposal outline which all dissertation students are to follow is given below. The length of your proposal and the outline for your completed dissertation are matters appropriate to your specific dissertation, and should be developed in consultation with your chair. Proposals include the following:

Title Page

Full title of proposal (maximum length: twelve words)

Name of investigator(s)

Affiliation, address, phone, fax, e-mail

Indication of proposal context

Abstract (approx. 1 page)

(A one page, detailed and concise summary of the entire proposal)

Table of Contents

(In the Table of Contents and in the Proposal itself, use the following section and subsection designations)
I. Introduction

Justify the importance and significance of the research. State the purpose or aims of the project. Summarize for the reader, section by section, what the proposal will communicate. The introduction serves the purpose of placing all that comes later in an understandable context.

II. Review of the Literature

A. Literature Review

This should contain most, if not all, of the organizational sections and literature that will be reviewed for the complete dissertation. Your review must be a critical appraisal of the literature, not simply a summary.

B. Integrated Discussion of Research

Discuss strengths and weaknesses of the prior research in terms of conceptualizing the problem and the appropriateness of research methods.

C. Unresolved Issues

Discuss all the unresolved issues, and indicate the specific issue(s) that you will explore in your research, and why you have selected this issue.

D. Research Question(s) and/or Research Hypotheses (if relevant to design) (approx. 1-2 pages)

Describe in detail your specific research question as it will be explored in this study.

III. Method

A. Design (usually one paragraph)

Describe how your methods flow directly from the type of research question that you are asking and what specific research paradigm your methods are situated in. Discuss the strengths and weaknesses of this paradigm and related methods.

B. Participants

Describe proposed sample, including inclusion and exclusion criteria, recruitment procedures, and use of incentives or compensation.

C. Materials or Measures

Describe any materials (tests, apparatus, special forms, etc.) used for data collection.
D. Procedure

Give references to prior published research using these particular data collection methods and use this prior research to provide specific details of the proposed procedures.

IV. Results

Give references to prior published research using these particular data analysis methods and use this prior research to provide specific detail and justification regarding your proposed data analysis methods as they apply to your hypotheses or research questions.

V. Discussion and Conclusion (Leave blank).

In the completed dissertation, this section should include explication of results and relationship of findings to previous research and/or literature, limitations, implications of findings, conclusions, and suggestions for future research.

VI. References

The references should reflect an in-depth knowledge of the subject matter relevant to your topic. Often that results in several pages of references.

VII. Appendixes

A. Consent Forms and Recruitment Flyers

B. Other Relevant Documents such as unpublished instruments, questionnaires or surveys to be used.

Changing Committee Members

Changes in committee membership (chairperson or external reviewer) is an unusual event and always requires the approval of the Program Director. Chairs who leave the CIIS faculty usually continue to serve as chairs. Changes in chairs for other reasons are rare, and a petition for doing so should present compelling reasons.

The Role of the Chair

The role of the chair is a delicate one, comprising two conflicting aspects. On the one hand, the chair is the major line of quality control, and as such must be highly critical and evaluative. On the other hand, given the trials of the dissertation process, the chair also frequently needs to be supportive, nurturing, and encouraging. To maintain a good working relationship, you will accordingly need to be careful not to take advantage of that potential role conflict, neither misinterpreting nor exploiting your chair’s efforts at supportiveness. An enthusiastic reaction to a proposal idea does not necessarily mean that you’re about ready to start collecting data. Likewise, praise for a first draft of the dissertation does not mean that you’re about ready to graduate. By all means ask for
appropriate help and support, including reasonably prompt reading of what you write. At the same time, bear in mind that the responsibility for the quality of the work and the meeting of timelines is primarily and essentially yours. If you are rushing to meet a school calendar deadline or some other time constraint for data collection, for example, it is still your responsibility to get the final document in shape before requesting signatures. In sum, to preserve a good working relationship, it is a good idea to respect your chair’s opinions and accommodate to the chair’s exercise of pedagogical prerogatives in guiding the written presentation of your work.

Guidelines for Working with the Chair

Please read through the following guidelines. If you follow the suggestions below, the time spent working with the Chairperson of your dissertation will go more smoothly and be more rewarding for both of you. The guidelines ensure you and your committee are operating within an agreed-upon framework that will minimize frustrations and potential misunderstandings.

1. Before handing in any part of a proposal to your Chairperson for reading, make sure it has been proofread for APA style, spelling, punctuation, grammar and coherence. *Proposals with poor written expression, and/or those that do not follow APA style requirements will be returned for revision without a full reading.*

2. Please give your Chairperson whole chapters to read, and wait for them to be returned to you with revisions before submitting new versions of the same section. *Always return the previously edited draft with the revised version.*

3. It is reasonable to expect that a faculty member will be able to read a chapter draft within two weeks, but larger chunks may take longer. Also, expect slower turn-around during the first and last two weeks of the semester when faculty are grading papers for their courses. Remember that the length of time it takes to read and write comments on your work will be related to both its length and overall quality.

4. It is very important that you *not* send the final draft of either your proposal or the dissertation to the external reviewer without first discussing with your Chair. Any draft must receive an “OK” by the Chairperson. This is because they do much less editing and reading than the Chair.

5. Do *not* assume your Chair will read material as quickly over breaks in the school year or during summer. Make sure you understand clearly ahead of time what the limits of your Chair may be in this regard. Faculty members will return phone calls as promptly as possible, but keep your expectations in line with human capacity. Remember that no matter how high your anxiety, the use of respect, appreciation, humor and good manners go a very long way toward cooperation.

6. Perhaps unlike any other writing you may have done in your academic career to date, a dissertation requires much revising and rewriting. Sometimes a chapter will go through several drafts before it is acceptable *even at the proposal stage.* Please do not try to convince any committee member to approve a draft because of your personal
time constraints. A dissertation is not done until it is done -- relax and enjoy the process.

7. Always discuss potential publication credit in advance of completion with your chair! Though CIIS does not require, as a matter of policy, preparation of an article for publication based on the dissertation, you are strongly encouraged to write and submit an article with your chair. According to APA’s Ethical Principles, you and your chair should discuss the allocation of publication credit, and whether or not your chair’s name is included as co-author, in the event that an article based upon your dissertation research is later submitted for publication. You will always be the first-listed author of any initial publication of your research. It is essential that you have such a discussion with your chair before your research is very far along in order to avoid any misunderstandings later on.

The Selection and Role of the External Reviewer

It is the role of the external reviewer to provide objective evaluation and feedback on the dissertation proposal and the final dissertation. At best, the external reviewer has a fresh and disinterested view of the dissertation and serves as “quality control consultant” at the proposal and final dissertation stages of the project. The external reviewer does not function as an actively involved committee member, but rather is an independent reviewer of the proposal and the dissertation. Students have no consultative or ongoing contact with the external reviewer.

The external reviewer must have demonstrable expertise in the content and methodology of the dissertation, as evidenced by publications, presentations, contracts, teaching or research in the dissertation area. It is also desirable that s/he have experience working on doctoral dissertations. External reviewers must meet the program’s criteria for appointment as an associate professor.

The dissertation chairperson may recommend an external reviewer to the Program Director, in consultation with the student, and sends the resume of the proposed external reviewer to the Program Director if it is not already on file in the PsyDoc Office. The PsyDoc Coordinator maintains a file of potential external reviewers from which students and chairs may select for recommendation, or the chair may request appointment of an external reviewer by the Program Director.

Once an external reviewer has been recommended, approved, and has agreed to participate in the dissertation process, a formal contract is created by the PsyDoc Office. If it is helpful to you, you may request a preliminary review of your draft proposal from the external reviewer – an optional step. Otherwise, the external reviewer receives the final draft of the proposal and completes the review and evaluation form that asks the reader to comment on the literature review, hypotheses, and methodology within a 30 day period. The external reviewer provides copies of the review to the student, chairperson, and Program Director. Please keep in mind that the external reviewer is a constructive critic of your work and not an ongoing consultant that can provide you with assistance as needed.
In the review and evaluation process of both the proposal and the final dissertation, the external reviewer may request changes ranging from minor editorial amendments and/or clarifications to substantial reworkings of literature review, methodology, and/or discussion and conclusions (in the case of the dissertation). The student, in consultation with the chairperson, is expected to address all comments made by the reviewer. If substantial modifications are requested, the chairperson may confer with the external reviewer for clarification. If agreement cannot be reached between the chairperson and the external reviewer, the chairperson and Program Director may confer. The chairperson is presumed to have final authority on the dissertation. If the external reviewer does not accept the chairperson’s decisions, the Program Director may appoint a new external reviewer for the proposal and/or the dissertation or require that the recommended changes be made.

Committee Meetings

In the Psy.D. dissertation process at CIIS, the only time that the student, chair, and external reviewer meet face-to-face is at the final dissertation defense. Other meetings are not required, though the chair and external reviewer may confer for clarification and to assure a smooth evaluative process.

Procedures for Completing the Dissertation

Once your chairperson has been approved, s/he will work with you to refine your draft proposal. When the chairperson is satisfied with the document, the proposal can be sent to the external reviewer for review and evaluation (see Role of the Chair). You must enroll for dissertation research during every term after completing Introductory Dissertation Research until the dissertation is completed.

Your committee must approve both the content and style of your proposal. The proposal must be written and typed in APA format (see the section on Dissertation Proposal Outline). Do not ask your chairs to sign off the proposal approval form until you yourself have verified that your manuscript meets these requirements in every detail.

It is a good idea to create a timeline for yourself, in consultation with your chairperson, which includes major dissertation milestones as well as educational and practicum/internship activities and personal events that you can anticipate. Be sure in your planning to allow for faculty summer schedules. In particular, it may not be possible to schedule a final defense between the end of summer quarter and the start of fall quarter.

Proposal Approval

The final approval of the proposal indicates that you have a viable study that meets the standards of scholarship and scientific sophistication appropriate to the degree. The approval follows the external reviewer evaluation process. Once the external reviewer’s concerns have been addressed, the chairperson and external reviewer will sign the Dissertation Proposal Approval form, which you need to provide for them.
The proposal, once approved, is regarded as a kind of contract. In particular, it protects you from demands for changes in design or instrumentation after its approval. By the same token, it is binding on you. If you want to make changes after the proposal is approved, you must get advance permission from your chair.

Approval by the Human Research Review Committee

All research involving human participants completed under the auspices of CIIS must be approved, before being implemented, by the Human Research Review Committee (HRRC), which is our Institutional Review Board (IRB). This review is done to ensure that the research conforms to the principles of ethical research articulated by the various professional organizations, including the American Psychological Association and the American Anthropological Association, and by the U.S. Department of Health and Human Services. The IRB is concerned with protecting participants from physical, psychological, and social harm, and with protecting their rights to privacy and informed consent. Failure to obtain IRB approval before proceeding with data collection or treatment of participants is sufficiently serious to warrant disciplinary action.

The present packet of instructions and examples closely follows, of necessity, the guidelines in the Federal Register. Waivers of informed consent are possible (see HRRC instructions) for low-risk research.

Scope

Pilot research may or may not require IRB review. In general, any research that involves systematic sampling of subjects outside of your circle of professional colleagues requires advance IRB approval. Thus, asking a friend to review an instrument or run through an experiment in order to give you feedback, or asking your research assistants or a small group of students to take a set of measures to determine average time of completion, does not constitute a formal pilot study. But going to a community college and asking students to complete a set of instruments in order to examine the psychometric properties of these scales would be considered pilot research and would require Committee review and approval. If you are not conducting a formal pilot study as defined above, you are still bound by the ethics of research and should include the necessary protections for human participants.

If your research will be conducted at or in collaboration with another institution which has its own review process, you must still obtain CIIS approval. If your research will be done at a nonacademic institution, such as a community mental health agency, you must submit a letter of authorization from a responsible person (for example, the administrative director of the agency) in any outside research setting that will be used.

Procedures

The HRRC meets on the third Thursday of each month. HRRC cannot guarantee that your application will be processed at the next meeting, however, unless it is received at least 15 days prior to the meeting. Since review often entails changes in the protocol,
be sure to allow plenty of time for the approval process, including your response to any required changes and subsequent review of your amended request.

Note that some research processes involving only minimal risk may qualify for expedited review. Expedited review is done by two IRB members and does not have to await a meeting of the full Board. Still other research, such as some ethnographic or survey research or observation of public behavior under certain conditions, is exempt from review. Exempt status must still be approved by the IRB, necessitating the submission of the usual materials.

The Request for Institutional Review form includes a sample consent form written for a high-risk research project. If your research involves minimal risk, the separate confidentiality statement is not needed, but your consent form still must describe the procedure for maintaining confidentiality. Although the language of the sample consent form is non-technical, be aware that special populations may require further simplification of the reading level for truly informed consent. The Request for Institutional Review form also discusses other categories of consent (negative consent, assent, oral consent, waiver of informed consent); these definitions are not covered here. Note also that that form includes a Bill of Rights for Participants in Research and an Experimental Subjects Bill of Rights. California law requires that the latter be given to participants in research using any form of medical treatment, including psychotherapy, in a language in which they are fluent. Whether you give participants a copy of the Bill of Rights for Participants in Research is up to you, but it is your responsibility in any case to see that these rights are protected. Make sure in general that you read the entire Request for Institutional Review form very carefully.

Any significant change in design, methods, or sample must be approved by the IRB in advance of data collection. Federal regulations require an annual review of research involving human participants. You will therefore be contacted on or about the anniversary of initial approval for information about the status of your data collection. If data collection is continuing, you must complete a brief form to describe any changes in the research procedures and any complications that have arisen in the use of human participants.

Confidentiality

CIIS endorses the ethical principle that in general information derived from research is treated confidentially. It has become routine for investigators to promise that results will be held “in strictest confidence.” Be aware, however, that California law makes such a promise impossible to keep in some research. In particular, if your data collection uncovers evidence of current child or elder abuse, you are required to ask for enough information to determine whether abuse has occurred or is likely to occur; and if the answer is affirmative, you are required to make a report to the Child Protective Services office or to the police. If you suspect child abuse, you should discuss your suspicion within 24 hours with your dissertation chair or a person in authority in the agency where the research is being conducted. If you decide to inform the county of possible child abuse, it is probably clinically advisable to discuss with the parents the fact
that you are so concerned about some aspect of their family process that you are reporting the family to the county.

Participants may refuse to answer questions about such issues (as they are entitled to refuse to answer any of your questions). However, in the name of protecting them, you are ethically not allowed to remind them of their right of refusal just at the point of asking legally sensitive questions. Similarly, participants may elect to remain anonymous (for instance, by giving a fictitious name), but you are not ethically allowed to suggest anonymous participation as a way of avoiding the reporting laws.

Investigators conducting high-risk research—such as asking questions about illegal drug use or violence—alert participants in the consent form about possible limits of confidentiality (e.g., subpoena, child abuse reporting laws). Since these legal and ethical constraints naturally discourage research into some important topics, the Department of Health and Human Services has in certain cases granted confidentiality certificates, which allow qualified investigators to withhold names or other identifying information from participants’ records in “any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings” but it is not clear how applicable these certificates are for dissertation research.

A common form of research, especially in fields like drama therapy, involves unobtrusive observation as a means of evaluating the effectiveness of a program. In such situations, when the investigative activities are not salient, it is easy for participants, and even the investigator, to lose sight of the distinction between research and treatment. Benefits from research participation, for example, should not be confused with possible benefits from the program. You will need to be especially attentive to ways of allowing people to withdraw from the research while continuing participation in the program. It might well happen, for example, that the withdrawal of one person from the research would be a major event in the group process, yet all references to that person, as well as appearances on the tape, would have to be deleted. Be sure to explain how such contingencies would be handled.

A special problem for confidentiality is posed by professional and ethical standards of record keeping which call for data to be retained for 10 years. Questionnaires containing no identifying data present no problem. If you plan to keep video or audio recordings, which may be very valuable for future analysis (perhaps by other investigators), you should spell out clearly your procedures for safe-keeping, and the people who may have access to the data in the future. An alternative procedure would be to destroy the tapes and retain transcripts with all identifying information removed.

Risk

Although most psychological research involves minimal physical risk, research in clinical areas such as psychotherapy, testing, social perception, or psychopathology does have the potential for causing participants to experience significant anxiety or depression. For example, requiring answers to questions about marriage could lead to negative consequences such as marital disharmony. Sometimes even filling out a questionnaire
may draw attention to an area which participants had previously not considered. Because such consequences would not have arisen except for your study, you are responsible for them to some degree. Your responsibility in this regard extends to making a referral to a licensed therapist who is available for prompt consultation with any participant who requests it during or after your study, without initial cost to the participant. Your responsibility does not extend to providing free psychotherapy on an unlimited basis. Usually one or two consultations suffice if such a need arises.

Be aware also of the vulnerability of special populations. People with AIDS, for example, have in recent years been subject to a tremendous amount of psychosocial research in the Bay Area, and such protocols will be scrutinized very carefully for their scientific value.

Beyond the Formalities

There are important human issues involved in our treatment of research participants. Some such issues not specifically covered by the rules are worth mentioning here. For example, it is not unknown for consent forms to promise that “only code numbers will be used,” then to ask for the person’s name at the top of a sensitive questionnaire. Especially in sensitive research, keep names and data separate, with a master list locked elsewhere. The requirement (by Principle H) of providing feedback to participants after data collection poses a further threat to confidentiality. The name and address to which results are to be sent, however, do not have to be the participant’s own, and they can be detached for the participants to mail in later, if they wish. All these elaborate precautions are quite useless, however, if—as is unfortunately not uncommon even for clinical cases—research participants are discussed, however discreetly, in public places such as restaurants. Even if names are changed and voices are kept low, any hint that research participants are discussed in public is very damaging to our credibility, and to the future of research. Note, finally, that if you are using research assistants, you are responsible for ensuring that they also protect the confidentiality of your participants, and otherwise observe the ethical principles of research.

Signatures

When the HRRC has approved your research, the chair of that committee will sign your Dissertation Approval form. If revisions have been made during the HRRC review process, the chair of your dissertation committee will sign the Dissertation Approval form again. You should provide all your dissertation committee members with a copy of the proposal as approved.

Registering for Dissertation Research

You must have completed second year coursework and evaluation and recruited a dissertation chairperson (having submitted the Dissertation Committee Form) in order to register for dissertation research.

Starting with the semester in which your proposal is approved, you must register for dissertation research (paying either half- or full-time flat fee) during each regular
academic term, including the summer term. Note that most students complete the dissertation within 1-2 years. Students are required to complete the dissertation within 5 years from the date of Advancement to Candidacy.

Using Statistical and Editorial Consultants

You may not use any outside consultant without the consent of your chair. It is permissible to have someone do your data entry, just as you may have someone do your typing. It is not permissible to have statistical or computer consultants do your analyses, nor tell you what to do with your data, just as you may not have editorial consultants do the actual writing of your dissertation. You are responsible for your data collection, analysis, and interpretation of results, and will need to defend them in the dissertation and at the final oral defense. Failure to comply with this policy will result in disciplinary action—which, at this late stage of the process, is too frightening to contemplate.

Technical Review

Prior to the dissertation defense, the final draft of the dissertation manuscript must be submitted to an institutionally-approved external editor for technical review. This review is paid for by the student. For the list of approved editors, contact Bahman Shirazi at (415) 575-6253 or at bshirazi@ciis.edu.

The Final Defense

Your dissertation committee, after reviewing the final draft and dissertation abstract, clears you for the oral defense of the dissertation. Given all the reviews and responses, you should submit the final draft of the dissertation to your committee at least three months before the expected date of graduation. During this time, your chair will continue to communicate with you regarding quality of the final manuscript.

The oral defense of the dissertation is ordinarily held on the CIIS campus, and both members of your committee must be present. Your chair should notify the PsyDoc office two weeks prior to the event. The final oral defense is structured more like a colloquium to which students and other members of the campus community are invited. Members of the committee may caucus privately, to share impressions and plan the meeting. You typically will present a synopsis of your work, perhaps address what led you to the question as well as how you studied it and what you found.

This presentation serves as a basis for questions and comments, with the examination conducted by your dissertation committee. The final defense is an examination of your scholarship and of the quality of both your research and the written document. Be prepared to discuss all aspects of your research. If you and your committee have done your work, the defense per se is largely educational, and the occasion a ceremonial and celebratory one.

The dual purposes of the final defense, evaluative and celebratory, harmonize if you have done a good job. Do not ask your committee to approve your dissertation for the final defense until you are satisfied that the document is error-free and that you are
prepared to defend it. Given the guarantee in the proposal approval, outright failure at the final defense should occur only if the study were not carried out as proposed; conducted with changes that were not approved; or if there were ethical violations, such as faking data or unauthorized use of a consultant.

**Draft Approval**

At the end of the defense the committee determines if it requires changes to the defended dissertation. If no changes are needed, all committee members and the chair sign the Approval Page and the appropriate box on the Final Approval Tracking Form. If minor revisions are needed (Provisional Approval A), committee members, but not the chair, sign the Approval Page. The chair stipulates the nature of the revisions on the Tracking Form. If significant revisions are needed (Provisional Approval B), no one signs the Approval Page and the appropriate information is filled in on the Final Approval Tracking Form.

**Final Approval by the Chair**

A student needing to make minor changes has 60 days to edit and complete the revisions. The student resubmits a revised and final version of the dissertation to the PSY program office, and also to the committee chair. If acceptable, the chair may require refinements to the required revisions until satisfied with the product. The chair signs the Approval Page and the appropriate box on the Final Approval Tracking Form once the dissertation is in its final publishable form.

**Approval by the Academic Vice President’s Designate:**

After accepting the dissertation, the chair submits it and all of the signed paperwork to the Academic Vice President’s Designate Harrison Voigt for the PsyD program for a final check. The dissertation will be returned to the student either as approved or for further edits.

**Filing the Final Copy with the Library:**

It is the student’s responsibility to make sure that the final approved copy of the dissertation is filed with the library according to the schedule announced by the registrar each year. When filing the manuscript with the library the student must make sure to provide:

- The dissertation manuscript (unbound) in publishable form;
- The Final Approval Tracking Form with all signatures;
- The Approval page with all signatures;
- Two copies of the title page;
- Two copies of the abstract;
• The UMI Dissertation Agreement form;
• The UMI copyright registration form;
• Reprint permission letters, if applicable;
• The UMI optional additional copies order form with payment;
• Multimedia component (if applicable).

The Library will not accept the dissertation without all of the necessary paperwork.

Applying to Graduate:

In order to graduate a student must complete the Graduation Application packet and file it with the Registrar’s Office on the dates announced.

Content Issues

Standards and traditions for organization of the dissertation, as for anything else, are better established for the Ph.D. than for the Psy.D. and for quantitative than for qualitative research. Much of this section is thus devoted to exposition and discussion of those standards. A sound principle in all cases is to let the structure be dictated by the nature of the study, though implementation of the principle may call for sensitivity and imagination.

Choosing a Title

Give careful thought to your title and to keywords on the University Microfilms document; these are all that will be accessible to computer searches. Limit your title to a maximum of 12 words (APA Publication Manual standard). Dispense with redundant phrases such as “A Study to Determine the Effects of . . .” or “An Experimental Investigation of . . .” Avoid burdening the title with cumbersome details as “. . . in 4-, 8-, and 12-Year-Old Girls Under Three Conditions of Illumination.” By the same token, do not sacrifice specificity for brevity: “Human Interaction in Schizophrenia” would be too broad for a study of proxemics in schizophrenia. For good models of titles of written research presentations in psychology, visit with some current journals and examine the titles of the articles for style, conciseness, and clarity. The title must, of course, reflect the central thrust of your investigation and its major variable(s).

Approval Page

See Appendix E for an example of the approval page.

Abstract

Your committee will have to approve not only the body of your dissertation, but also the abstract for publication in Dissertation Abstracts International. The abstract has a limit of 350 words. Write it very carefully, since the abstract is all that most of the
world ever will know about your dissertation, and it is the basis on which future scholars will decide whether or not to read the whole document. The abstract must be included in its proper sequence (see later section on Pagination) in the dissertation when it is submitted for the final defense. Your chair’s name appears at the top left of the abstract page.

Acknowledgments

Indicate all acknowledgments to individuals and institutions which have made contributions to your dissertation work.

Table of Contents

Include a Table of Contents for the proposal as well as with each chapter draft and the final dissertation. It helps the reader not only to find various sections quickly but to see the overall outline structure of the document. You will find it helpful yourself in checking your use of APA heading levels.

Introduction and Literature Review

Most so-called empirical studies, whether quantitative or qualitative, follow the traditional five-chapter organization—Introduction, Literature Review, Methodology, Results, Discussion. It is acceptable to combine the introduction and literature review into one chapter. The Introduction defines the problem in general terms, and presents support for the significance of the study and its importance to the field of clinical psychology. You should make it clear to the reader early on what will be the focus of the study. Often, definition of the problem requires some preliminary supporting development of problems or controversies; for just this reason, formal specification of the problem and the statement of hypotheses follow the literature review.

The purpose of the literature review in a dissertation is to lay the groundwork for your definition of the problem. “The literature” in psychology is understood to comprise journal articles and papers presented that report empirical research. The literature review should be organized around theories, but they should be discussed critically with particular regard to their empirical support. A summary of the various psychodynamic theories of anxiety or attachment, for example, no matter how lengthy, would not qualify as a literature review. In a thoughtful review of the empirical literature, the focus is on critical evaluation. Interest and coherence are served by organizing around theories or issues rather than articles.

With respect to organization of the proposal, the traditional structure offers ample opportunities for repetition. A thorough introduction will cover much of the same ground that is covered still more thoroughly in the literature review. The statement of hypotheses is another example: though it is most often placed at the end of the literature review chapter, it is often particularly convenient to have the hypotheses stated for immediate reference in the method chapter as you are discussing how they will be analyzed. If the issues are very complex, some repetition is helpful to readers, especially if it is a paraphrase rather than a verbatim restatement. On the other hand, if you have a
series of hypotheses which are identical except for the measures involved, you can avoid very tedious repetition by simply stating the general form and listing the measures to which each applies. When stating hypotheses, please state these as research hypotheses rather than as statistical (null) hypotheses.

The scope of the literature review has been another source of uncertainty, in part because standards in the field are evolving in the direction of brevity. Indeed, if the nature of the study permits, your chair may want a review as concise as that in a published article. In any case, a thorough, critical review of the area specifically addressed by your research question is a more appropriate strategy than an exhaustive review of a broad area, which tends to diffuse the focus and obscure the research problem. In a study of proxemics in schizophrenia, for example, it would be a mistake to attempt to cover the literature on schizophrenia. Whether your review in that case drew more from the literature on schizophrenia or on proxemics would depend on the source of inspiration for the problem you had formulated.

With regard to depth, it is important that you read the work you review carefully enough to evaluate it, particularly with an eye to understanding discrepancies. The literature review is a critical evaluation, and not merely a summary of findings. It is also inappropriate to the doctoral level of scholarship to rely on secondary sources in your dissertation. Published literature reviews are useful in getting your search process started; but you will need to form your own impressions of the original sources, rather than relying on someone else’s evaluation.

The time span of the review will depend on your question. For some historical or theoretical dissertations, it may be necessary to go back several centuries. “Empirical” research on most psychological topics typically goes back several decades.

Despite the convenience that computers have brought to literature searches, they are rarely adequate except in those fields where anything over 10 years old is either irrelevant or nonexistent. It is not uncommon for students to report, on the basis of a computer search, that no research has been done on their topic, when in fact it was a lively area of work in the 1950s. In addition, the success of a computer search depends heavily on your choice of keywords. A search on shyness will turn up animal research on bait-shyness, for example, and the keyword bisexuality will retrieve a large literature on bisexual whiptail lizards; but self-esteem may not pull up anything on self-image or self-concept. An appropriately thorough search still usually requires considerable hand work, going through bibliographies and abstracts, looking up references from references, scanning shelves in libraries, and so on.

Another issue in the literature review (or elsewhere in the dissertation) is reliance on quotations. It is obviously imperative to make clear what is your work and what is someone else’s, and thus to give appropriate credit for what you use; on the other hand, extensive reliance on quotations can create the impression that the dissertation is not really yours, that you have merely stitched together pieces from other people. The guiding principle, of course, is that the dissertation should be, and should look like, your work. The APA Publication Manual has more specific advice on such issues as citing the same authors repeatedly in the same paragraph.
With respect to quotation of copyrighted material, you may not need permission from the copyright owner for quotations of reasonable length—up to about 150 words—which are clearly in the interest of scholarship and criticism. If you quote extensively from the same author, however—particularly fiction, poetry, or criticism—or if you want to reproduce tests, charts, tables, or similar copyrighted materials, you must write to the copyright owner, describing your intended use of the material and requesting permission to include it in your dissertation. For your own protection, a statement listing such materials should be included in your Acknowledgments. The statement should indicate that permission has been granted for their use and should give the source of the permission. Copies of letters granting permission, finally, should be included in an appendix.

**Method**

The Method chapter of the proposal is written in the future tense. The Method chapter of the dissertation is written in the past tense. You will accordingly be specifying your design, participants, instruments, and procedure in complete detail.

**Results**

It is a good idea to organize your section on statistical analysis around your hypotheses; whatever the organization, make sure that the analyses fit the hypotheses. Think carefully about what it would take logically to confirm or disconfirm your hypotheses. Students sometimes frame an hypothesis, for example, that people who were insecurely attached as infants will be unable to sustain long-term intimate relationships; then they are surprised when it is pointed out that a single instance, if found, would be sufficient to disconfirm the hypothesis, and obviate any statistical analysis. Make sure your hypotheses say what you mean, and that your proposed analyses are adequate to answer them.

An excellent strategy in planning your project is to ask yourself what you would say if your results came out opposite to expectation. This is in fact a very likely question at the proposal defense. If your response would be to criticize the study in any way—the number of participants, the measures, the design—then attend to those issues in advance of undertaking the research. If your response would be to criticize your hypothesis, then make sure you have developed the case for and against the hypothesis in your literature review, so it is clear in advance what conclusions you will draw from which findings.

**Statistical issues.** Since the field of psychological statistics is rich in controversy, you may find that your committee members have strong opinions about parametric vs. nonparametric statistics, one-tailed vs. two-tailed tests, the Duncan vs. the Scheffe or the Tukey A vs. the Tukey B, etc. The CIIS faculty are flexible in such matters, but we do insist on a demonstrated awareness of the issues and usual practices, and justification of your choices. If, for example, in light of the low power of your study you opt not to control the overall alpha level, you should make it explicit that that is what you are doing; or, if you do a univariate in place of a multivariate analysis of repeated measures, you will need to discuss how the feasibility of the underlying assumptions will be assessed; and so on. With respect to statistics, as with methods more generally, the
philosophy of the faculty is to encourage you to do, or to propose, what you judge best for your study, and to defend your choices in the light of the alternatives.

**Qualitative methods.** If you are using a qualitative methodology, the same basic principles apply. From a substantive point of view, the greatest demands may be on your imagination, sensitivity, or creativity; but, from a scientific point of view, the overarching concern is with justification of claims. Discussion of methodology may well be a more prominent feature of this kind of dissertation than of a traditional quantitative study. You must label and describe your qualitative method of analysis.

After preparing the proposal, data collection is usually the biggest hurdle of the dissertation. It is ordinarily not conceptually difficult, but the process of finding and testing participants can be extremely trying and tedious. Be sure to allow plenty of time for this phase of the research. Once data are collected, progress to completion is usually rapid, with the writing of the Results and Discussion presenting few problems.

Your statement of hypotheses provides a convenient organization for your Results chapter. Ancillary analyses, such as those involving demographic characteristics of the participants, can be presented either before or after the main results.

The extremely narrow focus on significance levels in psychological research has led to a practice, in some research articles, of reporting only $p$ values (or $F$ ratios, or the like). In accordance with the growing recognition that these statistics are almost totally uninformative in themselves, you should always include a table of means and standard deviations (or variances) to accompany an analysis of variance, or other appropriate indicators of the size of an effect. Your power analysis, after all, obliged you to specify an effect size, and it will be instructive to compare what you found with what you stipulated.

**Discussion**

In the Discussion chapter, compare and contrast your results, back to the previous findings discussed in the literature review. Your Discussion section should describe the implications of your findings. You should discuss the generalizability of your findings as well as methodological and other limitations of your specific research methods. In the event of “negative” results, be especially careful in your interpretation. It is unfortunately commonplace for investigators in that situation to proceed by finding fault with the study: there weren’t enough participants to attain statistical significance, the measure wasn’t valid or reliable after all, the hypothesis really doesn’t make that much sense when you think about it. If these criticisms are valid, the time to notice is before doing the study, rather than after. If you would not have raised such concerns in the event of positive results, you open yourself furthermore to the charge of maintaining a double standard. It is difficult to argue that science is being served by the refusal to take no for an answer.

**References**
The reference section is not a bibliography. It should list only works you have used firsthand. In the rare case where you will be citing a work through a secondary source, follow the citation form in the APA Publication Manual, and do not give the original source in the reference list. Again, if the original sources are relevant enough to cite indirectly, they are probably worth investigating firsthand, as dissertation-level scholarship requires.

One issue to which the current Publication Manual gives inadequate attention is the citing of ancient authors. It is equally ridiculous to refer to Cicero (84 B.C.) or to Aristotle (1941). Since all such works have been edited and translated (unless you are reading them in the original language), a better practice, at least until a new edition of the Manual specifies otherwise, is to cite the editor or translator, e.g., McKeon (1941). In the reference list, the item appears as


Appendixes

There are several kinds of supporting documents that you may need to put in appendixes. Copies of any new instruments you have developed should obviously be included; published tests should not be. Consent forms, letters to participants, and letters of permission are also included.

WRITING AND TYPING THE DISSERTATION

Editorial Style

There are many, many details that govern the preparation of the dissertation manuscript. Among the most common stylistic errors are those involving headings, seriation, hyphenation of compounds such as “nonhyphenation”, indentation of long quotations, citation of republished references, and reference format. In the circumscribed area of dissertation writing style, “ignorance of the law is no excuse.”

The APA Publication Manual is your authority both for writing style and typing instructions. Though it is oriented primarily to the preparation of journal articles, the Manual includes an appendix on other documents such as dissertations. To the limits of their specificity, the conventions described there for dissertations apply at CIIS. The present section of the Psy.D. Dissertation Handbook focuses on what is specific to this institution. Except for features such as spacing and the handling of references, the present document exemplifies APA format. The CIIS Library has available a booklet titled, Guidelines for APA-Format CIIS Dissertations, an excellent compilation of the basic information you will need. The library also published and updates the formatting guidelines that you must use.

Your committee has the responsibility of monitoring your compliance with APA format, and will also be very helpful to you on issues such as clarity and organization, in
addition to content. It is not their job, however, to rewrite your dissertation in their own words. You should take their editorial suggestions seriously. However, technically, if your writing is correct, reasonably professional in tone, and otherwise competent, you are not obliged to take them as commands.

As a grammar text, the *APA Manual* is far from comprehensive, but it nevertheless does an excellent job of covering precisely those points that seem to give students the most trouble. Some of the rules are fairly universal today; others take a specific position whereas several forms are acceptable among grammarians (e.g., a comma after the penultimate item in a series). As a style manual, it has a distinctly modern flavor, owing primarily to its emphasis on economy and a minimum of embellishment.

The final copy of your dissertation must also conform with formatting unique to the requirements of University Microfilms International, which adds to the complexities of preparation. The technical reviewer for your dissertation will insure that your manuscript complies with all of the necessary formatting requirements. You may be assisted by reading the *CIIS Guidelines for Technical Review of Theses and Dissertations*, available from the CIIS Office of Graduate Studies.

Certain grammatical errors have become so commonplace, even among generally competent writers, that it may not be long before they are accepted as correct. However much it may frustrate conservative spirits, that is in fact a major process in the evolution of language. The formality of a dissertation, however, calls for strictly correct usage. Some errors recur so frequently in dissertations (as elsewhere) that it may be worthwhile listing them here, to minimize tedious editing by your committee.

1. Avoid using secondary sources unless absolutely necessary, and then only very sparingly. Cite primary (original) sources for your research citations.

2. Avoid using unsupported assertions—statements that sound like universal truths but are, in fact, only your personal view or opinion. Cite a source for central ideas, or make it clear that statement is your own view.

3. Choose carefully any verbatim quotations from your sources. Paraphrase and abstract from original material, and avoid frequent use of direct quotations. Single-space quotations longer than a few lines, and always indent these quotes from both right and left margins.

4. Write in the first person rather than the third person. Example: “I used three inclusion criteria to select participants”, rather than “The researcher (or the “present investigator”) used three inclusion criteria to select participants”.

5. Write in formal style and avoid colloquialisms.

6. Follow APA guidelines for avoiding gender bias in your writing.

7. Write the Results chapter (and subsequent references to results) in the past tense.
8. Avoid the term “this study”, as it may be ambiguous about its referent. Instead, use “the present study” or “current study”, when you refer to your own research.

9. Use “because of” instead of “due to”. “Due”, except in rare expressions like “due north,” is an adjective, not an adverb. E.g., “Elevation of the mean was due to a single outlier,” but not “Due to a single outlier, the mean was inflated.”

10. Data is plural; datum is the singular. E.g., “The data speak for themselves,” or “Few data are available.”

11. APA writing standards require that written works are non-sexist in content. Use “people” instead of “men” when referencing the collective. To avoid using gender-specific pronouns, use the construction “s/he” or “one” to cover both, or else alternate usage after so advising the reader. Introducing disagreement in number (e.g., “The child looked at their mother”) is not a permissible way of meeting the requirement of nonsexist language. Plurals are usually the simplest solution; you may also use devices like masculine pronouns for the child and feminine pronouns for the caregiver (or vice-versa) provided that you explain your system.

12. Manifest, as a verb, is transitive. Thus, one may say, “Grammatical errors are manifest” (adjective), or “Grammatical errors are manifested” (passive participle), but not “Grammatical errors are manifesting all over the place.”

13. Correct though British spelling may be, use American spellings: e.g., behavior rather than behaviour.

14. Single-space within references in the Reference section, and double-space between references.

Note that dissertation manuscripts may be returned unread by committee members for editing in the event of significant and consistent errors in style, grammar, or spelling.

**Typing**

If you are not doing your own typing, give your typist a copy of the *APA Publication Manual* for reference, along with a copy of the present section of the *Dissertation Handbook* on “Writing and Typing the Dissertation.” Proofread the work that comes back. Your typist may be billed as an authority on APA format, but that unfortunately guarantees very little as a rule.

**Print Quality, Pitch, and Font**

Drafts circulated to your committee may of course be in any form they are willing to read. The proposal and final defenses, however, require letter-quality printing. The pitch must be a minimum of 11, but 12 is preferred. Proportional spacing is preferred (Times Roman, for example), and static fonts (e.g., Courier) are not recommended. The typeface is not strictly prescribed, but avoid fancy fonts such as Italic, Gothic, or Script.
Margins

Use 1.5” margins left and right, and 1” at top and bottom. Page numbers must be centered at the bottom of the page.

Do not justify the right margin. Breaking words at the end of a line for a more even margin is permitted (contrary to the Publication Manual), provided the breaks observe proper syllabication (param-eter, for example, but not para-meter) and typographical conventions (e.g., do not break words across pages; do not carry fewer than three letters to a new line; do not carry over a syllable with an unpronounced vowel (possi-bly, but not possi-ble).

Headings

Start each chapter (but not subsections of chapters) at the top of a new page. The title of the chapter should be centered in capital letters, e.g.

CHAPTER IV

RESULTS

Follow APA conventions for headings, counting the chapter level as a heading.

Spacing

Double-space the manuscript, typing on one side of the page only. Exceptions are as noted in the APA Publication Manual. In addition to the exceptions listed there, single spacing is also appropriate for such material as excerpts of interview transcripts or observational notes that might be included in an appendix.

Remember that single-spaced typewritten material always has a space between paragraphs, no matter how short (as in the References section).

Tables, Figures, and Footnotes

As suggested by the Manual, for dissertations these items should be placed at the appropriate point in the text, not at the end. With appropriate spacing, continue the text on the same page with a table or figure, unless the latter takes up most of the page.

Endeavor to fit each table onto a single page whenever possible. Reduce font size, spacing, or even the entire table somewhat to accomplish this.

Do not use grey scale in figures and tables – use hatch lines to fill in areas of a graph or chart.

Figures should be professionally done and not lettered freehand. If a table is so large that it must be placed sideways, make it right-side up from the right margin.
Do not use footnotes, as per APA format. If something is important enough to state, say it in the body of the text.

**Oversize Material**

If at all possible, material which is larger than 8”” by 11” should be reduced to that size, within the proper margins, rather than folded over.

**Photographs**

Photographs, securely mounted, may be included, but they should be of sufficient quality and contrast for adequate reproduction. Glossy finish works better than matte; and color generally does not reproduce well.

**Pagination and Sequencing**

Page numbers are centered at the bottom of the page, beginning with the first page of the dissertation text. The sequence for the remaining preliminary pages is as follows; samples of these pages are contained in Appendix H.

<table>
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37
The table of contents itself does not reference the preliminary pages, but only the text starting on page 1. Every page of the text should be numbered, and in sequence. Do not use inserted pages such as 116-A, and do not use a separate numbering system such as A-1 for appendices. Before handing in the final copy, make sure all pages are present and in order; the dissertation will be bound exactly as you present it.
APPENDIX A:

General Issues in Quantitative and Qualitative Research

The following section describing a variety of topics in quantitative and qualitative research provides summaries from the excellent text by Janice Morse and Peggy Anne Field, *Qualitative Research Methods for Health Professionals*, Sage Publications, 1995.

1. The Purpose of Research

All research is for the development of knowledge and this can take the form of making discoveries, confirming or refuting ideas, predicting or controlling events, or developing or refining theory.

2. The Functions of Theory

Theory builds tensions within a discipline and stimulates intellectual debate. Theory also creates a stability in terms of a series of research studies over time. Theories evolve where there are gaps in our knowledge. Theories orient the phenomena being studied in nature and in history. Theories explain the relationships among seemingly unrelated facts in the most parsimonious manner, by selectively including certain facts and excluding others. Theory predicts events. Theory guides the systematic progression of research questions being examined. Theory reveals possibilities and phenomena otherwise not seen. Theory may also serve to ignore important possibilities and phenomena.

3. Levels of Theory

Theories differ in the degree of their explanatory power. *Grand theory* explains a lot of generalized phenomena, using abstract constructs and stating what is true for classes of things. *Midrange theory* has more specific constructs and applies to more limited range of phenomena. In psychology most theory is midrange theory and has been refined through quantitative research and is applied in the more behavioral areas of psychology and psychophysiology. *Idiographic theory* applies to a universe of one or few, with little or no generalizability. Much of qualitative research develops idiographic theory.

4. Deductive Theory

To use deduction means to infer from what has preceded. In quantitative research, it is to use reasoning and logical inference to explore principles that were revealed in previous research studies to a novel question, and to predict relationships that can be tested for predictive power. A potential limitation to this approach is that laboratory tests of human behavior may not generalize outside of laboratory. Deduction works best when clearly identified concepts have been refined through previous research. It works well in psychophysiological and behavioral research and less well in the areas of where experience, value, meaning, and culture predominate. In deductive theory the starting place is a conceptual framework where descriptions and propositions describing the relationships among variables are described.
5. Inductive Theory

Inductive theory is descriptive; it names phenomena and suggests relationships among phenomena. It is often conducted in naturalistic settings and it places a high value on context. Inductive theory identifies patterns by inference through the repeated examination of specific instances. In inductive theory development it is essential to identify variables for theory development. In this process, tentative causes and relationships are hypothesized.

6. The Use of Induction and Deduction

In both quantitative and qualitative research both inductive and deductive methods are invariably used to some extent. What is different is the degree to which inductive and deductive methods are overtly described and which approach is identified as the primary method and paradigm upon which the results will be judged. One approach that overtly includes both inductive and deductive methods is grounded theory.

7. Evaluating Theory

Theory can be evaluated as to its explanatory power or the extensiveness of the explanation. Theory can be judged on the basis of parsimony, where the smallest number of propositions, assumptions, and inferences make for elegant theory. Theory can be judged on the basis of the degree to which it fits with the data, its empirical validity. Theory must have internal consistency where there is a logical consistency of the elements of the theory. Theory must be useful. Theory must be testable.

8. The Function of Theory in Clinical Psychology

Theory must eventually improve the practice of the profession. Theory identifies critical concepts and relationships. Theory must be descriptive, prescriptive, or predictive to have value.

9. Qualitative Research

The aims of qualitative research are to describe and in some cases explain the social world. Some approaches to qualitative research also focus upon the development of explanatory models which can be used to construct and refine the theoretical foundations of the social sciences. The products of qualitative research are then; (1) “data” primarily from observations and interviews, (2) the “thick” description of experience and cultural phenomena, (3) interpretations of these descriptions, and/or (4) refined theories explaining social phenomena and experiential phenomena that are inductively developed from qualitative research approaches.

Qualitative methods are usually used to examine problems about which little is known, where often there is not enough known to formulate theory and no clear hypotheses to test. Qualitative research is good to use when one suspects that present knowledge may be biased. Qualitative research takes the “emic” or the native’s point of view in naturalistic settings. No attempt is made to use experimental control. Ideally, all aspects are the phenomena are explored.
Planned hypothesis testing is not used in strictly qualitative research studies, because refined theory develops during the process of conducting qualitative research, and plays a very minor role at its onset. During the phase of qualitative analysis, the template of one’s own emerging theories and other theories are drawn over the emerging data to see the possible fit. The question is asked, “How is this relational phenomena observed in the data similar or different to expectations from various theory?” As this question provides clues, the researcher can expand the scope of inquiry to follow interesting new leads through further data collection. There is an interplay between theoretical knowledge and emerging theory during data analysis. Explanatory ideas arise to explain observed patterns in phenomena. These two levels of information are constantly being compared. Hypotheses and theories emerge during and after data analysis.

In many qualitative traditions, once data are collected, one aspect of qualitative research will include establishing categories to classify the data. Even if the categories are not defined by necessary and sufficient criteria, certain criteria will nonetheless be expected to define the relevant categories. In some cases, the researcher has some question in mind which focuses the information in the interview or other research data into some set of categories—which, ultimately, are distillations or ways of reducing the data into manageable/meaningful forms. In other words, the formation of categories involves a process of reduction in which the data is separated into orderly components.

Theory verification occurs during the research process. As theory emerges in the process of collecting or examining qualitative data, the usefulness of any emerging theory to account for observations is assessed by applying it to a newly collected qualitative data set. Data is largely transcriptions of interviews and observations of setting and participants. The data are “rich” and “deep” and hard to manage and write into a report. It can be extremely time-consuming. Participants are selected who will and who have a special knowledge of the phenomena.

10. The Role of Theory in Qualitative Research

In qualitative research the researcher examines data for patterns and relationships and then develops and tests emergent hypotheses to explain those observed relationships, finally resulting in a theory of explanation. This is an inductive approach.

The goal of qualitative research is to develop theory using rich description, data synthesis, and abstraction. Not all qualitative research develops theory. Phenomenology’s purpose is to identify the essence of experience and to produce insightful reflections, while grounded theory produces theory that describes a process.

11. Quantitative Research

Quantitative research seeks causes and facts from the “etic” or “world view” perspective. Findings are based on the researcher’s interpretations of observed phenomena vs. the participants interpretations. Quantitative research examines the relationships among variables so that causality may be explained and accurate prediction is possible. The aim is to examine the experimental variables while controlling the intervening variables that arise from the context. From this perspective, with this control over the effects of
context, the relationships among variables will be generalizable and predictive in all settings at all times. A quantitative research proposal identifies all constructs, concepts, and hypotheses before beginning data collection. These concepts are operationalized so that they can be tested. Measurements instrument need be reliable and valid. Data are then collected, and numerically categorized, and the relationships among the variables used to measure the concepts are established using statistical procedures. Bias is controlled by random large samples representative of the total population. Research design and procedures are determined in advance. The goal is to test the theory deductively by systematically testing the hypotheses.

12. The Role of Theory in Quantitative Research

In quantitative research the researcher devises hypotheses to test developed theories. This is a deductive approach. A theory is a more or less systematic guess regarding how reality works, to be tested by research. These guesses come from our personal experience, intuition, other’s ideas, and prior research. From the positivist perspective, once a theory has been “tested” repeatedly, it becomes “fact” and truth and moves into the domain of knowledge. As weaker theories, that account for less data, are replaced by stronger theories, knowledge advances.

13. Qualitative and Quantitative Methods

Every research method exists within a scientific paradigm, with its own assumptions, established methods, its experts, and is often linked to a particular discipline or area of study. Quantitative methods are in the mainstream in academic psychology and are dominate in psychology academic journals. The ideological and political debate between quantitative and qualitative methods is slowly being replaced by the awareness that they are complementary tools for different questions, goals, settings, and circumstances.

14. Selecting a Methodological Approach

A. Methods must follow the nature of the research question(s)

Research questions in qualitative research usually take the form of “what is the experience of ......like?” or “how do people respond or cope with this experience?”. Qualitative research often have one central question, “What is going on here?”. Quantitative experimental research questions can answer questions regarding causality or questions of “How much...?” or “How many...?”.

B. The Maturity of the concept

If the research question has already been investigated extensively, quantitative methods may be appropriate. If there is little information regarding the question, qualitative methods may be useful. If there is a lot of information, but bias is suspected, qualitative methods may be useful.

C. Constraints/Confines from participants or the setting

It is important to determine if the participants can read the quantitative questionnaire.
It is important that any measurement instruments be appropriate and valid to the participant’s culture. If participants can’t read, are from another culture, are non-verbal, then qualitative methods may be useful.

15. Methodological Threats to Validity

There are advantages and limitations to each method. One common problem is to use an inductive approach and qualitative research when a lot is known. This occurs when a researcher develops a conceptual framework and then analyzes qualitative data according to the categories in the framework, rather than deriving the categories inductively from the data. Reality is forced to fit the framework. If enough is known to create a conceptual framework and to identify variables, then quantitative methods should be used. A second error is to use quantitative research when little is known.

16. Dealing with Bias in Dissertation Research Proposals

Ideally the question should dictate methods but often other factors do. It is important to beware of research driven by the personal agenda of the researcher. Political or personal perspectives can override the ability to view the participants with detachment. There are exceptions to these views expressed in the qualitative approaches of critical theory, feminism, and some interpretative approaches. But, because a graduate student conducting dissertation research is new to the research process, issues regarding bias must be clearly and fully examined and discussed during the dissertation proposal development process, prior to the formation of the dissertation committee. All members of the dissertation committee must be in agreement that the research proposal is free of bias before the proposal can be accepted. Valid research requires awareness of one’s own cultural perspective, bias, and agenda, including dedication to a particular method. Research demands a conscious exploration of these factors. We need to be sensitive to the imbedded values and assumptions in the culture being studies and the imbedded values and assumptions in ourselves.
APPENDIX B:
Finding Information about Psychological Tests

FAQ/Finding Information About Psychological Tests

The APA Science Directorate answers hundreds of calls and emails each year from persons trying to locate the right test or find more information about psychological tests. APA neither sells nor endorses testing instruments, but it does provide guidance in using available resources to find psychological tests. Answers to frequently asked questions are provided here.

CONTENTS

Section 1: Published Psychological Tests The first section contains information about published psychological tests -- those available for purchase through a test publisher. It includes tips on how to locate tests within a given subject area, how to contact the test publisher once you find an appropriate test, and where to find computerized testing materials and information.

Finding Information on a Particular Test
Finding a Particular Type of Test
Locating a Specific Test
Locating Test Publishers
Purchasing Tests
Test References
Available Software and Scoring Services
Additional Information on the Proper Use of Tests

Section 2: Unpublished Psychological Tests and Measures The second section focuses on unpublished psychological tests and measures -- those that are not available commercially for purchase. Information about unpublished tests usually appears in journal articles. The test can usually be obtained directly from the researcher who created the test or measure. This section tells you how to find unpublished tests in your area of interest and highlights your responsibilities as a user of unpublished psychological tests.

Printed Directories
Other Directories

A Final Word and Responsibilities of Test Users

Section 1: Published Psychological Tests

Where can I find tests to measure self-concept?

Can you send me a copy of this test?
Am I qualified to administer this test?

Although some questions like these do require the assistance of professionals, most can be answered by consulting one of many sources of testing information available to the public. Whether student, teacher, concerned test-taker, or psychologist, everyone can benefit from the many reference texts, databases, test reviews, and other items accessible through local colleges or public libraries.

The following information answers some of the most frequently asked questions regarding published tests.

Finding Information on a Particular Test

The first place to start is with one of several excellent testing references available at your local library. These references provide comprehensive, useful, and directive information on tests. They can also provide answers to a variety of questions, such as these: What tests are available for a specific purpose (e.g., clerical spatial relations)? Who publishes the test? How can I evaluate the test? How do I get more information on a specific test?

Tests in Print (TIP), the Mental Measurements Yearbook (MMY), Tests, and Test Critiques are the four most useful and popular references. These are described in detail later in this document and are available in the reference section of most college, university, and larger public libraries.

Finding a Particular Type of Test

Whether you are trying to locate tests that measure self-concept, or some other specific cognitive skill or personality trait, you should begin your search with one of the four test reference books identified above. If available, TIP may be your best choice, because it has the most entries per volume: 3,009 in the most recent edition. Each of the references contains several indexes to aid in such a search. Subject and test title indexes may be most helpful. For example, suppose you are interested in measuring self-concept. Looking under ‘personality tests’ in the TIP subject index, you would quickly find three tests for self-concept. On further inspection, you would identify over a dozen additional tests that may be relevant, but are listed somewhere else in the nine-page index of personality tests. Yet a relatively quick search of a specific subject heading in the index can provide you with several useful leads.

Once you have identified several tests that may be of interest, you would review the more detailed entries on each test to determine if they are useful for your intended purpose. Entries typically identify the age or school grade levels for which the test is appropriate, as well as any subtests.

Of course, if you are searching for a very specialized test or measure, your search is not so simple. For example, if you are interested in measuring letter recognition or honesty, you may not locate any relevant tests through the subject index. In this case, your best option is to go to the MMY and use the ‘score index,’ which would identify tests measuring subareas (e.g., honesty, letter recognition).

Locating a Specific Test

Once you have a name or author of a test, your chances of locating it are greatly improved. Again, you could check any of the four test reference books, but TIP and the
have the largest indexes of tests. Title and author indexes in each of the reference books should refer you to the section of the book describing the test. (In the case of the MMY or Test Critiques, you may actually be referred to an earlier volume of the book for more information).

Locating Test Publishers
Directories of test publishers are included in most major testing reference books (MMY, Tests, TIP). The size and scope of the directory usually reflects how many tests are included in that book. For example, TIP provides brief information on the greatest number of commercially available tests and, thus, has an extensive publishers directory. The Test Collection at Educational Testing Service (ETS) has a free pamphlet entitled Major U. S. Publishers of Standardized Tests, which lists the names, addresses, and phone numbers of 28 major test publishers. Call or write to them for your free copy at ETS, Library, Rosedale Road, Princeton, NJ, 08541, (609) 734-5667.

Publishers' Catalogs
All of the major test publishers have catalogs listing their own products. The catalogs are published on an annual or semiannual basis. These catalogs are frequently the best source of information for the most recent editions of a test. Information on the cost of materials and scoring, types of scoring services, and ancillary materials are available through the catalogs. The catalogs also include information on variations of the test, such as large-print or foreign language versions. Contact the test publisher to request their catalog(s).

Purchasing Tests
Commercially available tests are usually purchased through the test publisher. Publishers hold the copyright to tests they distribute, and they maintain the copies of tests, test manuals, and scoring keys.

After locating the name, address, or phone number of a test publisher, contact the publisher with your request for information on a particular test (including purchase inquiries). Such inquiries should be made directly to the test publisher. Many publishers have separate policies for individual and organizational purchases of tests. Individuals may be required to complete a test purchaser qualifications form that allows a publisher to determine if the purchaser is qualified and competent to administer and interpret the test.

Test References
As mentioned earlier, the four most popular, useful, and easy to locate printed references for published tests are TIP, MMY, Tests, and Test Critiques. The following is a brief summary of these references.


What information is here? TIP is a bibliographic encyclopedia of information on every published (and commercially available) test in psychology and achievement. Each entry consists of the test title, intended population, publication date, acronym (if applicable), author, publisher, foreign adaptations, and references. There are no critical reviews or psychometric information on the tests; detailed information on individual tests is available in other reference books such as MMY or Test Critiques. TIP was created to
serve as a master index to the whole Buros Institute reference series on tests, including the 15 MMYs and the monograph series.

**What tests are included?** The only criterion for inclusion is that the test be in print and available for purchase or use. So TIP covers a wide range of tests across psychology, education, and achievement. In all, there are 2,780 entries in the fourth edition.

**How do I use it?** Tests are listed alphabetically, within subjects. However, if you know a test title, you can flip to an alphabetical index to find it. There are five indexes: test title, classified subject, publisher, name (of authors, reviewers), and a publishers' directory. These five indexes are handy for locating tests by means other than the title or for accessing whole groups of tests for making comparisons (e.g., all tests tapping vocational interests). After you have located a test that interests you, turn to the MMY for more detailed information on that test, or use the directory of publishers to contact the test publisher for more information.


**What information is here?** In the MMY, tests are listed alphabetically by title. Each entry provides descriptive information, such as the test name, intended population, publication dates, forms and prices, test author, and publisher. It also contains additional information on the extent to which reliability, validity, norming data, scoring and reporting services, and foreign language versions are available. Most entries also include one or more reviews of the test and testing materials (e.g., manuals) by qualified psychologists.

**What tests are included?** The criteria for inclusion in the MMY are that the test be new or revised since the previous yearbook and that the publisher provide documentation supporting the technical qualities of the test.

**How do I use it?** The introduction contains step-by-step directions for using the text to locate testing information. If you know the test title, you can look it up directly through the alphabetical listings. The seven indexes arrange tests by title, print status (in or out), acronym, classified subject, publisher, name (author, reviewer), and score. These can be used to access tests about which you have limited information or to access groups of tests that fit into the same category (e.g., yield the same score or are all measuring stress).


**What information is here?** Tests, like TIP, is a bibliographic encyclopedia containing information on thousands of testing instruments in psychology, education, and business. It provides concise descriptions of tests, with each entry including the test title and author, the intended population, the tests purpose, the major features, the administration time, the scoring method, the cost and availability, and the primary publisher. Also, a scanning line uses coded visual keys to indicate whether the test is self- or examiner-administered.

Tests does not contain evaluative critiques or data on reliability, validity, or norms; this information can be found for selected instruments in Test Critiques.

**What tests are included?** Tests was created to provide quick and easy access to all tests available in the English language. Several thousand tests are included from the
areas of psychology, education, and business.

**How do I use it?** The book is divided into three main sections: 'Psychology,' 'Education,' and 'Business,' with each of these divided into subsections. Tests are arranged alphabetically within each subsection.

*Tests* has seven indexes, including the test title index, author index, foreign language availability index, and a publisher/distributor index. Three indexes identify tests suitable for special populations: the hearing impaired, visually impaired, and physically impaired. Finally, there is a listing of out-of-print tests, which shows tests that publishers indicate have recently gone out-of-print. Use these indexes to locate information on a particular test or to access whole groups of tests in your area of interest. A publishers directory, also located in *Tests*, gives names, addresses, and phone numbers of publishers to contact for more information or purchasing inquiries.

- **Test Critiques** Publisher: Pro-Ed, Inc., Austin, TX. Most current edition: updated annually.

**What information is here?** This text is designed to be a companion to *Tests* and contains supplemental information designated as 'not appropriate for inclusion in that directory. This includes psychometric information such as reliability, validity, and norm development. The tri-part entry for each test includes an Introduction, Practical Applications/Uses, and Technical Aspects, followed by a critique. The Introduction describes the test in detail, including information on the authors and publisher and the purpose of the test. Practical Applications/Uses gives information aimed toward the test user, including intended population, administration, scoring, and interpretation procedures. Technical Aspects includes citations from reliability and validity studies and opinions from experts regarding the technical adequacy of the test. The text is written for both professionals and students, with technical terms explained, and includes helpful information not usually found in other reference books. This makes it a user-friendly resource for students, teachers, or persons unfamiliar with test terminology.

**What tests are included?** Tests are chosen for inclusion based on research on the most frequently used psychological, educational, and business-related tests. Selections are also made based on surveys of professional organizations regarding the tests they would most like to see critiqued. This text is updated annually, with a cumulative index keyed to correspond to *Tests* (10th ed. 1994).

**How do I use it?** Each volume contains a table of contents that lists all reviewed tests alphabetically, along with the name of the reviewer. Each volume also contains cumulative indexes organized by test title, test publisher, test author and reviewer, and subject. This makes it easy to locate information on a test reviewed in any of the volumes, all in one location. Once you have located and read the review for any test, contact the publisher for more information regarding the purchase of the test. Also, because *Test Critiques* is a companion to *Tests*, you can look to the *Tests* directory for more information regarding any test described in *Test Critiques*.

- **Internet Searches**

The newest and most comprehensive way to search for information is through the World Wide Web on the Internet. The *Test Locator* allows you to access information from all the sources listed above. It is a joint effort of the ERIC Clearinghouse on Assessment and Evaluation at the Catholic University of America, the Library and Reference Services Division of ETS, the Buros Institute of Mental Measurements at the University of
Nebraska, and Pro-Ed, a publisher of test reviews. The *Test Locator* can be accessed through any of the three following web sites: http://ericae2.educ.cua.edu, http://www.unl.edu/buros, or http://www.ets.org.

**What information is here?** The *Test Locator* can search three areas: (1) The *Test Review Locator* will allow an individual to enter the name of a test and references of reviews of the test entered will be listed. (2) The Test Publisher Locator allows individuals to type in the name of a publisher and the contact information on that publisher will be available. (3) The *Test Locator* also provides access to the ETS test file, which is a database of over 10,000 published and unpublished tests.

**Available Software and Scoring Services for Published Tests**
You can find a multitude of computerized testing materials, including a variety of software products developed for administering, scoring, and interpreting published tests. There are a couple of helpful directories that can lead you to the software you need.

- **What is "Test Reviews Online"?**

  At the Buros Center for Testing’s website (www.unl.edu/buros), search engines allow you to examine a large amount of information on tests and testing. "Test Reviews Online" is a web-based service of the Buros Institute of Mental Measurements. Test reviews are available to individuals exactly as they appear in the 9th through the most recent Mental Measurements Yearbooks. In addition, regular updates are provided from our latest test review database. For a small fee, users may download information for any of over 2,000 tests that include specifics on test purpose, population, publication date, administration time, and descriptive test critiques.

**Available Software and Scoring Services**
You can find a multitude of computerized testing materials, including a variety of software products developed for administering, scoring, and interpreting published tests. There are a couple of helpful directories that can lead you to the software you need.


**What information is here?** This handy reference identifies and describes over 533 computer-based assessment tools, including computerized versions of paper-and-pencil tests and computer-based scoring and interpretation systems. It serves as a directory of available computer services and contains no reviews or critiques of software or services. Each item entry provides the test (or instrument) name, supplier, category (see below), applications, scale restrictions, type and cost of service, and product description. Also, an appendix showcases sample screens and sample outputs for many products, lending a realistic preview of services.

A separate section, Additional Resources, contains information to direct readers to outside sources of information on new products and critiques of available ones. These resources include journals, newsletters, electronic bulletin boards, and databases.

**What tests are included?** Instruments are categorized using the following classification scheme:

1. Career/Vocational;
2. Cognitive/Ability;
3. Interests/Attitudes;
4. Motivation;
5. Neuropsychological;
6. Personality; and
7. Structured Interview.

The 533 products described consist of both computer-based test interpretation (CBTI) packages and assessment products.

**How do I use it?** Seven indexes provide easy access to the wide range of assessment tools included. The test title index makes it easy to trace a computer-based test version back to its paper-and-pencil counterpart. Other indexes arrange entries by product category, product application, service (including hardware compatibility), and supplier. These are useful in searching for a host of available services for one particular test (e.g., the MMPI) or in locating products compatible with your own computer (e.g., Macintosh).

**Where can I find it?** Ask the reference librarian at your university or college library. If you cannot locate it, contact the publisher, Metritech, Inc.

**For Additional Information on the Proper Use of Tests:**

The following publications represent standards, guidelines, and principles that have been carefully developed by psychologists, educators, and researchers to achieve and maintain ethical testing practices by the whole community. If you are interested in locating guidelines on the proper use of tests, you can consult the following:


**Section 2: Unpublished Psychological Tests and Measures**

*What do you do when you need to identify and find instruments in a research area where no published tests exist?*

*What do you do when you try to find a specific test that has been used in a*
research study, but is not listed as a published test?

What responsibilities do you have when using an unpublished test?

Psychological measures are not limited to published tests; a gold mine of unpublished (or noncommercial) inventories, checklists, scales, projective
techniques, and other instruments exist in the behavioral sciences literature.
Unfortunately, only a few individuals who work in these areas know that the
instruments exist or where to find them.

Locating these instruments is frustrating if you don’t know where to look. Many
researchers, unaware that measures may exist that are suited to their needs, re-
create instruments for their own research. This process is a two-fold waste;
usable instruments lie dormant, and time that could be spent refining existing
measures is instead spent virtually duplicating them. But finding instruments to
suit your needs can be easy if you know where to look.

Printed Directories
The following are two of the more popular printed directories of unpublished or
noncommercial tests and measures.

- **Directory of Unpublished Experimental Measures** Publisher: William
  C. Brown Publishers, Dubuque, IA. Editors: Bert A. Goldman & David F.

  This valuable directory provides researchers and students easy access to recently
developed experimental mental measures, tests, and surveys that are not
commercially available. These measures have been used by other researchers on
topics ranging from educational adjustment and motivation to personality and
perception. The tests are arranged in a 24-category system and are grouped
according to function and content, noting purpose, format, psychometric
information (where available), and related research. The newest category,
Adjustment: Vocation,' identifies articles addressing burnout, vocational
maturity, job-related stress, job frustration, and job satisfaction.

  The directory has been updated periodically since Volume 1 was published in
1974. Each volume has a cumulative index which makes it easy to access any of
the 5,363 tests contained across the first six volumes.

- **Measures for Psychological Assessment: A Guide to 3,000 Original
  Sources and Their Applications** Publisher: Institute for Social
  Research, Ann Arbor, MI. Editors: K. T. Chun, S. Cobb, & J. R. P. French,

  This text provides annotated references to thousands of psychological measures
first appearing in journal articles or other publications. The first section, 'Primary
References,' lists each of these 3,000-plus article references, along with the
name of the measure and one or more applications of this measure in other
experimental studies. The 'Applications' section lists over 6,600 additional studies
that provide experimental tests or additional uses of the original measures.
Author and subject indexes are included.

This text can help the researcher answer such questions as What empirical
findings have been produced by the use of a given measure? or What additional information about a measure has been acquired since its publication?

Although it contains a wealth of references to experimental measures and corresponding research, this text is outdated. It is a helpful resource when looking for a specific measure appearing in the literature during the 1960s or early 1970s, but you would want to consult a more recent measure that is appropriate for your need.

Other Directories
Directories covering unpublished tests also exist in a nonprint format. The following is a summary of some of the more complete directories that fall into this category.

- **ETS Test Collection**

The Educational Testing Service (ETS) Test Collection database contains records on over 10,000 tests and research instruments. These records describe the instruments and provides availability information. ETS Library and Reference Services Division prepares the descriptions. The ERIC Clearinghouse on Assessment and Evaluation maintains the database and hosts the Search System.

The title, author, publication date, and source appear in the record. An abstract describing the instrument, intended population, and uses accompanies the record. Subject terms give the age and grade level information as well as ERIC Thesaurus terms that describe the test. For more information, call or write: ETS Test Collection, Educational Testing Service, Princeton, NJ 08541, (609) 734-5689.

- **Tests in Microfiche**

Available through the Test Collection at the ETS, Tests in Microfiche offers information on a multitude of educational and psychological tests cited in the literature, but unavailable commercially. This includes both never-published and out-of-print tests. Users who purchase the microfiche may reproduce tests for their own use.

Currently, there are over 800 tests included, with new sets of tests prepared annually and added to the cumulative set. These can be purchased as a set or by individual title, and an annotated index is available with each set. Also available is the Cumulative Index to Tests in Microfiche (1975-1987), which indexes all tests available for the first 13 sets of Tests in Microfiche. This reference is now available at many college and university libraries. For more information, call or write: ETS Test Collection, Educational Testing Service, Princeton, NJ, 08541, (609) 734-5686.

- **Health and Psychosocial Instruments (HAPI)**

Many measures created or modified for specific studies appear in journals, but never become commercially available. This computerized database (formerly known as the Health Instrument File) publicizes their existence and allows researchers and students to benefit from past work and avoid re-creating existing instruments. **HAPI** uses controlled vocabulary descriptors from APAs
Thesaurus of Psychological Index Terms and the National Library of Medicine's Medical Subject Headings (MeSH). The database, which is updated quarterly, contains over 15,000 instruments, most appearing in the literature between 985 and the present. One particularly useful feature is that reliability and validity can be used as keywords to access instruments with tested psychometric properties. You could, for instance, search for all instruments in your area with demonstrated test-retest reliability, construct validity, or both.

HAPI is available at many college libraries through BRS Information Technologies. Now, it is also available on CD-ROM. The CD-ROM version is updated twice a year and costs $265 for an initial copy and a semiannual update. For more information, contact: Evelyn Perloff, Behavior Measurement Database Services, P.O. Box 110287, Pittsburgh, PA 15232-0787, (412) 687-6850.

Using the PsycINFO Database

Suppose you are interested in group dynamics and want to locate a measure of group cohesion to use for your project entitled Cohesiveness Among Fraternities and Sororities. None of the tests or surveys you found in the directories or databases seem suitable for your study. There is a chance that the measure you need is in the published literature, but has not yet been referenced in any of these directories. You can locate more tests through a literature search at your library. Ask your reference librarian about PsycINFO, a bibliographic database that indexes all published research in psychology,

- Psychological Abstracts, the print counterpart to PsycINFO, or PsycLIT, the CD-ROM version of PsycINFO. Using keywords to denote your interest areas, you can use the database to find citations for articles in your interest area. PsycINFO, Psychological Abstracts, and PsycLIT provide abstracts for each article and will mention if the author developed a measure in the context of the study. For articles that appear relevant, use the citation to locate the study within the literature. (More information on PsycINFO is available under the PsycINFO menu pick in this Gopher server.)

These citations also include the university or organizational affiliation of the authors, along with an address where you can forward correspondence regarding the article. Write to the author and ask for more information on the test or measure.

Depending on your research area, you may want to consult reference sources in fields related to psychology. For example, the Educational Resources Information Center (ERIC) of the American Institutes for Research produces a database similar to PsycINFO that indexes research published in the educational literature. In addition, the ERIC Clearinghouse on Tests, Measurement, and Evaluation (ERIC/TM) processes information on approximately 2,000 documents and 2,000 journal articles per year, specifically in the area of testing and evaluation. Ask your reference librarian for more information about such alternative sources.

A Final Word

Finding copies of unpublished tests and measures, or information about them,
can be easy if you follow the tips in this document. Remember that the PsycINFO database is an excellent source of information on the very latest developments in psychology, including testing.

**Responsibilities of Test Users**

Users of unpublished tests have certain ethical responsibilities. Users must (a) contact the test author and request permission to use their test, and (b) secure their permission in writing if the material is copyrighted. Locating the author may be a difficult process, particularly if the measure is several years old, but try the following steps:

11. Journal articles list the authors organizational affiliation (or university) with a mailing address on the first page of the article. If the publication is fairly recent, this method is almost always successful.

12. If this fails, directories published by scientific and professional associations like APA could provide you with a more current address and phone number for the author. This is useful if the article is several years old and the author has moved since the article was published.

13. If these attempts to locate the author fail, contact the publisher holding the copyright to the original material and request permission from the publisher. Remember that APA holds the copyright to all material published in APA journals.

No matter how difficult this process may seem, you should make every effort to contact an author or copyright holder to secure permission before using any test or other instrument.

Still have a question about finding tests? Contact the Testing Office of the APA Science Directorate.
APPENDIX C:
Examples of Quantitative and Qualitative Research Methods

Quantitative Studies
Group designs (design of many traditional dissertations
   Experimental
   Correlational/quasi-experimental
   Archival or original data

Quantitative single or multiple case designs
   N of 1 research (Kazdin, 1998)
   Time series designs

Qualitative Designs
   Ethnography
   Ethnomethodology
   Field Research
   Grounded Theory
   Narrative Analysis
   Participant Observation
   Phenomenological Study
   Approaches using theory-driven analysis/coding of transcripts

Outcome Studies and Program Evaluations

Professional and Public Policy Issues

Integrations
   Integrative case studies
   Integrative literature reviews
   Meta-analysis:
      quantitative pooling of participants across empirical studies to
      evaluate effect sizes for given treatments

Qualitative Research Approach: Ethnography

1. Brief summary of Qualitative Method:

   Ethnography asks, “In what ways do members of a community actively construct their world?” The ethnographic researcher sets out to grasp the emic or indigenous point of view. Eg., “what is it like for a person to exist in an urban shelter for the homeless?” The objective is to learn from people rather than “study” people (Spradley, 1979). The ultimate quest is for what Geertz (1983) calls “thick description”: the essential meaning contained in culturally pattern behavior and norms that guide individual and collective action in a particular context. Procedures typically include unstructured interviews,
participant observation, fieldnotes, documents, records, photos, maps, genealogies, social network diagrams, etc.

2. Reference(s) of a published paper, book chapter, or book describing the methodology in questions as it applies to psychology.


3. Reference(s) of peer-reviewed published research in the form of a journal article, book chapter, or book applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.


4. Reference(s) of a psychology dissertation applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.

Qualitative Research Approach: Ethnomethodology

1. Brief summary of Qualitative Method:

The objective of ethnomethodology is to describe the means by which human beings make a given social and cultural context meaningful to themselves. Ethnomethodologists seek to uncover the implicit rules embedded in situations that are relied upon for the maintenance of normative demands on behavior, e.g., “What are the taken-for-granted rules that govern client behavior in a therapeutic setting, enabling the practitioner to decide that a client is ‘disturbed’?” Methods usually include audio- or videotaping of
dialogue and verbal interaction, observations, documents, field notes on the scenarios of
everyday life, etc.

2. Published paper, book chapter, or book describing the methodology in questions as it
applies to psychology.

*Int’l J. Nursing Studies,* 29(1), 59-68.

practice. In N.K. Denzin & Y.S. Lincoln (Eds.), *Handbook of qualitative research*


3. Peer-reviewed published research in the form of a journal article, book chapter, or
book applying the methodology in question to a research question in psychology and
demonstrating the importance and value of the method.

*Qualitative Health Research,* 2, 451-474.

Hall.

4. A psychology dissertation applying the methodology in question to a research
question in psychology and demonstrating the importance and value of the method.

**Qualitative Research Approach: Field Research**

1. Brief summary of Qualitative Method:

Field research involves direct observation of social, cultural and psychological
phenomena in their natural settings. While this methodology is frequently seen as
synonymous with participant observation, field research is sometimes conducted without
participation. Typical procedures include quota sampling, “snowball” sampling, and
deviant cases. The field journal is the basic tool of the field researcher. Observation,
data processing and analysis are interwoven and cyclical processes (Babbit, 1989).

2. Reference(s) of a published paper, book chapter, or book describing the methodology
in questions as it applies to psychology.

Especially chapter 10.

subjects. *Amr Sociologist,* 14, 136-142.


3. Peer-reviewed published research in the form of a journal article, book chapter, or book applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.


4. Psychology dissertation applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.

Qualitative Research Approach: Grounded Theory

1. Brief Summary of Qualitative Method

   The theoretical base for grounded theory is symbolic interactionism which stresses that people are active participants as they construct their realities from the symbols around them and through their interactions with others. Grounded theory develops conceptualizations of the underlying social process at an abstract level. Such theory is discovered, developed, and verified through systematic data collection and analysis. Data collection, sampling, and analysis all occur simultaneously as the study progresses, and further data collection are based on the emerging theory. Participants are selected based on their knowledge of the topic. Data is collected through unstructured interviews, observations, and other fieldwork techniques. Analysis techniques include constant comparison in which all pieces of data are compared with other data. Grounded theory is process oriented and allows for change over time, describing stages and phases inherent in experience. Grounded theory has evolved into different “schools” (This very brief summary is from Morse, J.M. & Field, P.A. *Qualitative research methods for health professionals* (pp. 27-28).

2. Published paper, book chapter, or book, describing the methodology in question as it applies to psychology.


3. Peer-reviewed published research in the form of a journal article, book chapter, or book, applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.


4. A psychology dissertation applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.


Qualitative Research Approach: Participant Observation

1. Brief summary of Qualitative Method:

Participation Observation is research that involves “social interaction between the researcher and informants in the milieu of the latter, during which data are systematically and unobtrusively collected” (Taylor & Bogdan, 1984). Prior to immersion in the world of the informants, the researcher does not really know what questions to ask or how to ask them. It is only after one has “participated” and “observed” that the specifics of the appropriate methodological approach become obvious. Procedures typically involve observations, field notes, interviews, photography, videofilming, and notemaking. An ongoing ethic issue is the extent to which one’s work needs to be of a covert nature.

2. Published paper, book chapter, or book describing the methodology in question as it applies to psychology.


3. Peer-reviewed published research in the form of a journal article, book chapter, or book applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.


4. A psychology dissertation applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.

Qualitative Research Approach: Narrative Analysis

1. Brief Summary of Qualitative Method

Narrative Analysis takes a wide variety of quite different forms in terms of level of formality as well as of purpose. For a summary of these forms see the chapter by P.K. Manning and B. Cullum-Swan entitled Narrative, content, and semiotic analysis, in the book by N.K. Denzin and Y.S. Lincoln (Eds.) *Handbook of qualitative research*. Only one form of narrative analysis will be presented here, which is a relatively late development in narrative analysis, and which originated in contemporary anthropology and has been informed by feminist concerns. Its emphasis is upon lives and lived experience from the narrator’s experience. This approach emphasizes the role of these narratives in empowering persons through subtle understandings of their life situations. This form of narrative analysis is rather loosely formulated, almost intuitive, using terms defined by the analyst (see Riessman, 1993). This form of narrative analysis examines and presents the themes, principal metaphors, definitions of narrative, and defining narrative structures, often in a relatively poetic manner.

2. Published paper, book chapter, or book, describing the methodology in question as it applies to psychology.


3. Peer-reviewed published research in the form of a journal article, book chapter, or book, applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.


4. Psychology dissertation applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.

Qualitative Research Approach: Phenomenology

1. Brief Summary of Qualitative Method

The phenomenological method is both a philosophy and a method. There are several “schools” of phenomenology. These schools seek to understand the lived experiences of people and their intentions. These approaches ask the question, “What is it like to have certain experiences?” Preconceptions, expectations, or frameworks are avoided as the researcher gathers and analyzes data. Phenomenology accepts the experience of the individual as it exists and has the goal of accurately describing that experience, and unlike grounded theory, not to generate theories or models or to develop general explanations. Phenomenological writing may be descriptive or interpretative, and yields a ‘text’ that is open to varied interpretations, based upon the reader’s experience (This very brief summary is from Morse, J.M. & Field, P.A. Qualitative research methods for health professionals, pp. 22-23).

2. Published paper, book chapter, or book, describing the methodology in question as it applies to psychology.


3. Peer-reviewed published research in the form of a journal article, book chapter, or book, applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.


4. Psychology dissertation applying the methodology in question to a research question in psychology and demonstrating the importance and value of the method.

APPENDIX D:

Forms Used in the Dissertation Process
Dear Psy Student:
The administrative paperwork process that accompanies the dissertation process is extremely important. The following step-by-step check-off and explanation list has been created to assist you in this process. It is your responsibility to facilitate the administrative paperwork during your dissertation writing process. Please take the time to read over these guidelines carefully.
Proper signatures and prompt filing of all forms with your committee members and the correct departments are very important in helping you progress in a timely fashion. It is also the means by which your external reviewer receives compensation. Understanding the paperwork process and communicating with your chair on a regular basis will also save you tuition money and prevent unnecessary delays in completing your dissertation.

Forms & Information you will need. (Available at http://pathway.ciis.edu/ and http://library.ciis.edu/information/dissertation.asp or from the PSY Program Office materials shelf).

___ Approved External Reviewer Referral List
___ CIIS Thesis/Dissertation Committee Membership Approval Form
___ Guidelines for External Reviewers: Review of PsyD Proposals
___ External Review Process Check-off Form: Proposal Review
___ External Review Tracking Form: Dissertation Proposal
___ Proposal Approval Form
___ HRRC Application Materials (download from http://pathway.ciis.edu or visit the program office)
___ Guidelines for External Reviewers: Review of Completed PsyD Dissertations
___ External Review Process Check-off Form: Dissertation Review
___ External Review Tracking Form: Dissertation (Final Draft)
___ Technical Review Form (From Tech Reviewer)
___ Dissertation Defense Scheduling Form
___ Final Signature Form (available in Graduation Application from Registrar)
REGISTRATION

Psy 7000-Dissertation Proposal Writing: register for this if you have completed Psy 6900- Introductory Dissertation Research Seminar, have not advanced to candidacy, and you have a faculty member who has agreed to be your chair. (See The Dissertation Handbook for advancement to candidacy requirements). The chair should sign your dissertation committee form and you will hold on to this signed form until you also obtain the signature from the approved external reviewer.

Psy 7900-Dissertation Research: register for this for three semesters if you have advanced to candidacy and you have a faculty member who is working with you as your chair. The chair should sign your Dissertation Committee Form and you will retain this signed form until you obtain the signature from the approved external reviewer for signature.

Psy 9999- Dissertation Research: register for this if you have used up your limit of Psy 7000 and Psy 7900. Contact the Registrar if you have questions.

EXTERNAL REVIEW PROCESS

External Review Criteria: Read Section “F”, on the reverse of the “Dissertation Committee Form”

Process:
Find a specialist in your field of interest OR select a pre-approved reviewer from the PSY Program’s referral list (available upon request).

For specialist, external review applicants: Submit vitae to the program director for approval. If approved, contact the reviewer to arrange agreement on serve on your committee. Send or email them a proposal summary (not the entire proposal), for their review, and you may discuss committee agreement. You could also have them review your proposal summary before they receive final approval from the program director, but please know that even if the potential reviewer agrees to work on your committee, s/he may not gain approval by the PSY program director. After the reviewer is in place, send him/her the dissertation committee form (already signed by your chair) and a W-9 Taxpayer form for signature. Enclose a stamped, self-addresses return envelope. Attach the external reviewer’s vitae to the dissertation committee form and obtain signatures from the program director and submit to the program office for final signature and filing. Your committee has now been formed.
For Pre-approved Reviewers: Same process as applicants, EXCEPT approval is not needed again from the program director and the W-9 has already been filed with the CIIS Business Office. Follow all other instructions listed in the previous paragraph. AFTER your external reviewer is in place, communications are limited to coordinating forms and mailing only. **You are not permitted to verbally discuss the review (evaluation) of your dissertation with the reviewer.** All evaluation is done in writing. You may speak with them to follow up on evaluation deadlines only. If there are any disagreements, your chair may speak with the reviewer. If the chair and reviewer disagree, the program director can be contacted to mediate.

**External Review Guidelines:** The reviewer has 30 days for the review of the proposal and 30 days to review the final dissertation draft. Reviewers are not required to sign off on the “proposal approval form” in the first round, though, so you may have to make corrections and re-submit for another review if substantial corrections are needed. All evaluative areas must be signed off on the check-off list as “minor/no revisions” before the proposal can be signed off. This is the same for the final dissertation process. The final dissertation process begins only when “proposal approval form” is filed AND HRRC Review has occurred. HRRC meets once a month during the Fall and Spring Semesters.

**PROPOSAL PROCESS**

Send a copy of your proposal to the external reviewer with the following forms attached:
___ Guidelines for External Reviewers: Review of PsyD Proposals
___ External Review Process Check-off Form: Proposal Review
___ External Review Tracking Form: Dissertation Proposal
___ Proposal Approval Form  The reviewer should not sign this form unless the proposal is returned with all areas checked-off as “minor/no revisions”. If you must re-submit a revised proposal for a second review, than attach all of the above forms again, and the proposal approval form.

Enclose a pre-paid postage envelope that will cover the weight of the returned materials. Thick priority envelopes work best.

If you do not receive your proposal back from the reviewer in 30 days, you may contact your reviewer to follow-up. Do not discuss the evaluation. If your external reviewer returns your proposal with substantial revisions requested, this step is repeated, until the proposal approval form can be signed-off.

**HUMAN RESEARCH REVIEW COMMITTEE (HRRC)**

Your chair decides whether your dissertation must go through HRRC review, and signs the appropriate box on the back of the proposal. The HRRC Policies Handbook (which includes application and timelines for submission and review of applications) is available for download from [http://pathway.ciis.edu/](http://pathway.ciis.edu/) or in the program office.
PROPOSAL APPROVAL

At the point that the proposal receives minor/no revisions for all evaluated areas, the proposal approval form can be circulated for signatures. HRRC must also approve the proposal and sign off on the proposal approval form. Be sure to keep a copy of the proposal attached to this form, so that the program director may also review it after external reviewer approval. After all designated persons have signed off on the proposal approval form, submit a copy to the program office, keep a copy for your own records, and forward the original to the Registrar’s Office for final processing. The Registrar will forward to the Business Office and proposal level compensation of $150.00 will be sent to the External Reviewer. Payment for reviewers can take 30-45 days.

FINAL DISSERTATION PROCESS

Send a copy of your dissertation to the external reviewer with the following forms attached:

___ Guidelines for External Reviewers: Review of PsyD Dissertations
___ External Review Process Check-off Form: Final Dissertation Review
___ External Review Tracking Form: Final Dissertation

Enclose a pre-paid postage envelope that will cover the weight of the returned materials. Thick priority envelopes work best.

If you do not receive your dissertation back from the reviewer within 30 days, you may contact your reviewer to follow-up. Do not discuss the evaluation. If your external reviewer returns your dissertation with substantial revisions requested, this step is repeated, until External Review Tracking Form: Final Dissertation form can be signed-off.

The Graduation Application is available online from the Registrar at http://pathway.ciis.edu/. There is a fee. Please file this application early during the semester you plan to graduate, which may be the semester you defend your dissertation or may not occur until you finish your pre-doctoral internship, whichever occurs last. The final signature form is included in the graduation packet and you must take this form to the dissertation defense so that your committee members can sign upon approval.

Your dissertation is ready for Technical Review when all changes required by both your chair and the external reviewer have been made in your dissertation manuscript. See website: [web address-tba] or psy program office for the approved technical review list. You must select one of the pre-approved technical reviewers from the list available OR submit a non-approved technical reviewer’s vitae to the Library Director for approval. You must compensate your technical reviewer; check with your selected reviewer rates.

Once all areas are approved with minor/no revisions by the External Reviewer, the dissertation defense can be scheduled. Please file the Defense Scheduling Form, with the program office 3 weeks before the defense date. It is your responsibility to coordinate the defense location and times with your committee members. Conference calls can also be
coordinated with the assistance of your program coordinator. Defense rooms are reserved through the Registrar’s Office.

Following the dissertation defense, some further changes may be requested in the dissertation manuscript by your committee. After these changes are made, your chair must approve the final copy before submission to the PSY program office and the library. The PSY Program Director reviews your dissertation giving special attention to the title and the abstract, since these aspects will be a highly visible representation of the quality of CIIS dissertation research when published in *Dissertation Abstracts Instructional*.

The UMI form, available from [http://library.ciis.edu/information/dissertation.asp](http://library.ciis.edu/information/dissertation.asp) must also be completed during the final stage of your dissertation. Although the application requests payment, you can disregard this since the payment has already been included in your tuition for graduation.

Each semester, deadlines are set for final dissertation to reach the Library and the Program Director. Please be aware of these deadlines, which are posted on the Library Website.

GOOD LUCK!!

Psy Program Coordinator
415.575.6210
<table>
<thead>
<tr>
<th>Name</th>
<th>Contact</th>
<th>Area of Expertise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lee Bach, PhD</td>
<td>39454 Country Lane Drive Novi MI 48375</td>
<td>Humanistic psychology, existential and phenomenological studies, education and school psychology, eating disorders.</td>
</tr>
<tr>
<td></td>
<td>(248)348-1114</td>
<td></td>
</tr>
<tr>
<td>Scott Churchill, PhD</td>
<td>University of Dallas Dept. of Psychology</td>
<td>Humanistic, Phenomenological, empathy, intuition, process &amp; outcome research in psychother.</td>
</tr>
<tr>
<td></td>
<td>1845 East Northgate Drive Irving TX 75062-4736</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(972) 721-5348 (972) 721-4034 <a href="mailto:cscott@acad.udallas.edu">cscott@acad.udallas.edu</a></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1/2005 on sabbatical, contact him at:</td>
<td></td>
</tr>
<tr>
<td></td>
<td><a href="mailto:scottdchurchill@yahoo.com">scottdchurchill@yahoo.com</a> <a href="mailto:bonobo@udallas.edu">bonobo@udallas.edu</a></td>
<td></td>
</tr>
<tr>
<td>Gary Grossman, PhD</td>
<td>2186 Geary Blvd, Ste 211 San Francisco CA 94115</td>
<td>Psychoanalysis, homosexuality, HIV</td>
</tr>
<tr>
<td></td>
<td>(415)928-4662 <a href="mailto:garygr@itsa.ucsf.edu">garygr@itsa.ucsf.edu</a></td>
<td></td>
</tr>
<tr>
<td>Bruce Feingold</td>
<td>16 Hazel Rd. Berekeley, CA 94705</td>
<td>awaiting more contact info cv, and expertise</td>
</tr>
<tr>
<td>Susan Hillier, PhD</td>
<td><a href="mailto:hillier@monitor.net">hillier@monitor.net</a> (prefers email contact)</td>
<td>Adult development, gerontology, Aging, caregiving, social networks, community mental health, human service program development and evaluation, education</td>
</tr>
<tr>
<td>Sally Jenson, PhD</td>
<td><a href="mailto:drsally@dissertationdoctor.com">drsally@dissertationdoctor.com</a> 1150 Island View Lane Encinitas, CA 92024 (760) 635-1545 <a href="http://www.dissertationdoctor.com">www.dissertationdoctor.com</a></td>
<td>Educational psychology, biopsychology, neuropsychology, language development, cognition</td>
</tr>
<tr>
<td>Jon Klimo, PhD</td>
<td><a href="mailto:jonklimo@aol.com">jonklimo@aol.com</a> 4282 Fruitvale Avenue Oakland, CA 94602 (510) 215-0277</td>
<td>Transpersonal psychology</td>
</tr>
<tr>
<td>Stanley Krippner PhD</td>
<td><a href="mailto:skrippner@saybrook.edu">skrippner@saybrook.edu</a> Saybrook Graduate School 450 Pacific Avenue, Third Floor San Francisco, CA 94133</td>
<td>Altered states of consciousness, anomalous phenomena, shamanism and indigenous healing</td>
</tr>
</tbody>
</table>
Nicholas Ladany, PhD 111 Research Drive
Lehigh University
Bethlehem PA 18015
(610) 758-3253
nil3@lehigh.edu

Psychotherapy clinical supervision, ethics, cultural diversity and ethnic minority psychology

Ellen Levine, PhD Research Director
Psychosocial Oncology
California Pacific Medical Center
2300 California St., Suite 207
San Francisco, CA 94115
(415) 600-1477
elevine@cooper.cpmc.org

Health psychology, wholistic oncology treatment, women and breast cancer, gerontology/geriatrics

Laurel McCabe 223 Fifth St.
Petaluma, CA 94952
(707) 664-2130 office

Jungian psychology, psychology of women, psychodynamic and object relations, clinical psychology

Brent Mallinckrodt Dept. of Educational, School, and Counseling Psychology
16 Hill Hall
University of Missouri
Columbia, MO 65211

Psychotherapy relationship, adult attachment, working alliance

Robert F. Morgan 305 Mission Serra Terrace
Chico, CA 95926
(530) 892-2131

Counseling education, international psychology, applied gerontology, life-span development, evaluation, the psychology of time, special education, transpersonal psychology

Lola Vildavskiaia, PhD Licensed Clinical Psychologist
2299 Post St., Ste. 104B
(415) 407-3638
vladvil@ix.netcom.com

Cross-cultural issues, immigration and acculturation, adult development, family dynamic and divorce, parenting and child development

Alla Volovich, PhD 4333 California St.,
San Francisco CA 94118
415.831.4395

Cross-cultural issues, working with adolescents, socialization, gender related issues, Russian culture
### CIIS Thesis/Dissertation Committee Membership Approval Form

Current Semester: [ ] Fall [ ] Spring [ ] Summer Year: 20___

**Section A: Student / Candidate Information**

Name ___________________________________ Program ______ M.A. ___ Ph.D. ___ Psy.D. ___

Title of Thesis/Dissertation Proposal

Date of Advancement to Candidacy (where applicable) __________________________

Date of Comprehensive Examination passed (where applicable) __________________

**Section B: Proposed Committee Members**

This form must have attached:
[ ] curriculum vitae of non CIIS faculty

By signing below, I agree to serve as a committee member on this thesis/dissertation

<table>
<thead>
<tr>
<th>Committee Chairperson</th>
<th>CIIS Core Faculty _____ Non-core _____</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name ___________________</td>
<td>Social Security # ___________________</td>
</tr>
<tr>
<td>Address ____________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>Telephone # __________</td>
<td>e-mail __________________________</td>
</tr>
<tr>
<td>Signature __________________________</td>
<td>__________________________</td>
</tr>
</tbody>
</table>

**Member: ____ External Reviewer (PsyDoc or SCT) ____ External Member (SCT only)**

| Name ___________________ | Social Security # ___________________ |
| Address ____________________________________________________________ |
| Telephone # __________ | e-mail __________________________ |
| Signature __________________________ | __________________________ |

**Member: (for all Programs except PsyDoc)**

| Name ___________________ | Social Security # ___________________ |
| Address ____________________________________________________________ |
| Telephone # __________ | e-mail __________________________ |
| Signature __________________________ | __________________________ |

**Member: TLC Peer or Additional Member (non-paid / volunteer member)**

| Name ___________________ | Social Security # ___________________ |
| Address ____________________________________________________________ |
| Telephone # __________ | e-mail __________________________ |
| Signature __________________________ | __________________________ |

~ REVERSE SIDE FOR SIGNATURES, PROCEDURES, GUIDELINES AND DEFINITIONS
Section C: Approvals

If the academic backgrounds of the above scholars are deemed sufficient for mentoring of this research project, the Program Director and the Academic Vice President Designate must sign below:

Program Director ____________________________ Date __________

Academic Vice President Designee ______________ Date __________

Section D: Procedures

1. After fulfilling pre-candidacy course work and seminars, the student candidate can select a thesis or dissertation committee, in conjunction with the student’s faculty advisor and Program Director

2. The form “CIIS Thesis/Dissertation Committee Membership Approval” (on the FRONT of this form) must be completed and signed by all committee members. The chairperson must be a core faculty member from the student’s program (see School and Program Handbooks for further information on exceptions).

3. The Program Director and the Academic Vice President Designate will review the vita and other relevant materials and then sign for approval of the committee members and the dissertation external reviewer.

Section E: Non-core Committee Member Guidelines (for Thesis):

The credentials of all CIIS NON-CORE MEMBERS on thesis committees should meet the criteria of an Assistant Professor level faculty member as described in the CIIS faculty manual, and be documented in their vita.

1. Doctoral degree and at least two years teaching or directly relevant professional work experience combined with part-time teaching; OR a Master’s degree and at least four years teaching OR a combination of four years directly relevant professional work and teaching experience.

2. Some scholarly contribution to field of specialization through publication of other appropriate media.

3. Contribution to the field of specialization through professional activities.

Section F: Non-core Committee Member Guidelines (for Dissertation):

The credentials of all CIIS NON-CORE MEMBERS on dissertation committees should meet the criteria of an Associate Professor (or in exceptional cases, an Assistant Professor). The chairperson must meet the Associate Professor level criteria. This must be documented in the vita. Below are the criteria for Associate Professor, as described in the CIIS faculty manual.

1. Doctoral degree and career development in the area of specialization.

2. At least five years of graduate level teaching OR a combination of maximally two years of relevant professional work experience and three years graduate level teaching.

3. A substantial number of scholarly contributions of field of specialization. They may be in any of the appropriate media. Some will be in professional journals.

4. Significant contributions to the field of specialization through professional activities (presentation, etc.).

4/2003 Registration
Guidelines for External Reviewers: Review of PsyD Proposals

Reviews of proposals should be two pages in length.

Please describe your evaluation of the completed proposal by commenting specifically on each of the following:

1. The significance of the problem selected for study: the extent to which knowledge potentially gained through this research makes a useful contribution to the field.

2. Review of the literature in terms of organization, completeness and currency.

3. Appropriateness of the research design and methods to investigate the research questions proposed.

4. Clarity of presentation of the research design and methods.

5. The likelihood that the design and methods proposed will yield valid and reliable findings.

6. Provide further suggestions that will enhance the overall quality of the proposal.
Student: ______________________

External Review Process Check-off
CIIS Psy Doc Dissertation

Proposal Review

SPECIFIC AREAS

1.) Significance of Topic
   - Minor or No Revisions Recommended
   - Substantial Revisions Recommended (External Re-review Needed)

2.) Literature Review
   - Minor or No Revisions Recommended
   - Substantial Revisions Recommended (External Re-review Needed)

3.) Methodology-clarity and appropriateness
   - Minor or No Revisions Recommended
   - Substantial Revisions Recommended (External Re-review Needed)

4.) Contribution of proposed research to the discipline
   - Minor or No Revisions Recommended
   - Substantial Revisions Recommended (External Re-review Needed)

EXTERNAL REVIEWER NAME (PRINTED): _____________________________

SIGNATURE: ___________________________ Date: ________
Student Name ___________________________________ Program ___ Ph.D. ___ Psy.D. ___

Title of Dissertation Proposal _________________________________________

EXTERNAL REVIEWER COMMENTS ON THE DISSERTATION PROPOSAL:
"I have read the above proposal. Below are my comments regarding the soundness of this proposal. I consider it to comply with departmental and general CIIS academic standards, unless noted below."

General Comments:

Comments on Specific Areas of Proposal (attach additional pages if needed)

1. Significance of topic:

2. Literature review:

3. Methodology—clarity and appropriateness:

4. Contribution of proposed research to the discipline:
<table>
<thead>
<tr>
<th>External Reviewer Name</th>
<th>e-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>Telephone (__)</td>
</tr>
<tr>
<td>Signature</td>
<td>Date</td>
</tr>
</tbody>
</table>

76
Committee Chairperson fills out this section before the dissertation proposal is finally approved:

Status of External Reviewer Comments:

The student has responded fully to the comments of the External Reviewer in the dissertation proposal document presented by the student: ________ Yes ________ No

If “No”, the chairperson will specify here the issues brought up by the External Reviewer which still must be addressed in the final dissertation proposal:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Name of Chairperson _____________________________________________

Signature  ___________________________________________________

Date  __________________________  2/2001
External Review Tracking Form: Dissertation Proposal

THE FOLLOWING IS GENERAL INFORMATION ON THE EXTERNAL REVIEW OF DISSERTATIONS AT CIIS.

Definition and Responsibilities of External Reviewers for Dissertations:

1. External Reviewers are scholars outside of CIIS who function either as:
   a. an External Reader (who reviews the work, but is not part of the dissertation committee), or
   b. an External Committee Member (who functions as a committee member).

2. Either type of External Reviewer has a specific set of responsibilities:
   a. They assess the status of specific aspects of academic integrity of the final proposal,
   b. Assess, minimally, the final full draft of the dissertation, and
   c. Participate in the final dissertation defense.

The Role of the External Reviewer for the Dissertation Proposal:

Scholars who function as an External Reader or an External Committee Member have a specific responsibility: to assess specific aspects of academic integrity of the dissertation proposal. The review of the proposal focuses on several key domains including: a) soundness and significance of dissertation topic, b) completeness and relevance of the literature review, c) methodological soundness, i.e., completeness, clarity and appropriateness of methodology, and d) contribution of the proposed research to the particular discipline.

An External Committee Member is a special outside member of the committee whose task it is to provide specific critiques of the proposal. The External Reader is not a committee member. He or she provides critiques of the proposal as above in the role of a non-member participant in the research process. See guidelines for the steps in the proposal approval process in the central CIIS, School and Program Policies and Procedure Manual.

Process of Dissertation Proposal Feedback from the External Reviewer:

Prior to the final approval of the dissertation proposal, the external reviewer has a maximum of six weeks to conduct a review of the final draft of the proposal on the External Review Tracking Form: Proposal. If the Chairperson concurs with all comments of the external review, the Chairperson informs the student about the needed changes and notes the actions on this form. If the Chairperson seeks clarification of the external review, he/she inquires directly to the External Reviewer.

The External Reviewer participates in the proposal defense if required by the program. An External Committee Member signs and dates the Proposal Approval form; some programs require the External Reader to sign the Proposal Approval form (see specific program guidelines). The chair attaches the External Review Tracking Form: Proposal to the Proposal Approval Form and submits a copy of both forms to the appropriate school office. The student submits the signed Proposal Approval Form to the HRRC Committee, when applicable.

2/2001
Section A: Student / Candidate Information

Name ___________________________ Program ______ M.A. ___ Ph.D. ___ Psy.D. ___

Title of Thesis/Dissertation Proposal ____________________________

Date of Advancement to Candidacy (where applicable) __________

Proposal Defense Date __________

Section B: Committee Member Agreement

I have read the above mentioned proposal and consider it to comply with departmental and general CIIS academic standards for thesis/dissertation proposals, including methodological standards. The student has successfully defended the proposal in a meeting (if applicable), indicated by the signatures below:

Committee Chairperson CIIS Core Faculty _____ Non-core _____
Name ___________________________ Social Security # ___________________________
Address ____________________________
Telephone # __________________________ e-mail ___________________________
Signature ____________________________

Member: ____External Reviewer (PsyDoc or SCT) ____External Member (SCT only)
Name ___________________________ Social Security # ___________________________
Address ____________________________
Telephone # __________________________ e-mail ___________________________
Signature ____________________________

Member: (for all Programs except PsyDoc) CIIS Core Faculty _____ Non-core _____
Name ___________________________ Social Security # ___________________________
Address ____________________________
Telephone # __________________________ e-mail ___________________________
Signature ____________________________

Member: TLC Peer or Additional Member (non-paid / volunteer member)
Name ___________________________ Social Security # ___________________________
Address ____________________________
Telephone # __________________________ e-mail ___________________________
Signature ____________________________

~ REVERSE SIDE FOR APPROVALS AND PROCEDURE ~
Section C: Approvals

1) **Committee Chair sign either (a) or (b):**

(a) This thesis/dissertation does not involve research with human participants and HRRC review is not required.

Committee Chair Signature ______________________ Date ____________

(b) This thesis/dissertation has been reviewed by HRRC and determined to be in full compliance with all standards.

If HRRC Approval, Date ____________

Committee Chair Signature ______________________ Date ____________

2) **Proposal reviewed and approved by:**

Program Director ______________________ Date ____________

Academic Vice President Designee ______________________ Date ____________

---

**PROCEDURE**

1. After the student has an approved dissertation or thesis proposal the student completes Section A.
2. Committee members complete and sign appropriate portion of Section B.
3. Committee Chair approves proposal and signs the appropriate HRRC section (when applicable).
4. Committee Chair submits form and copy of proposal to either the SCT Coordinator or SPP Department Program Coordinator.
5. Program Coordinator obtains signatures from Program Director and AVP designee.
6. Program Coordinator makes 2 copies of contract: (1) forward original to Registrar’s Office. (2) forward one copy to the Business Office Contract Administrator (BOCA) for payment. (3) file one copy in department file.
7. BOCA processes first payment.

---

**BUSINESS OFFICE ONLY**

1st payment date _________________ Amount to be paid _________________

Final payment date _________________ Amount to be paid _________________

Dept Number _________________ P.O.# ________________________________ Acct. Number __________

**Signatures:**

BOCA ______________________ Date __________

Director of Finance ______________________ Date __________
HRRC-Human Research Review Committee Application
Materials
(available from Human Research Review Committee or online at:
http://library.ciis.edu/information/handouts/hrrc.pdf)
Guidelines for External Reviewers: Review of Completed PsyD Dissertation

Reviews of dissertations should be at least two pages in length.

Please describe your evaluation of the dissertation by commenting specifically on each of the following:

1. How well the proposed research design and methods were implemented in the data collection and data analysis sections of the dissertation.

2. Clarity of the presentation of the results section in terms of organization, use of tables and figures, and overall effectiveness in communicating the findings.

3. As applicable, the likely validity and reliability of the findings.

4. Quality of the discussion section in terms of examining the potential meaning of the dissertation results in light of the ideas discussed in the literature review. Evaluate how well the discussion section identifies potential clinical relevance of the findings and recommends specific future research approaches to clarify remaining questions.

5. Describe the extent to which you believe the conclusions presented are justified by the analysis of results and the limitations identified.

6. Provide a list of specific recommendations for revisions of the completed dissertation. Indicate clearly whether you judge the combined revisions to be “minor” or “extensive” in nature.
External Review Process Check-off
CIIS Psy Doc Dissertation

**Dissertation Review**

**SPECIFIC AREAS**

1.) **Significance of Topic**
   - □ Minor or No Revisions Recommended
   - □ Substantial Revisions Recommended (External Re-review Needed)

2.) **Literature Review**
   - □ Minor or No Revisions Recommended
   - □ Substantial Revisions Recommended (External Re-review Needed)

3.) **Methodology—clarity and appropriateness**
   - □ Minor or No Revisions Recommended
   - □ Substantial Revisions Recommended (External Re-review Needed)

4.) **Contribution of proposed research to the discipline**
   - □ Minor or No Revisions Recommended
   - □ Substantial Revisions Recommended (External Re-review Needed)

**EXTERNAL REVIEWER NAME (PRINTED):________________________***

**SIGNATURE:_____________________________________ Date:_________**
EXTERNAL REVIEWER COMMENTS ON THE FINAL DISSERTATION DRAFT:

"I have read the above final draft of the dissertation by this student. Below are my comments regarding the soundness of this final draft. Unless noted below, I consider it to comply with departmental and general CIIS academic standards, and to be in accord with the previously approved Dissertation Proposal."

General Comments:

Comments on Specific Areas of Final Draft (attach additional pages if needed):

1. Completeness and relevance of the literature review:

2. Methodological integrity:
   (i.e., the student appropriately carried out the procedures in the approved proposal)

3. Soundness of the implementation of the quantitative and/or qualitative data analysis:
4. Contribution of the research to the particular discipline(s):

5. Thoroughness and appropriateness of dissertation conclusions and interpretations:

Committee Chairperson fills out this section before the FINAL DRAFT is finally approved:

Status of External Reviewer Comments:

The student has responded fully to the comments of the External Reviewer in the dissertation proposal document presented by the student: ____________ Yes ____________ No

If “No”, the chairperson will specify here the issues brought up by the External Reviewer which still must be addressed in the final dissertation proposal:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Name of Chairperson _____________________________________________

Signature _____________________________________________________

Date ________________
External Review Tracking Form: Dissertation Final Draft

THE FOLLOWING IS GENERAL INFORMATION ON THE EXTERNAL REVIEW OF DISSERTATIONS AT CIIS.

Definition and Responsibilities of External Reviewers for Dissertations:

1. External Reviewers are scholars outside of CIIS who function either as:
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2. Either type of External Reviewer has a specific set of responsibilities:
   a. They assess the status of specific aspects of academic integrity of the final proposal,
   b. Assess, minimally, the final full draft of the dissertation, and
e. Participate in the final dissertation defense.

The Role of the External Reviewer for the Dissertation Draft:

Scholars who function as an External Reader or an External Committee Member have a specific responsibility: to assess specific aspects of academic integrity of the dissertation. The review of the dissertation focuses on several key domains including: a) soundness and significance of dissertation topic, b) completeness and relevance of the literature review, c) methodological soundness, i.e., completeness, clarity and appropriateness of methodology, and d) contribution of the proposed research to the particular discipline.

An External Committee Member is a special outside member of the committee whose task it is to provide specific critiques of the dissertation. The External Reader is not a committee member. He or she provides critiques of the dissertation as above in the role of a non-member participant in the research process. See guidelines for the steps in the dissertation approval process in the central CIIS, School and Program Policies and Procedure Manual.

Process of Dissertation Draft Feedback from the External Reviewer:

Prior to the final approval of the dissertation, the external reviewer has a maximum of six weeks to conduct a review of the final draft of the dissertation on the External Review Tracking Form: Dissertation (Final Draft). If the Chairperson concurs with all comments of the external review, the Chairperson informs the student about the needed changes and notes the actions on this form. If the Chairperson seeks clarification of the external review, he/she inquires directly to the External Reviewer.

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2/2001
Dear Doctoral Candidate,

You have received this information as per your request for a list of dissertation technical review editors (review of format, style, and copyright issues). Please review the list and pick an editor with expertise in style/format you are using. The established charge for this service is $30/hr, effective January 1, 2005.

On the average dissertations may take as little as a few hours or more than 20 hours, depending on the number of pages, how carefully the document has been prepared and other considerations. Students are responsible for the expenses and pay the reviewer directly. It is in students’ best interest, to save time and money, to work closely with the most recent edition of their chosen style manual and with the CIIS requirements linked from:

http://library.ciis.edu/information/dissertation.asp

If a dissertation requires more than a technical review, i.e., basic editing or copy editing, the editor will contact you to inform you of the additional work required. If so, you may hire the same editor, do the copy editing yourself, or hire a different copy editor. Copy editing work may cost you more than the rate described above. Negotiations for any additional editing work beyond the technical review is up to you and the editor of your choice.

**Dissertation Technical Review Editor Pool**

<table>
<thead>
<tr>
<th>Name</th>
<th>Format(s)</th>
<th>City</th>
<th>Telephone</th>
<th>E-mail</th>
<th>Best way to contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Angeleen Campra</td>
<td>Chicago; APA</td>
<td>San Francisco, CA</td>
<td>(415) 864-6428</td>
<td><a href="mailto:acampra@earthlink.net">acampra@earthlink.net</a></td>
<td>Phone &amp; e-mail</td>
</tr>
<tr>
<td>Candice Chase</td>
<td>Chicago; APA</td>
<td>San Francisco, CA</td>
<td>(415) 753-1770</td>
<td><a href="mailto:drchase@sbcglobal.net">drchase@sbcglobal.net</a></td>
<td>Phone &amp; e-mail</td>
</tr>
<tr>
<td>Carol Shannon</td>
<td>Chicago; APA</td>
<td>Oakland, CA</td>
<td>(510) 208-1904</td>
<td><a href="mailto:Cshannon8@juno.com">Cshannon8@juno.com</a></td>
<td>Phone &amp; e-mail</td>
</tr>
<tr>
<td>David Parker</td>
<td>Chicago; APA; MLA</td>
<td>Fullerton, CA</td>
<td>(714) 278-5531</td>
<td><a href="mailto:david.parker@cgu.edu">david.parker@cgu.edu</a></td>
<td>E-mail</td>
</tr>
<tr>
<td>Mark Shekoyan</td>
<td>AAA</td>
<td>San Francisco, CA</td>
<td>(415) 309-4919</td>
<td><a href="mailto:shekoyan@mkthink.com">shekoyan@mkthink.com</a></td>
<td>Phone &amp; e-mail</td>
</tr>
<tr>
<td>Ruth Temple</td>
<td>Chicago; APA</td>
<td>San Francisco, CA</td>
<td>(415) 821-1265</td>
<td><a href="mailto:editing@rulise.net">editing@rulise.net</a></td>
<td>Phone &amp; e-mail</td>
</tr>
<tr>
<td>Susan Fitzgerald</td>
<td>Chicago; APA</td>
<td>Vancouver, BC</td>
<td>(604)980-6851</td>
<td><a href="mailto:sfitzg@telus.net">sfitzg@telus.net</a> <a href="mailto:shayper95@yahoo.com">shayper95@yahoo.com</a></td>
<td>Phone &amp; e-mail</td>
</tr>
</tbody>
</table>

Updated 9/7/04
CIIS Thesis/Dissertation Defense Scheduling Form

Student Name________________________________ Program ______
Degree ______

Thesis/Dissertation
Title_________________________________________________________
_____________________________________________________________
_____________________________________________________________

Date ______________ Is this an on-campus meeting Yes _____ No _____
Time ___________ Room _______________

Brief description of project (mini abstract):
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________

1) Student must submit this form to his/her program office 3 weeks prior to the defense date.
2) Designated academic staff will help secure class room. This form will be used as a flyer for public announcement purposes.
Final Signature Form

(available in Graduation Application from Registrar or online at:
http://www.ciis.edu/students/regforms/ThesisDissApproval.pdf)
UMI Forms
(available from the Library or online at:
http://library.ciis.edu/information/handouts/umiformd.pdf)
APPENDIX E:

Examples of Preliminary Pages of the Dissertation
MY ONE AND ONLY DOCTORAL DISSERTATION:

THE GRAND PRODUCT

A Dissertation Submitted to the Faculty of the
California Institute of Integral Studies

by
Sherman L. Sturdley

In Partial Fulfillment
Of the Requirements for the Degree of
Doctor of Psychology

San Francisco, California
May, 2004
CERTIFICATE OF APPROVAL

I certify that I have read MY ONE AND ONLY DISSERTATION: THE GRAND PRODUCT by Sherman L. Sturdley, and that in my opinion this work meets the criteria for approving a dissertation submitted in partial fulfillment of the requirements for the degree of Doctor of Psychology at the California Institute of Integral Studies.

______________________________
Divine Persona, Ph.D.
Professor of Psychology
Committee Chair

______________________________
Hugo Summerstopper, Ph.D.
External Reviewer
APPENDIX F: HELPFUL BOOKS

Research Design and Methodology Books


Visit the Sage website!!!!!!! www.sagepub.com
Dissertation writing (paperbacks)


Writing


Software

- **Endnote**: for managing references and citations; creates a database from which you can choose and insert citations in papers. Automatically does APA reference and citation format.
- **APA StyleHelper**: formats manuscripts in APA format. Available from www.apa.org. (Some students have found other formatting software more useful.)
- **Statview**: user friendly statistical software for basic statistics as well as factor analysis; Excel compatible; inserts into Word. From SAS.
- **Nudist and Ethnograph**: the most-used qualitative data analysis software for coding, summarizing, and managing interview transcripts and other text materials. Available at the Sage website: www.sagepub.com
Statistical methods

- **Elementary** (Advanced Undergraduate or First Year Graduate Student):

- **Intermediate** (Graduate Level): Both of these books are well written, informative, and provide conceptual understanding of a range of statistical methods.

- **Advanced** (Graduate Level):

- **Statistics Cookbook**