

2022-2023 DISSERTATION HANDBOOK  
Psy.D. Program  
*2.22.23*

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## Introduction

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This manual is a guide to the dissertation completion process at Antioch University Seattle. It contains general information and advice as well as current school policy regarding dissertations. It also includes information on campus regulations and procedures, deadlines and timelines, forms, and technical production. Changes in any of the policies or procedures between now and when you finish your dissertation may be necessary, so you are urged to read carefully all future correspondence and addenda related to the dissertation process.

### APA Style Manual

The dissertation, its style and format, generally comply with APA expectations; however, there are exceptions that are noted throughout this handbook. Additionally, the AUS PsyD Program ascribes to the 7<sup>th</sup> edition of the manual.

### Overview

**Purpose of the dissertation.** Your dissertation will present your sophistication as a consumer of psychological research, your ability to appropriately make use of scientific knowledge in your clinical practice or other professional duties, and your ability to create new knowledge in the field of clinical psychology. As the author of a dissertation, you make use of available research findings to better understand a problem that merits attention. The text of your dissertation must reflect your mastery of the relevant literature, and it should constitute a contribution to the practice of psychology. Writing your dissertation should challenge your innovative, creative, and integrative talents.

The dissertation requirement is designed to serve several purposes. The structure of the dissertation is meant to provide both a standard of excellence for a scholarly contribution on the part of the student, as well as a significant degree of flexibility by which the student may make such a contribution. The dissertation is meant to serve as a vehicle by which the student can make an original and scholarly contribution, in an area of his/her choosing, to the field of professional psychology. In doing so, it serves as an opportunity to provide in-depth learning in an area of the field that is of particular interest to the student. The project also serves as a demonstration of the student's mastery in professional practice areas related to the review, integration, articulation and advancement of knowledge in the field of professional psychology.

The dissertation can take a variety of forms. Examples are a scholarly, theoretical paper that reviews, integrates and synthesizes different lines of research or bodies of thought within an area of clinical concern; draws conclusions about the issues; and makes an original contribution to the field (thus, a simple review of the literature on a topic is not considered adequate to meet the requirements of the dissertation).

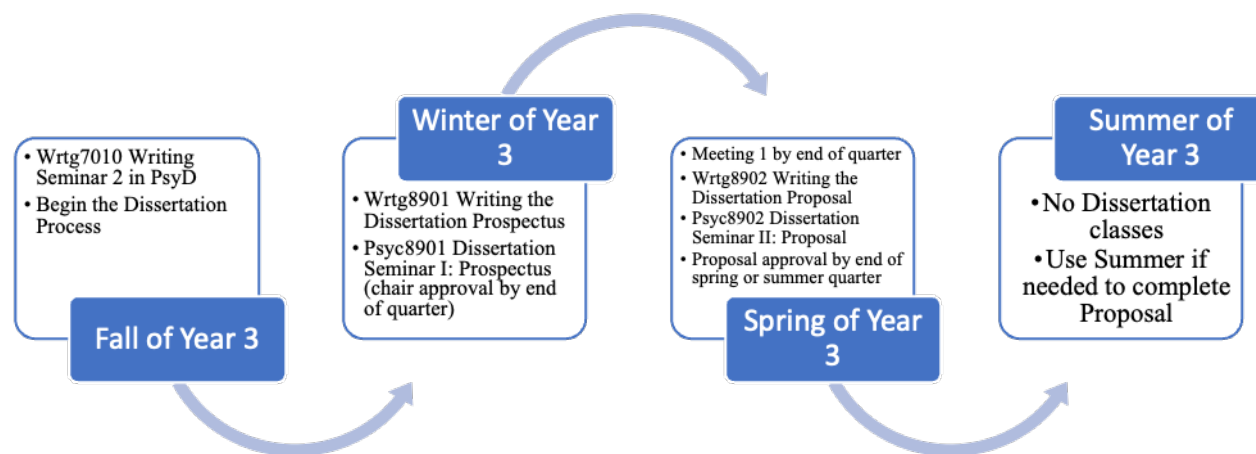
Students are also encouraged to pursue the option of an empirical paper. Students choosing to carry out an empirical study for their dissertation need to comply with the ethical guidelines for human research (see Institutional Review Board [IRB] guidelines).

**The dissertation process.** The dissertation process typically involves a set of common sequential steps, which are supported throughout the Dissertation Seminars and by the committee:

- Identifying an area of interest.
- Establishing a relationship with a potential committee Chairperson and obtaining agreement that s/he will chair your dissertation.
- Reviewing the relevant literature and refining the specific aim of the proposed project.
- Designing and describing a project to achieve the desired goal.
- Constituting a dissertation committee, in consultation with your committee chair.
- Holding a preliminary proposal discussion to refine your project
- Obtaining permission from the Institutional Review Board (IRB) to conduct the project.
- Reviewing a more formal proposal hearing with your committee. The goal is having the dissertation proposal formally accepted by the committee.
- Collection and analysis of the information (clinical or theoretical material, quantitative or qualitative data) upon which conclusions will be based.
- Writing the dissertation.
- Defending the dissertation.
- Clearing the dissertation.

## Dissertation Seminar Series

### Overview of dissertation series.



Students will be required to take the series, which includes a 1 credit writing course in fall, a 1 credit writing course and a 2 credit dissertation course in winter, and a 1 credit writing and 2 credit dissertation course in spring quarter.

The writing and dissertation courses are designed to guide the student through the dissertation process, culminating in an approved dissertation proposal by the end of the summer quarter. The series is structured, and students will be expected to work at a steady pace throughout the year. Students are encouraged to start thinking about and organizing their dissertation prior to starting the series (e.g., deciding on a dissertation topic, beginning to gather research, securing a chairperson, securing the internal and external members, etc.). Students are also encouraged to work ahead during the year when able to help ensure they do not fall behind.

In order to successfully complete the series, students will be required gain chair approval of their prospectus by the end of the winter quarter and pass their prospectus meeting by the end of spring. Students will be required gain chair approval of their proposal by the end of the spring quarter (preferred) or the end of the summer quarter at the latest. Students will then need to pass their proposal meeting shortly after chair approval. The goal is for students to have an approved proposal by the end of year 3, which meets the deadline required to apply for internship.

### Prospectus and Proposal

As part of the process, students are expected to develop an initial prospectus and a full proposal. The proposal builds off the initial prospectus, but the documents have different structures and purposes.

**Prospectus.** The prospectus is the initial document outlining the student's idea, providing as brief literature review giving background on the topic and outlining the hole in the literature the research intends to fill, the rationale for choice of methodology, and a brief statement of the significance of the anticipated results to the practice of psychology. Students may also provide a preliminary timeline. This document can be developed in stages from a one-page description, to a two-to-three-page prospectus (the latter is useful to recruit potential committee members), to an

eight-to-ten page-working document. Generally, the prospectus is completed before the first meeting, and serves as the basis for discussion and development of the idea but is very much a “draft” of the proposal subject to significant change as the committee decides.

**Proposal.** The proposal is a highly structured, much more formalized document than the prospectus, with detailed information about the proposed project. This structure can be modified to adapt to your particular project's design. Detailed information appears in a later chapter. The proposal is also the basis for Institutional Review Board approval, if needed. It generally contains:

- Title Page
- Table of Contents
- Abstract
- Introduction
- Review of Literature
- Methodology
- Results
- Discussion
- References
- Figures and Tables
- Appendices

### **Committee Meetings**

Committees normally meet three times, each time marking a milestone in the course of the dissertation. The purpose of each of these meetings is outlined below.

**First meeting: Formation of the committee and approval of prospectus.** The tasks to be accomplished in this first meeting are:

- Introduce the members of the committee
- Approve the student's proposed topic
- Hold preliminary discussion on the design of the dissertation project
- Complete, sign, and distribute the *Dissertation Committee Meeting Form* (available on Sakai at Psy.D. Community Site/Resources/Dissertation).

**Second meeting: Approval of the proposal.** The meeting represents final approval of the student's project, and after IRB approval, the student may begin collecting data. The tasks to be accomplished in the second meeting are:

- Finalize approval of the student's proposal
- Approve application for Institutional Review Board approval, if needed
- Complete, sign, and distribute the Dissertation Committee Meeting Form (available on Sakai)

**Third meeting: Final defense.** The oral defense of the dissertation enables the student and committee members to discuss the project and its outcome, it provides a test of the student's ability to respond orally to relevant questions and gives the faculty the opportunity to assess the candidate's competence as a practitioner-scholar as well as the over-all quality of the dissertation.

Completion of this major milestone is generally the final marker for students on their path to earning their Psy.D. The quality of the Psy.D. dissertation is evaluated based on the following criteria:

- The student's formulation of a question relevant to professional psychology.
- The use of existing psychological and social science methods of disciplined inquiry to address that question, including a critical understanding of the methods' relative strengths and limitations.
- The scholarly treatment of the relevant psychological literature and empirical or discursive materials.
- The project's pedagogical implications for the student's personal and professional skill development as a clinical psychologist.

### **Working with Your Chair and Committee**

Before sending your draft out to your committee members for your first, second, or third dissertation committee meeting, work with your Chair to perfect the material to the extent possible. Only when your Chair agrees that the material is ready to distribute (generally required for the meeting to be scheduled), send it to your other committee members. While you might consult along the way with your committee members on particular questions or issues that are in their area of expertise, do not expect the committee members to read “drafts” of your material.

Once your Chair has approved your materials to be shared with the rest of the committee, send the materials to the committee, giving them at least 2 weeks (preferably longer) to read your materials before the meeting. Your committee members will bring or send you their comments on your materials at your meeting, and you will need to revise your materials accordingly after the meeting.

Before your third meeting (final defense), your Chair will ask the committee members to review the materials sufficiently to let the Chair know if there are serious enough concerns that the third meeting should be postponed until substantial revisions can be made. Be sure to let the committee members know that they are being asked for this level of review at this time. You should wait to schedule your third meeting until AFTER the committee has reviewed the material and indicated to your Chair that the materials are sufficiently strong to go ahead with the final defense. Despite this “no surprises” review step, committee members are not expected to read your materials and provide detailed comments until the final meeting. This means that you can expect to make some revisions after your final meeting; don't bind your dissertation until after your final meeting to include those revisions.



In summary, dissertation committee members only provide a detailed read of your materials once before each meeting; work with your Chair to get the material as close to “perfect” as you can but expect more revisions after the meetings.

## Preparing for the First Meeting

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### Formulating the Question

Defining the question is the beginning step in the doctoral paper process. Students develop a question that will guide their research, thinking, and writing. The doctoral paper draws on the student's capacity for social planning, organization, and task execution. Ideas must be developed within a context, and contained within a structure, that both focuses and delimits their scope. For the doctoral student, this context consists of the psychological and relevant social science literature as archived in major libraries; the current practices and guiding theoretical frameworks of the profession; and the particular knowledge, interests, and theoretical predilections of the student's doctoral committee.

Formally, Psy.D. students begin their dissertation when they enter Dissertation Seminar. However, many have the opportunity to get started earlier as a part of their research methods courses.

First identify an interest area and narrow it to one or two specific ideas or questions. Then begin a focused examination of the relevant literature and start to design a study or project. You will be supported by the instructor in individual meetings as well as in the classroom, and by class discussion during which students compare designs, suggest and share resources, and constructively criticize each other's work.

### Examples of the Types of Dissertation Projects

Dissertations may take many forms. The following describes some of the many kinds of research possible for the dissertation.

**Empirical study.** This kind of study involves the collection, analysis, and interpretation of original quantitative and/or qualitative data (broadly defined to include secondary analysis of archival data already available, replications, content analysis, etc.) to address a problem of theoretical or practical interest. Quantitative, qualitative, or mixed method studies are all acceptable as dissertations.

**Theoretical paper.** A thorough review of the literature pertaining to a problem which integrates two or more theoretical positions, or which places an array of research findings under a new theoretical umbrella. This work should be rigorous, integrative, critical, original, and parsimonious. It should communicate a clear viewpoint developed by the student in the course of the research. In addition, the practical and empirical implications of the analysis should be delineated.

**Program evaluation.** The Program Evaluation addresses professional issues through the use of evaluation design, problem formation, methodology, analysis of relevant quantitative and/or qualitative data, and report of findings in a constructive fashion. It may include questions pertaining to program utilization, implementation, fine-tuning, and effectiveness. The use of traditional, empirical, and action research methods are supported. Program evaluation usually

involves quantitative analysis but not in all situations. You might choose a particular agency with changes in their service delivery and study the impact of the changes. For example, policy changes for an agency serving battered women may necessitate the development of outcome measures that utilize data that are available to the agency. A student might develop and pilot test new measures while involving members of the agency to assure that the information is useful for policy development.

**Integrative case study.** A clinical case (or cases) is used to test, substantiate, or clarify a specific theoretical proposition that exists in the professional psychology literature. The Case Study overlaps with the Theoretical Paper in its integration or contrasting of two or more theoretical positions with respect to a phenomenon, and in the requirement that it be thorough, critical, and rigorously presented. It differs in the extent to which clinical case material is used to illustrate particular points.

Case studies are particularly appropriate when instances of a phenomenon are rare; when the phenomenon is best illustrated as exemplary cases rather than in descriptions of populations attributes; when the investigation involves mobilization of resources that would prohibit more traditional analyses; when replications within or between a small number of cases are possible and particularly illuminating; and/or when the phenomenon is so complex as to demand extensive localized observation and description.

A dissertation using the case study method is an in-depth study of an individual or group being treated because of psychosocial dysfunction. Students of this kind should include an analysis of the literature about the problem(s) being treated and an explanation of the socio-cultural history of the clients and the techniques used to improve psychological functioning. There are many acceptable ways to approach case study research and good texts are available on the subject.

**Design and implementation of an innovative program.** This includes a theoretical and practical justification for the program, goals and objectives, plans for program implementation, and a workable plan for program evaluation. Kinds of programs studied can include treatment interventions, prevention programs, organization consultations, etc.

**The relationship between psychology and public policy.** There are many areas of public policy where psychology might have an impact, either by direct service or through consultation based on existing psychological knowledge and practice (e.g. nuclear arms, environmental policy; policies affecting children, mentally ill, elderly, etc.). Dissertation/doctoral papers of this type involve a thorough analysis of the history and rationale for a current policy; a rigorous and critical integration of relevant psychological knowledge; and specific recommendations for policy modification, research, and/or service that might be provided by professional psychologists.

**Creative arts projects.** These projects are meant for students who find that their question is best addressed through a final work of creative art (e.g. video, film, screenplay, series of photographs, original essays, or a gallery showing.) In this format, the student addresses what they intend to explore in their work and what they hope to communicate to those who see, hear,

or read the project. There should be a relevant review of the literature as well as other artistic endeavors in the area. The written product for this type of project includes introduction and rationale sections, a brief narrative review of literature and similar work, a description and evaluation of the design process, an evaluation of the work, the work itself (video, film, screen play, series of photographs, or original essay, etc.), and a literature review in the form of the annotated bibliography.

**The conceptual-analytic investigation.** Dissertations of this sort involve a synthesis and analysis of existing literature relevant to the question being studied with the goal of gaining new insights to enhance the clinical competence of the student and readers. Good examples of this type of research are found in journals such as *Psychological Bulletin*, *Psychological Review*, and *American Psychologist*. It is important to remember that even though the conceptual-analytic dissertation will not require the collection and analysis of empirical data, it will demand extensive understanding and organization of background literature, the ability to engage in logical reasoning, and well-developed writing skills. For this type of dissertation, you may obtain important tips from an instructive journal article by Daryl J. Bern, "Writing a Review Article for *Psychological Bulletin*" in the journal by that same name, 1995, Vol. 118, pp. 172-177.

**Surveys and epidemiological questionnaires.** Some students may want to obtain public health information on communities or populations of special interest. Survey data concerning matters such as the prevalence of smoking among preteens, condom use in populations at high risk for HIV infection, abusive child rearing practices and so on have obvious clinical implications. Given that the Psy.D. dissertation is to provide clinically useful knowledge (in this case, about a specific community population), large-scale randomly selected samples will not be necessary. However, the student should select a sample that will specifically address the research question and avoid making broad generalizations about the data.

**Others.** There are certainly other formats for Psy.D. dissertations. You might talk with members of the faculty to ascertain their ideas about a Psy.D. dissertation, based on the type of clinical interests you have.

The above formats are only intended as examples. Other formats or combinations of these may be desirable depending on the question the student chooses to pursue. The main requirements are that the format is logically appropriate to the topic and the central question as framed by the student and modeled on the scope and length of existing publications in psychology or social science.

## Developing the Prospectus

Once you have formulated a question and chosen a type of dissertation, you are now ready to develop a working document describing your ideas for your dissertation. This prospectus can be developed in stages from a one-page description, to a two to three-page prospectus (the latter is useful to recruit potential committee members), to an eight-to-ten page-working document. The document should include a description of the proposed study or project, a summary of any relevant literature reviewed to date, the methods to be used, and a brief statement of the significance of the anticipated results to the practice of psychology. The student will do this in

with guidance from their Dissertation Seminar instructor and dissertation group, and eventually their Chair.

There is flexibility around which materials you prepare for your first dissertation meeting. Work with your chair to identify the most appropriate materials so that your committee can give you useful feedback on the direction you are planning to take with your project. Generally, however, the more you have thought through your project, the more effective the committee feedback will be. Students have successfully used the following types of materials for their first meeting for an empirical dissertation:

- Preliminary literature review of studies on your topic, including studies that have focused on the variables and measures you are considering. The goal is that your committee can trust that a) your project has not already been published by someone else, and b) that you have chosen your variables and measures based on a critical reading of how others have approached them.
- Notes or an outline of the methods you are considering, including sample (where will you find them?), instruments (are they copyrighted? Costs?), and procedures. Consider any Human Subjects issues that may arise from the methods you plan to use.
- A rough draft timeline for finishing your project
- A list of questions you would like the committee to consider

**Prospectus guidelines.** The contents of a dissertation prospectus can vary widely depending on the topic, methodology, research question, and relevant literature. A prospectus should provide enough information for potential committee members to assess whether or not they are well suited to serving on the committee. While each student should work closely with their dissertation chair to determine which topic-specific sections should be included, all prospectuses should include the following:

- Statement of the problem or research question to be addressed
  - Provide a succinct statement of the proposed research problem.
  - Describe the purpose or intention of the study (i.e.: Take a stance).
- Significance of the problem
  - Provide an initial review of relevant literature to demonstrate historical context of topic.
  - Provide an argument and rationalization, justification, relevance for the study.
  - The prospectus should demonstrate gaps in the literature.
  - Address clinical relevance of study.
- Anticipated methodology to be used:
  - Sample, procedures, initial hypotheses, and methods (i.e.: Qualitative, quantitative, etc.).
- Timeline/goals for completing dissertation process:
  - This will likely be modified as the project develops, but student should outline initial timeline).
- References & Format:
  - Adhere to APA, 7<sup>th</sup> ed. Style.

## Formation of the Dissertation Committee

**Committee's mission.** The dissertation committee assumes the important dual role of providing guidance in completing a dissertation project that significantly contributes to the student's education as a professional psychologist, and in evaluating the quality and acceptability of the student's work. The program's primary objective is to offer a dissertation process that will enhance the student's understanding of psychological knowledge, how it is developed, and how professionals participate in the dissemination of that knowledge. Because Antioch's philosophy highlights the value of collaborative learning, all of the activities supporting students' dissertations occur within the Dissertation Seminars and within the dissertation committee. Both of these settings provide an interpersonal, intellectual, and professional context for designing and executing students' dissertations.

The committee will operate as a system with attendant internal checks and balances to ensure that the student has demonstrated the levels of independence, conceptual sophistication, and professional expertise that are required by the profession.

A committee of four persons is required, comprised of a) a Chairperson who is a member of the AUS Psy.D. full (core, teaching, research, or clinical) or part-time (affiliate) faculty, b) two other doctoral-level professionals, at least one of whom must not be an appointed Antioch University Seattle Psychology full-time, part-time, or adjunct faculty, and c) the student.

**Chairperson.** You may choose to have any member of the core faculty chair your committee. The primary tasks of the Chair are to:

- Supervise all phases of the dissertation process.
- Act as administrative liaison between student and program.
- Read and review student's written work.
- Chair meetings of the dissertation committee.
- Approve committee members & evaluate their feedback on the project.

**Role of committee members.** In choosing committee members, students should feel confident in the member's ability to serve as a mentor. Proposed members should be respected by colleagues in the community, as well as offer expertise in the areas of students' dissertation topics and be willing to make themselves available to students as resources in their educational and professional growth. In light of these and related considerations, we recommend that students consult with their faculty in the early stages of looking for appropriate Committee members. Students must ask their committee Chair to review their choices for informal approval before they formally ask anyone to serve as a dissertation committee member.

After students have identified individuals they would like as Committee members, students must complete the "Psy.D. Dissertation Committee Appointment Form" (available in Sakai) and submit to the Dissertation Coordinator for final approval. Committee members cannot be changed, except in unusual circumstances. The committee Chair has the discretion to approve changes in committee membership.

**Task outline for dissertation committee members.** Committee members will:

- Participate in proposal development by providing consultation review of written draft suggestions for changes.
- Formally review and accept in writing (on forms to be provided) the finalized dissertation proposal.
- Be available for brief consultation with the student as he/she implements the project. The Dissertation Seminar instructor has the responsibility to guide students through the timely completion of major benchmarks of the dissertation. The committee Chairperson has the authority to resolve various dilemmas that arise, with consultation of the other committee members for certain issues.
- Review the near-final draft to indicate to the Chair whether the final meeting should be postponed, or if the material appears to be suitable for a positive decision at the defense.
- Read and suggest revisions on near-final dissertation draft.

**Choosing your committee.** Students should interview a selection of Psy.D. faculty members. They may investigate the faculty member's interests (i.e., reading faculty biographies, asking pertinent questions) and areas of expertise in order to identify core faculty members with interests that complement their potential research interests. Faculty are much more likely to find your topic interesting if you are able to present it clearly and knowledgeably. The approach we advise is that you identify a potential Chairperson, give him or her a brief (i.e., 2-5 pages) summary of your prospectus, and make an appointment to discuss your ideas. Spend some time thinking about the reactions of the faculty to your ideas and about your reactions to each of them before deciding if you want her or him to chair your committee.

Under the supervision of your Chairperson, you typically will spend some time developing your prospectus more fully before you begin selecting the other members of your committee. At least one should be an expert in the subject matter of your study if the Chair is not. Another way in which you might want to achieve balance is in working style. Your Chairperson might focus on challenging you to achieve higher levels of integration, interpretation, and analysis. In this case you might want someone on the committee who will concentrate on providing support and encouragement for your efforts. You should discuss the composition of your committee with your Chairperson before inviting others to become members.

Signing the dissertation constitutes evidence that the committee member individually certifies the adequacy of the entire document. Therefore, a committee member who is not fully satisfied with the quality of your work should not sign the document.

**Suitable outside committee members.** Criteria for outside members includes the following:

- ***Professionals from your field placement settings.***
  - These people are likely to be experienced in your topic area, and often are important sources of help and support in subject recruitment or in attaining other important resources. Most importantly, this is likely to be someone who

knows the needs of the community and the usefulness of your proposed project.

- ***Faculty of other schools.***
  - These may be faculty from disciplines other than psychology selected because your study is interdisciplinary. They may be faculty from your undergraduate or master's level program with whom you have maintained contact and who have special expertise to bring to your committee.
- ***Antioch alumnae.***
  - It is very likely that someone who graduated from Antioch within the last few years did a doctoral dissertation in an area related to yours. Alumnae are likely to be valuable committee members for a variety of reasons. Pride in the profession and the school, coupled with their pleasure at being asked to play this important role, is likely to motivate them to work hard to be good committee members. Because they recently went through the experience themselves, the graduates might be more empathic than other committee members. They also might be full of helpful advice about all sorts of things such as how to manage the time demands of your field placement, courses, family, and exercise regimen and still work on your dissertation.

**Changing the composition of a committee.** Prior to the second committee Meeting, students and committee members (including Chairs) may change their minds about working with each other. However, once the form for the second committee meeting has been signed and filed, the composition of the committee is considered fixed and permanent. Chairpersons or committee members who leave the faculty or move away may continue serving on their committees if they and the students so wish, and with administrative approval. Where these conditions are not met, the student, in consultation with the Chair, will recruit a new member. Changes in Chairs or members for other reasons are very rare and petitions to effect such changes must contain compelling reasons.

### **First Committee Meeting**

Once your committee is established and all members have read your prospectus and indicated readiness to move to the next stage, you should schedule your first committee meeting. First review your plan with your Chair. Once approved by the Chair, present a copy of your prospectus to your committee members. Please allow everyone at least two weeks to read your materials before you schedule a meeting.

Preliminary meetings tend to be friendly and collaborative and you will have an opportunity to discuss your ideas with people who are very interested in your success. Please be open to new ideas, as you will hear many of them. You should leave the meeting with clear suggestions for a proposal. Students must ensure that the *Dissertation Committee Meeting Form* is completed, and copies distributed as indicated.

**Scheduling your meeting.** The first step in scheduling your meeting is to establish a time at which you and the members of your committee can meet. Although the meetings vary in duration, you and your committee should allow sufficient time for a full discussion of the



proposed study and any problem or question that arises. For that reason, ask your committee members to set aside two hours for the meeting.

The second step in the process is to reserve a room for your meeting. This is done through the AUS receptionist. Typically, you should allow for 2 hours. Once the meeting is scheduled, inform your committee members. Other faculty or students may attend, however, only members of your committee will participate in the formal decision to accept or reject the proposal.

## Preparing for Your Second Meeting

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Once the committee is formed and the student's preliminary plan accepted at the first meeting, they may go on to formulating their proposal. Students will have the support of their Dissertation Seminar faculty and student group as well as their Chair and committee in writing the proposal. Once students have their proposal approved, they may apply for Internship Eligibility status (if other criteria are also met; see Internship handbook, available on Sakai at Psy.D. Community Site/Resources/Clinical Training Documents).

### The Proposal

The dissertation proposal provides the reader with a clear, detailed, and explicit description of the objectives of the project you propose to do, the rationale for doing it, and the means used to obtain answers to the questions asked. The format of the proposal is dependent on a variety of factors including the type of research being done. Quantitative students will closely resemble the traditional journal article while non-experimental, conceptual-analytic research will not have sections on procedure, materials, participants and so on.

### General Summary of the Proposal Contents and Structure

What follows is a summary of the structured proposal for a dissertation. (Consult the APA Publication Manual for additional stylistic expectations.) This structure can be modified to adapt to your particular project's design and is intended as a model for your use.

#### Title page.

- The title page should succinctly communicate the topic, nature, and purpose of the proposed study. (Example: The Role of Task Ambiguity and Topic Breadth in the Development of Anxiety and Rage among Doctoral Dissertation Students or A Synthesis of Behaviorist and Neo-analytic Views on Interpersonal Relations.)
- The dissertation title should be 10-12 words maximum.

#### Table of contents.

- This includes chapter headings and other major headings within the chapters, with corresponding page numbers, as well as appendices.

#### Abstract.

- This brief paragraph should cue the reader to the theoretical, practical and empirical bases of the work; the nature of the specific problem; the expected results stated in general terms; and a brief comment of the potential implications of the study.

#### Introduction.

- The first major section.
- State specific objectives of the study delineate the particular aspect of the problem to be addressed by the proposed study and indicate its potential significance for the field of professional psychology.

- Briefly, but critically elaborate the theoretical frameworks that guide the literature and the proposed study, outlining the rationale for the particular approach to be used.
- Address the specific research/study question and state the hypothesis (if applicable).
- The introduction should prepare the reader for a specific operational plan.

#### **The review of literature.**

- Further define, focus, and clarify the problem of study.
- Summarize previous empirical, theoretical, and clinical writings that are relevant to the problem, thereby informing the reader about the state of current knowledge and the basic issues the problem raises.
- Critically evaluate the literature by identifying relations, contradictions, gaps, and inconsistencies.
- Use literature to establish an explicit rationale for the proposed research.

#### **Methodology.**

- This section should precisely outline what the student intends to do. This is the most critical part of the dissertation proposal. The student should endeavor to present a complete, workable plan, which, if accepted, will become an institutional contract of the dissertation (for empirical studies, the outline for the method is explained in the APA Publication Manual).

#### **Results.**

- This section should include the proposed methods of analyzing information collected and hypothesized results of the work.

#### **Discussion.**

- This section will be a placeholder at this stage of the process. The student might consider speculating on how the major results might be interpreted, including those found counter to the expectations. At this stage, a discussion of the theoretical implications of the work may be attempted.

#### **References.**

- Use APA style and only those materials cited in the proposal. For theoretical dissertations, a bibliography of major proposed readings, other than those cited in the text, should be included.

#### **Figures and tables.**

- Liberal use of visual displays to help make a theoretical point, present a model, or display results is encouraged.

#### **Appendices.**

- This section should include supplementary materials, which are too extensive or detailed to include in the body of the proposal.

## **Specifics Depend on Proposal Type**

The structure and contents of your document will vary depending on the type of dissertation you are doing. Following are descriptions of two types of proposals, (1) conceptual-analytic proposal and (2) proposal for a quantitative, qualitative, or mixed method study.

### **The Conceptual-Analytic Proposal**

Generally, conceptual-analytic dissertations will consist of several chapters. First the problem to be investigated and its importance to the practice of psychology will be presented. Then, in a sequence of chapters, the student will engage in an integrative review of current literature and derive conclusions based on inductive and deductive logical reasoning.

#### **Statement of the problem.**

- Inform readers of the rationale for doing the study and why this is important. If the objective of the dissertation is to improve clinical competence, show the relevance of your work to the practice of psychology. A student interested in providing better services for juvenile delinquents, for example, could cite statistics regarding the rapid increase of this problem in the United States and the poor outcome of current rehabilitative efforts. An argument could then be made that the intensive study of what is known about the interventions used with this difficult population will benefit not only those youths who will be seeking your clinical services in the future, but clinicians working with these youths in applied settings as well.

#### **Background.**

- This is the core of the conceptual-analytic dissertation and takes the form of one or several chapters in which you review the relevant literature in a scholarly manner. It is important not to merely "reproduce" findings without adequate integration and appraisal. The goal of your review is the acquisition of new insights into applied problems, which will result in better practice. Therefore, you must carefully analyze the "data" of your study, which is the clinical literature relevant to your area of inquiry. For instance, if you would like to become an expert in assisting substance-addicted clients to avoid relapse, you must first become thoroughly familiar with the specific preventive methods described in available studies. Then, you will be able to engage in the process of integration and evaluation, which will lead to, improved proficiency in preventing relapse and, hopefully, heightened acumen regarding this perplexing and prevalent phenomenon.

#### **Implications for clinical practice.**

- While the implications for clinical practice should be made explicit in every Psy.D. dissertation, this is particularly important in those of the conceptual-analytic type. At this point, it is important to be aware of the broadening roles of professional psychologists in clinical practice. In addition to providing psychotherapeutic and assessment services for individuals and groups, many will

be involved in supervision, agency management, organizational planning, program evaluation, and public health activities. Whatever the applied interests of the student, it is important that a logical, analytic process be employed to show the significance of what has been learned for professional practice. If, for instance, one were to spend two years reading and organizing the literature regarding the problem of unwanted teenage pregnancies, one would surely be able to draw logical conclusions relevant for some or all of the following groups: parents, clinical practitioners, schools, community agencies, public health officials, and government planners.

- It is important for you and your supervisors to estimate the amount of time that will be required to complete your dissertation. The more detailed and realistic you make this estimate, the more efficiently you will be able to carry out the study. In planning your timeline, allow for the fact that committee members typically take two weeks to read and return written material submitted to them. Also keep holiday and vacation periods in mind; faculty will not be available to meet with you or to read your drafts during these periods.

#### **Timeline.**

- The proposal should end with a timeline for completion.

#### **References.**

- Provide a complete reference list following the guidelines given in the Publication Manual of the American Psychological Association (7<sup>th</sup> edition).

### **The Proposal for a Quantitative, Qualitative, or Mixed Methods Study.**

This section describes proposals for a quantitative or qualitative study. Quantitative students may include program evaluation or survey research.

#### **Introduction.**

- This section is sometimes referred to as Chapter I of a dissertation. This section should include clear and concise descriptions of (a) goals of the project, (b) the rationale for the project (i.e., a statement of the problem and its relevance to the discipline and practice of psychology), and the premise underlying the project. Every dissertation, no matter how primitive the state of existing knowledge on the subject and how consequently "exploratory" the design, has a premise, and one of your primary tasks is to identify yours. Clear descriptions are readily comprehensible to professionals with no particular expertise in your topic area, and they are free from jargon and other eccentric use of language. Concise descriptions are brief summary statements of the goals, rationale, and premise. Note that the introduction is not a literature review or an introduction to your area of interest; it is an introduction to your proposal. Terms and definitions should be included in the introduction, typically, toward the end. It might be a good idea to write the introduction last; once the rest of the proposal is written, it is much easier to describe it in concise language.

### **Background or Review of Literature.**

- This section is sometimes referred to as Chapter II of a dissertation. This section should be devoted to a review and critical analysis of the relevant scholarly and research literature. Its purpose is to integrate your project with the framework of research and practice that provides the rationale for the study. Your task here is to show how and where your project fits into the accumulated knowledge about the problem area. For instance, for a project involving development of a treatment program, your literature review should include the psychological issues involved, theory and research results that justify the particular aspects of the program you are proposing, and a critical review of interventions used to date. The background section of your proposal probably will be incorporated into the background chapter of your dissertation. However, while carrying out your project and analyzing and interpreting the results, you should remain engaged with the relevant literature. There may be new material that you will want to add to the review, committee members may identify areas you have not covered adequately, and in considering the results of your project you may find it necessary to explore new areas.

### **Methodology.**

- This section is sometimes referred to as Chapter III of a dissertation. This is the section in which you tell the reader specifically what you intend to do and how you intend to do it. There will be considerable variation across Psy.D. proposals in the specifics of this section but virtually all should include the following:
- Description of the prospective subjects or audience: If you plan to do an experiment, a survey, or to evaluate a program, you need to describe and justify the population pool from which you will recruit subjects; discuss the sample size and the basis for it; discuss the limits imposed on generalization of your results by your decisions regarding sample pool, size, and recruitment procedures; and discuss the appropriateness of your control group. If you plan to design an intervention or procedure, you need to describe your audience. Who will be the recipient of the intervention? For instance, in the proposal to design and test a HIV-prevention program for the chronically mentally ill, the audience comprises chronically mentally ill people. This population should be described as much as possible in operational terms so that the reader knows who is and who is not included (does it, for instance, include people addicted to alcohol or other drugs? Does it include homeless people and if so what about those who are not mentally ill?).
- Description of the materials to be used. If you are going to collect some sort of data from people, you would describe the measures to be used (including assessments of their reliability, validity, and appropriateness for your study's aims and population). If your goal is a new procedure or intervention, what materials will you use to get you started? For instance, the author of the intervention for the chronically mentally ill might have begun work on her own materials by

reviewing and, where possible, adapting materials already in use to educate other populations about risk of HIV infection and materials found successful in other psycho-educational intervention efforts focused on the chronically mentally ill. She may not have been able at the time of the proposal to identify and describe all such materials, but she probably could have identified some and described how she would locate others.

- Description of the procedures you will follow to achieve your goals. No matter what the nature of your project, the more precise and complete this description, the less problematic the project will be for it often is in the process of writing this section that students and their faculty discover potential pitfalls for the first time.
- How will you collect data? How will you identify and recruit subjects? If you are going to interview people, where will you do it and how long do you expect the interview to take? If you are going to use self-administered questionnaires, how will you get them into your prospective subjects' hands and how will they get back to you? For some students, it is important also to describe time here; if you plan to survey college students, for instance, you will want to schedule your work around such predictable events as seasonal breaks and exams. The potential producer of a new intervention will describe here how she or he will identify potentially useful materials to incorporate, how he or she will determine the appropriateness of those materials for the target audience, how permission from authors of those works will be acquired, and in some instances, how the new product will be generated. For instance, if you are going to produce a videotape, what will you do to maximize its quality?
- Results/description of how you plan to evaluate your efforts.
- In proposals involving data collection, this section typically is entitled "data analysis." Students planning surveys and program evaluations will describe the data they expect to have and the statistical tests they expect to use to determine whether or not their hypotheses have been supported or to answer the questions posed. Those planning to collect qualitative data will describe the steps they will take to convert them to quantitative data and the statistical analyses to be used or, if they do not plan such a conversion, how they will analyze the data. In either instance, the description should include consideration of reliability. In this section, the student planning to produce the intervention tool should describe how its effectiveness will be determined. "Effectiveness" will be determined by the goals of the study. For instance, if the goal is to produce a pamphlet or brochure that would be acceptable to the chronically mentally ill and that they could comprehend, effectiveness will be determined by the levels of receptivity and comprehension exhibited by a sample of people meeting the author's operational definition of the population. However, if the goal of the project is to alter behavior, the effectiveness of the brochure will be determined by conducting a study to compare people who have been exposed to it with people who have not. This section probably will be the hardest part of the proposal for you to do well

because it requires both imagination and a great deal of concreteness about something you have not done yet. This is the section that committees most often want revised and reviewers are most likely to criticize.

### **Timeline.**

- The task here is to divide the work described in the "method" section plus writing the dissertation into a logical sequence of "chunks" and to estimate the amount of time it will take you to accomplish each chunk. The more detailed and realistic you make your timeline, the more efficiently you will be able to carry out the study. In planning your timeline, allow for the fact that committee members typically take two weeks to read and return written material submitted to them. Also keep holiday and vacation periods in mind; faculty may not be available to meet with you or to read your drafts during holiday or vacation periods.

### **References.**

- Like the text of your proposal, and every other piece of academic work you produce in psychology, these should follow the format and editorial style of the current Publication Manual of the American Psychological Association, commonly called "APA format"; however, one of the few exceptions is that you should single space the references with a blank line between references. This way, the References section is reduced in size. Also, be sure that every source you cite in the text is included in your References and that all works listed in the References are cited in the text.

## **Scheduling the Second Meeting**

The first step in scheduling your meeting is to establish a time at which you and the members of your committee can meet. Although the meetings vary in duration, you and your committee should allow sufficient time for a full discussion of the proposed study and any problem or question that arises. For that reason, ask your committee members to set aside two hours for the meeting.

The second step in the process is to reserve a room for your meeting. This is done through the AUS receptionist. Typically, you should allow for 2 hours. Once the meeting is scheduled, inform your committee members. Other faculty or students may attend, however, only members of your committee will participate in the formal decision to accept or reject the proposal.

## **Second Committee Meeting**

The purpose of the second committee meeting is to discuss your proposal, any problems that anyone thinks you might have with the project, shortcomings that anyone thinks remain in the written work you have done, or any questions remaining in anyone's mind about what you propose to do. This meeting should not be a time for surprises or major objections or criticisms from your committee. Rather, it should be a time for group discussion of difficulties you can foresee and how to minimize the likelihood of their occurrence or their effects. You can best



ensure this meeting will be a time of cooperative effort on your behalf by not scheduling the meeting before discussing your work thoroughly with each member and dealing with their reservations to your mutual satisfaction. Students must ensure that the *Dissertation Committee Meeting Form* is completed, and copies distributed as indicated.

When evaluating your proposal, you and your committee should be guided by the following questions:

1. Does the proposed project promise to make a significant contribution to the practice of psychology?
2. Does the method suit the problem?
3. Is a thorough understanding of the pertinent literature shown in the proposal?
4. Is the proposal conceptually coherent?
5. Is the proposal free of internal contradictions?
6. Is the proposal accurate (i.e., consistent with known empirical facts)?
7. Are the limits of the project appreciated and clearly stated?
8. Is the presentation articulate and rhetorically persuasive?
9. Can the project and dissertation be completed within a reasonable time frame (two years)?

The committee may make any of three recommendations: (a) accept the proposal as is, (b) accept the proposal contingent upon modifications, or (c) reject the proposal. If the committee requires modifications or rejects your proposal, a clear and complete accounting of its deficiencies should be prepared for you to use in revising it. Any student who has not secured committee approval of the dissertation proposal after two attempts may receive a Statement of Concern.

**The dissertation contract.** Once the members of your committee have agreed to accept the proposal and have signed off on the Dissertation Committee Meeting Form, this constitutes a contract. The contract binds you and your committee in an agreement that: (a) you will conscientiously carry out the work specified in the proposal and will meet deadlines, and (b) the committee will accept the work if it is done according to AUS standards.

**Proposal approved by the AUS Institutional Review Board.** Now that your proposal has been approved, you are almost ready to start work on your project. The one step remaining is review and approval of your project protocol by the Institutional Review Board. Information regarding the IRB application procedures is available from the AUS IRB Committee. The full manual and instructions can be located in Sakai (located at Psy.D. Community Site/Resources/AUS-IRB). There are no exceptions; all proposals involving human subjects must be reviewed by the IRB. Because your dissertation committee may suggest changes in your methodology during your second meeting, wait to submit the IRB application forms until your proposal has been approved.

You may not proceed with your project until your protocol has been fully approved by the IRB; to do so is a serious violation of research ethics and, like other violations of professional

ethics (e.g., plagiarism, breach of confidentiality in a therapeutic relationship) can have the most serious consequences for your professional standing and future.

You are used to dealing with people as clients. As a therapist working with clients, you have a more-or-less explicitly stated contract with them. They have knowingly and willingly entered into a relationship with you in which they will permit you to do all kinds of things people do not ordinarily permit ask them uncomfortable questions, interpret their behavior, and so on. In return, you pledge your good faith, professional competence, and ethical responsibility to support them in a vulnerable state. It cannot be emphasized too strongly that participants in your dissertation project are not therapy clients. Neither you nor they have the protection or permission granted by the therapeutic contract. Therefore, you have a much more restricted range of options should participants become distressed because of some aspect of the project. You may not counsel them, explore their reactions, or provide therapeutic support. For that reason, you should have at least one licensed therapist available to provide consultation to people who become disturbed as a result of participation in your study. The consultant may not be a member of your committee and his or her name and license number should be included in the IRB application.

### **Deadlines for Approval of Proposal In Relation to Internship Application and Acceptance**

In order to apply for internship, student must have their proposal accepted by their Chair (see the Internship manual for details on this and other eligibility requirements). Students should plan on having their second meeting no later than summer quarter of the year before they plan to apply for internship, in order to be ready for APPIC start in the fall.

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## Completing the Dissertation

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After the dissertation proposal is approved, students will continue working with their Chair and committee until the dissertation is complete. If the student is not registered for classes or internship, the student will be charged a quarterly dissertation maintenance fee until completion of the third meeting/final defense.

Once the dissertation committee and the AUS Institutional Review Board (IRB) has approved your protocol, you may begin to implement your project. How long this process will take depends upon the nature of the project. It also is affected by how well you write; therefore, how much rewriting and editing is required. Most experienced supervisors of doctoral research believe that extra time expended in development of the proposal pays off in a shorter time to complete the project and the dissertation: problems of conceptualization, if worked out in the planning stages, will not hold you up during implementation.

### Content and Structure of the Dissertation

All dissertations, regardless of method, topic, or manner of presentation, include a title page, signature page, abstract, table of contents, and references. Some of the material that comes between the abstract and the references, such as the dedication, is optional and is determined by the contents of your dissertation, e.g., if you have tables, you must provide a List of Tables. It is not necessary that you organize the body of your dissertation precisely as described below, but the organization and presentation of your dissertation must be clear, logical, appropriate to the study, and have the approval of your committee.

**Audience.** It is important that, in reporting the results of your study, you keep your intended audience in mind. A training manual meant to be used by mental health professionals would be written differently from a manual on the same topic but intended for use by elementary school teachers. To communicate effectively with your intended audience, you need to have a clear picture of that audience in your mind at all times and you need to know how to make your communication effective; this might involve getting specialized consultation or acquiring appropriate experience.

Students may also choose to write their dissertation in journal publication format, which may vary based on the journal anticipated for submission. Doing so allows the student to immediately submit the findings for publication, rather than having to reformat the content after completion of the dissertation. All dissertations must include the following elements/pages:

**Title page.** The format for the title page is included in “Examples” at the end of this Handbook. Try to use keywords in your title; these are words that reflect basic or central themes of the dissertation. Another criterion of a good title is brevity. There is no need to try to convey every subtlety and/or nuance of your project in the title. Common problems with dissertation titles include use of terms, which are not generally useful, or trying to say everything there is to say about the dissertation.

In sum, tell what your study is about in as few words as possible and try to incorporate key terms. Following are a few examples of good dissertation titles:

1. A Plan for Preventing AIDS Among Day Care Patients
2. Manifest Content of Dreams of Survivors of the Oakland Fire
3. Use of Mnemonics in Memory Retraining with Head-Injured Adults

**Signature page.** By signing this page, the members of your committee signify their acceptance of the dissertation on behalf of the Antioch faculty. The format for the signature page is found in “Examples” at the end of this Handbook.

**Copyright page.** Antioch University Seattle recommends your option to register your dissertation with the Library of Congress. Whether you do this or not, it is prudent to include a copyright page in your dissertation. This will make it easier for you to challenge in court any attempt to plagiarize your work. The format for the copyright page is found in “Examples” at the end of this Handbook.

**Abstract.** An abstract is a summary of the content of a document. If it is well prepared, it allows readers to identify the basic content of the document quickly and accurately and to determine its relevance to their interests. An abstract should be self-contained and fully intelligible without reference to the body of the document. The maximum length of a dissertation abstract is 350 words. Given the format requirements for margins, a 350-word abstract will be about 1-1/2 pages long. The Title section of the abstract (i.e., title, name of author and institution) is not included in the 350 words. Hyphenated words such as “cross-cultural” count as two words. The abstract should be concise, written in clear language that is familiar to the potential reader, and it should use key words or terms that inform the reader about concepts or ideas that are basic to the dissertation. There should be no obscure abbreviations or acronyms in the abstract, nor should there be bibliographic, figure, or table references, or any information or conclusions not contained in the dissertation. The dissertation abstract has four segments; the statement of the problem, the methodology, the results or findings, and the conclusion or *implications*.

**Dedication page.** This page is optional.

**Acknowledgments page.** This page may or may not be an essential part of your dissertation. If the only issue is whether or not to acknowledge special help or support from friends, faculty, or family, this is an optional page. However, if you used measures or anything else that another person has copyrighted, you should have obtained written permission to use the material, and that permission should be included in an appendix labeled “Permissions.” Similarly, if your study was supported by funds obtained from public or private sources, the support should be acknowledged here. You also should acknowledge access to someone else's data, support staff, and the like.

**Table of contents.** Required. The format for the Table of Contents is found in “Examples” at the end of this Handbook.

**List of tables.** Required if the dissertation contains tables. The format for the List of Tables is found in "Examples" at the end of this Handbook.

**List of figures.** Required if the dissertation contains figures. The format for the List of Figures is found in "Examples" at the end of this Handbook.

**Text for conceptual-analytic studies.** The body of the dissertation is then presented. For conceptual-analytic students, several different chapters would be written where the student moves from the statement of the problem to conclusions based on logical reasoning. If, for example, you hoped to understand interventions for suicidal adolescents, the text might consist of the following chapters: (a) statement of the problem, (b) adolescent development, (c) isolation and depression in adolescence, (d) models of suicide: repulsion to life and attraction to death, and (e) interventions suitable for the self-destructive teenager. It must be stressed that dissertations of this sort involve more than mere summaries of books and articles. Rather, a discerning and coherent analysis of the problem must occur that is based on an integrative review of relevant literature. As exemplified by William James' classic text, *The Varieties of Religious Experiences*, some students may include interviews or personal accounts published in the popular press to illustrate and clarify points being made in the thesis. Other Psy.D. students may, however, fit more traditional presentation formats. It must be stressed that there are many acceptable ways to organize and present the results of your doctoral research. Clarity, parsimony, and the intended audience will guide the manner in which your new ideas and/or empirical data are presented. Again, you will find it useful to read: Bem, D. J. (1995). Writing an article for *Psychological Bulletin*. *Psychological Bulletin*, 118, 172-177.

**The text for quantitative and qualitative students.** If you choose to organize your dissertation into Background, Method, Results, and Discussion chapters, the *Publication Manual of the American Psychology Association* is a particularly good source of information concerning the content of these sections. Briefly, the Background presents the problem(s) addressed by the study, relevant literature, and the logically derived research questions and/or hypotheses. Reading the Method section should enable others to reproduce your work and the Results should be presented in a manner that makes your findings understandable. Then you will be in a position to interpret your findings and integrate them within the field of psychology (Discussion).

The body of the dissertation is divided into chapters; conventionally these are Introduction (Chapter I), Background/Literature Review (Chapter II), Method (Chapter III), Results (Chapter IV), and Discussion (Chapter V). More detailed descriptions of these sections and chapters appear below. Once again, you need not feel constrained by this structure: If you and your committee agree that another way of organizing your dissertation is more appropriate, you may, and should, use another structure. Whatever organizing framework you use for your dissertation, it should enable the reader to learn (a) what problem you are addressing and why this problem is of interest and importance, (b) how you addressed the problem, (c) what, exactly, you learned or discovered, and (d) what your discovery means-how it changes our understanding of the problem area, what can be done with it in practice, and where we go from here. The virtue of conventional organization or format is that people know what to expect and are not distracted from what you are saying by how you are saying it. The drawback of a conventional method of

presentation is precisely that it is a convention, and therefore may not allow you to present an unconventional study properly.

**Introduction.** This chapter will vary by dissertation and may even be combined with the literature review if deemed appropriate.

**Review of Literature/Background.** The purpose of this chapter is to state the central problem or question addressed by the study. The bulk of your literature review will appear here in order to provide a context for your problem or question. The literature review should be tightly focused on your specific topic. Depending on the nature of your problem and the state of existing knowledge, you may organize your literature review chronologically or by theme or topic, or a combination of the two. A good literature review synthesizes previous findings in order to establish a line of inquiry or argument that leads the reader naturally to the specific aim of your dissertation; it is not a series of summaries of books and articles.

The Introduction and Review of Literature sections may not be exactly the same as they were in the proposal. For the sake of the reader, it is important that a finalized project be introduced with the final outcome in mind. The idea is to present an introduction that now focuses attention on the primary findings.

**Methodology.** In this chapter, you describe what you did to achieve your project goals. Structurally, this chapter will be much the same as the method section of your proposal but, here, you describe what you did, using past tense, rather than what you planned to do.

**Results.** In this chapter, you present your final product: Findings, intervention plan, booklet, film, and the like. Students employing quantitative data will describe the statistical analyses used and present the results in tabular form. If your data are not quantitative, criteria guiding their presentation are those governing scholarly work in general: coherence, logical order, and clarity of organization.

Whatever your design and data, upon finishing your Results chapter, the reader should have no doubt about the outcome of your efforts. It is, of course, particularly important to include data and analyses that disconfirm your original expectations. This chapter is not, however, the place to talk about why you may have obtained these surprising results, or about the meaning and significance of your findings. This appears in your final chapter.

**Discussion.** The Discussion is the culmination of the project. The basic intent is to focus attention on the most important results of the inquiry, to interpret them and draw out their implications in the context of relevant literature, to frame conclusions, and to speculate about the broader theoretical implications of the work. Here you discuss what your findings mean, how they have altered or expanded our understanding of the problem, what directions they point to for practice and additional study, and how you expect them to be useful to other practitioners. A typical Discussion section should accomplish the following.

The major findings of the research should be briefly recapitulated. Each finding should be discussed in a critical fashion while avoiding apology. Observations, conclusions, and

speculations should be communicated with appropriate care to empirical and logical justification while allowing them to stand on their own merit. If all your findings were in accordance with your plans, you already know most of what you will say here. However, it is relatively rare for all outcomes to conform to expectations, and it is in dealing with this common state of affairs that your mettle as a social scientist is tested. Where might your reasoning have been faulty or your expectations unrealistic? What aspects of your participants and/or your methods may have contributed to the unexpected findings? What should future researchers in this area be wary of, or be sure to include? You do not, in this chapter, reiterate your findings; the reader has already grasped them. Rather, you lead the reader through their complexities in order to achieve the most basic goal of research, and of psychological practice, the making of meaning.

Having been offered a reasonable accounting for the results, the reader should also be cautioned about any methodological problems that may limit their reliability and/or validity and the generality of any conclusions drawn. This material should be followed by a general discussion of the implications of the findings for future research in the area of concern and related areas. Clinical implications are elaborated on as explicitly as possible given the data and conclusions drawn. The reader is left with any closing thoughts that have not yet been discussed in earlier portions of the Discussion.

Dissertations that result in programs, books or tapes, or other products to be used in the wider community need not include an evaluation of the product but, as a part of the discussion chapter, the author should describe what steps should be taken to establish the value of the product. However, the product should be fully evaluated before being disseminated to the community. Issues related to an acceptable psychometric evaluation must, however, be discussed (i.e., what steps should be taken before the product is disseminated to the public). Some students may choose to undertake this after receiving the Psy.D. degree. Alternatively, the evaluation might form another student's clinical research. In some cases, an outside agency might carry out the evaluation, especially if the agency was directly involved in the development of the product.

**References.** In APA format, carefully checked for inclusiveness. The easiest way to check is to read through your dissertation and check off references in the reference list as you come upon them in the text. Any missing references should be added to the list; any unchecked in the reference list should be omitted because they were not mentioned in the text. All journal articles should include DOIs, volume, issue numbers and page numbers. The References are all single-spaced with an additional space between entries.

**Appendices.** It is not always necessary to add appendices to your dissertation and you should carefully consider whether or not appended material really constitutes a useful addition. For instance, it is not necessary or appropriate to append copies of well-known and commonly used measures such as the Childhood Depression Inventory (CDI) or Beck Depression Inventory (BDI). You may assume that your reader is already familiar with these or can easily obtain information about them. Nor is it necessary to include copies of your consent and recruitment materials.

## Notes on the Dissertation Process

**Revision.** Before you receive your Psy.D., you probably will go through several revisions of your dissertation. These revisions will range from complete rewrites of sections or chapters to final editing. Most of the reworking will be to achieve a level of clarity and grammatical precision consistent with scholarly communication, but some of it will involve adding, deleting, or rearranging material. The point is that you should take this fact into account in planning your time and pacing your work.

Those students who regularly submit drafts of written material to members of their committee, especially the Chairperson, probably move through the process more smoothly and efficiently than those who wait until they have what they consider final drafts before showing material to the committee. Procedures for writing and evaluating the dissertation should be discussed with committee members early in the process. Many committee members prefer that revisions be made with changes tracked electronically, so that they can easily find the new material.

**Footnotes.** APA discourages the use of footnotes but those that are necessary may be placed at the bottom of the appropriate pages within the body of the dissertation or grouped together and placed between the body and the references.

### Third Meeting: Dissertation Defense

Do not delay in submitting the first draft. The student should give the committee ample time to read the paper and direct any needed revisions. Students should make no assumptions about the number of drafts needed. It is a rare paper that receives final approval after only one draft.

Once the dissertation seems to meet the approval of the committee members' preparations for its final oral defense should be made. These include production of what you consider to be a final draft of the dissertation (including any tables, appendices, etc.) so that committee members may evaluate the work as a whole and see how the final product looks. Copies of this draft should be given to committee members at least two weeks in advance of the date on which orals are scheduled.

The oral defense of the dissertation enables the student and committee members to discuss the project and its outcome, it provides a test of the student's ability to respond orally to relevant questions, and it gives the faculty the opportunity to assess the candidate's competence as a practitioner-scholar as well as the over-all quality of the dissertation. Although it invariably is anxiety producing, the final oral defense should be a positive experience. Close and conscientious work with the committee prior to the orals is the best insurance of a smooth and rewarding experience in this final step.

The oral defense of the dissertation will be open to the campus community. At least 2 weeks prior to the oral defense, all students must:



1. Contact the AUS receptionist to schedule a room for the defense. Typically, this meeting lasts 2-3 hours.
2. Complete the Psy.D. Dissertation Request for Announcement form (in the Dissertation folder in Sakai) and email to the Program Associate along with a photograph for posting in the AUS eNews and Facebook pages.

Members of the faculty may, with your Chairperson's permission, participate in the proceedings but only your committee members will participate in the decision to accept or not accept your dissertation.

Three different outcomes of the final oral defense are possible. The committee may consider the candidate's defense satisfactory and the manuscript acceptable as submitted or with minor editing. In this instance, the student would *Pass* the oral defense.

The second outcome is *Pass with Revisions* pass, which means the committee is satisfied with the candidate's defense of the dissertation but feels that substantial revisions of the manuscript are required to make it acceptable. The conditions to be met before the degree may be conferred should be clearly specified so that the candidate and all members of the committee share an understanding of what is required of the candidate. Review of the revised manuscript by all committee members may be required or, if they agree, the Chair may assume the responsibility for ensuring that all the conditions have been met and, thereby, clear the way for the student to proceed to the clearance stage.

The third potential outcome of the oral defense - *Fail* - is an infrequent event. It would happen where the committee is not satisfied with the candidate's presentation or defense of the dissertation or where major revisions of the dissertation are necessary in order to make it acceptable. If, for instance, the committee finds that major but remediable defects are present, a second oral defense may be scheduled when the flaws have been remedied. There are some instances, however, where the failure to pass the oral defense will be final. One is where the committee finds the dissertation to be too deficient for remediation. The other instances fall under the general heading of unprofessional conduct and include finding the dissertation unacceptable on grounds such as evidence of falsified data, plagiarism, unethical research practices or hiring a third party to write any part of the dissertation (beyond professional editing).

## **Final Clearance**

Once you have passed the oral defense and made any necessary revisions to the dissertation manuscript, you are ready to take the final steps toward clearing your dissertation. Note: This process can take several weeks and is directly affected by the scope of edits required. The following outlines the steps for final clearance:

1. Dissertation Committee Meeting Form: The student must collect signatures of all committee members on the Dissertation Committee Meeting Form. Where the oral defense resulted in an unconditional pass, these signatures generally are provided at the end of the oral exam. A copy of the signature page (with signatures) must be

- submitted to the Database coordinator and will be permanently stored in the student's file.
2. The student and Chair work to complete the final draft of the dissertation (incorporating any changes requested at the final defense and carefully proof-read and edit).
  3. Once the student and Chair have completed final editing, the Chair emails the final copy, in PDF format, to the AUS librarian for copyright and permissions review (with a cc to the student).
    - a. The student should register for an ORCID Scholar No.
    - b. See WEX resource for further information on ORCID:  
<http://wex.antioch.edu/2020/01/26/orcid-scholar-number/>
  4. Once the librarian completes the permissions and copyright review, they submit the manuscript to WEX for format editing. A flowchart of this process is available in Appendix C of this handbook.
  5. The AUS PsyD Program has contracted with the Antioch University Writers' Exchange (WEX) for final format review of all dissertations. A WEX format editor will edit the dissertation and will return a marked-up copy as a "1st read." The student is responsible to attend to and correct all comments and editing marks throughout the dissertation. Once the student has made all corrections, they submit the new PDF to WEX for the 2nd read.
    - a. The AUS PsyD Program will pay for these first two format reads only. Should all errors not be corrected, the dissertation will be returned to the student with the request for further revision. This new cycle will continue until the format editor assesses that all corrections have been made. The student will be billed for the 3<sup>rd</sup> and other subsequent reads at \$40/hour until all corrections are made and the dissertation receives Final Format Approval.
    - b. At times, the WEX format editor deems the document "unprepared for format editing" (i.e., lacking substantial material and/or overall incorrectly formatted, etc.). WEX will notify the student of such and the student is required to improve the manuscript before the format editing can begin. The student may opt to have WEX correct the document. Regardless, this level of editing is at the student's expense. Once the substantive editing issues are addressed, the student must return to step 4 and start the process again.
  6. Once the student has incorporated the final style edits, the student re-submits the document in PDF format for "final review."
  7. Once the final format review is complete, WEX sends the polished dissertation to both the student and the AUS librarian.
  8. The student notifies and sends this version to the chair for final approval. Once approved, the student contacts the AU librarian to publish the dissertation online in AURA and ProQuest via OhioLink.
    - a. The "final" draft for publication will contain the signature page, but with typed names of your committee members (in lieu of signatures - to protect signatures from possible online identity theft).
  9. Students may order paper-bound copies for their own use. The AUS librarian has ordering details.

**Copyright protection.** To protect your work from plagiarism, you should include a copyright page in your manuscript, as indicated in the APA Publication Manual. You may record the copyright of your dissertation in one of two ways, through UMI, with a separate fee that includes registering your dissertation with the Copyright Office of the Library of Congress, Washington, D.C. 20559, telephone: (202) 707-3000. However, inclusion of your copyright page in your written document, and the online version, serves the same function.

**Clearance and graduation.** Dissertation clearance is one the responsibilities you must discharge fully before you may officially graduate. The school will keep you informed of the deadlines for graduation participation and other graduation requirements. You must fulfill all program requirements and be cleared of all financial and academic requirements, by the Registrar, before being officially awarded your Psy.D. degree.

Note: The aforementioned processes can take several weeks and are directly affected by the scope of style edits and/or copyright clearance issues. Your dissertation is not considered fully passed/completed until you receive final clearance. You must continue to register for Dissertation Continuation while your draft is being finalized (assuming you have completed Internship). Thus, please plan accordingly. For example, if you defend your dissertation in week 12 of summer term, and your style editing/copyright process is not completed until week 2 of fall term, you will be required to register (and pay for) Dissertation Continuation fall term, as you must be a matriculating student until your document receives final clearance. Further, your degree will not be conferred until the end of your last matriculating term. This policy has no exceptions. Additionally, WEX will require an additional expedited surcharge with any dissertations needing less than 3 weeks to complete. Unless the program agrees to cover this additional charge, this fee will be directly charged to the student.

## Special Issues

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### Dissertation Completion Plan and Extensions

Students may complete their dissertations any time after admission to doctoral candidacy. Those who do not complete the dissertation by the end of internship will finish their work while on extension status and pay a dissertation maintenance fee.

Students are to finish all AUS Psy.D. program requirements, academic credits, clinical training and dissertation, within 7 years of entering the program. Students who fail to meet this expectation and still need to complete their dissertation must complete a *Dissertation Completion Plan* (available on Sakai at Psy.D. Community Site/Resources/Dissertation) on an annual basis in order to be granted a one-year extension. Procedural steps are as follows:

1. Prior to the fall of their seventh year, the student initiates a Dissertation Completion Plan with their dissertation Chair.
2. The student will submit the Dissertation Completion Plan to their faculty advisor as part of the annual review process (the plan should be completed by the annual review submission deadline and be included with the other annual review documentation).
3. The faculty will review the Dissertation Completion Plan and the faculty advisor will notify the student if the one-year extension is granted. If a plan is submitted for the student's eighth or ninth year, faculty will review the prior plans and assess feasibility with the possibility of denial.

Approval of extensions is contingent on satisfactory progress; such approval becomes less likely with each subsequent year that your progress is delayed. Students will be dismissed from the program in the fall of their tenth year. In the unlikely event it becomes necessary to complete the program in more than 10 years, the student must submit a *Petition to Appeal Program Dismissal* (available on Sakai at Psy.D. Community Site/Resources/Forms) to the department Chair for permission for extension as part of the annual review process and will be notified after annual review.

### Resolution of Differences

Occasionally a difference will arise among the student, the Chair and/or the other committee member that they cannot resolve among themselves. The parties may ask the Chair of the department to serve as arbitrator or to resolve the dispute. If the Chair of the department is already on the committee, the request will be considered by PsyD program core faculty, and will require a majority vote for extension, with the department Chair in recusal for the vote. If these steps fail to bring resolution and the student feels that school policy has not been followed or that discrimination has taken place, they may take the matter through the formal campus grievance process.

### Scientific Misconduct

Everyone doing research under the aegis of Antioch University Seattle must comply with acceptable standards for the design, conduct, and reporting of research. The campus has

developed the policies and procedures described in Psy.D. Program Handbook, consistent with APA ethical guidelines, to enable it to meet its responsibilities when allegations of scientific misconduct are made. Earlier in this manual you read about the importance of protecting human participants from harm in research. Failure to do so would be one form of scientific misconduct, but the definition is broader and also includes "fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting and reporting research" (National Institutes of Health, 1995). Misconduct does not include honest error or honest differences in interpretation of data.

### **Use of Existing Data Collection Instruments**

In some dissertations, data are collected with instruments developed by someone else. These include standard tests (e.g., WAIS, CPI), not-so-standard tests, and questionnaires or interview schedules. Sometimes these instruments are copyrighted and sometimes they are not. Sometimes they are available for purchase and sometimes they are not. Irrespective of the copyright or publication status of the instrument in which you are interested, it is your responsibility as an ethical professional to obtain permission to use it. If the instrument is copyrighted (as is increasingly the case), you are bound by law to obtain permission to reproduce it - either for use or for inclusion in your dissertation.

The sale to you of an instrument gives you the right to use it but not the right to reproduce it. For your own protection, get the permission to reproduce an instrument in writing and be very clear and explicit about your intended use of the instrument.

Information about how to obtain tests and test forms may be available in the library and the Department has some tests in its collection so that you can examine the material you are considering using.

### **Inclusion of Copyright Material**

If you are including previously published copyrighted material (e.g., long quotations, tests, answer sheets, tables) in your dissertation, written permission must be obtained from the copyright holder (usually the publisher). This is not just professional courtesy or practice, it is the law, and it applies even if you are the sole author of the material previously published. Authorization to reproduce or adapt copyrighted material must be included in an appendix labeled "Permissions," and in captions or notes of figures and tables according to APA guidelines. The AUS librarian is available for questions regarding permissions and will also do a final check before the dissertation is published online.

When deciding what to include in your appendices, keep in mind that standardized tests and other such material widely available to professionals in the field should not be included.

### **Publication of or from your Dissertation**

Antioch University Seattle students are encouraged to share their dissertation findings with the rest of the scientific community via publication or presentation at professional meetings.

The campus as a whole takes great pride in the increasing number of graduates who publish or present papers from their dissertations.

One of the norms associated with publication has to do with the identification of institutional affiliations of authors. An author's affiliation generally should be that of the institution at which the study was done. If an author has moved to a different institution, the new affiliation is typically noted in a footnote. Thus, papers that derive from dissertation work should identify the author's institutional affiliation as the school at which the work was done. This is an important way in which you help demonstrate the strength of the Antioch University Seattle Psy.D. program.

### **Professional Editing**

The dissertation is a complex and lengthy document, and it requires great attention at all points of your writing but particularly at the point before your defense. For many, this is the time that the individual chapters are collated into the full manuscript. The defense is that moment of your academic career where you are very consciously moving from student to scholar, and your writing should reflect your sophistication and scholarly success. You've dedicated much time in the research, data collection, and writing and it makes good sense to have the manuscript edited by a professional prior to presenting it to your committee.

Antioch University has a professional editing service, the Writers' Exchange (WEX), and the program recommends that students seek professional editing as part of the scholarly writing process. A WEX copy editor has the expert eye to help you present the best manuscript by tightening and refining the prose, identifying redundancies, as well as do a holistic review for format. See WEX ([wex.antioch.edu](http://wex.antioch.edu)) for further information.

### **Reasonable Accommodation of Students with Disabilities**

The PsyD program of Antioch University is committed to providing reasonable accommodations to qualified students with disabilities in accordance with Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 2008.

Students with disabilities may contact the Disability Support Services office to initiate the process and request accommodations that will enable them to have an equal opportunity to benefit from and participate in the institution's programs and services. Students in need of accommodation should contact Jane Harmon Jacobs, Disability Support Services Coordinator: [jharmonjacobs@antioch.edu](mailto:jharmonjacobs@antioch.edu) or [dss.aus@antioch.edu](mailto:dss.aus@antioch.edu) to request reasonable accommodations.

Students are encouraged to do this as early in the term as possible, since reasonable accommodations are not retroactive. However, the Disability Support Services (DSS) office is available to address questions regarding reasonable accommodations at any point in the term.

Students are responsible for requesting working with the DSS office prior to the respective quarter of need so faculty members may acknowledge the electronic Letter of Accommodation from the DSS. In cases that the disability accommodation of extended time on assignments is granted, each assignment must be discussed, and specific due dates agreed upon in advance between student and respective faculty.

Accommodations can be requested for any program requirement, including the following:

- **PsyD courses:** (core and electives)
- **CCE (Clinical Competency Exam):** Accommodations for the CCE will be coordinated between the student, the DSS office and the CCE director.
- **Dissertation:** (dissertation courses and dissertation work beyond the structured courses). Accommodations for dissertation will be coordinated between the student, the DSS office, and your dissertation chair.
- **Clinical training:** Accommodations for practicum, pre-internship, and internship will be coordinated between the student, the DSS office, and the DCT.

## Dissertation Format

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### Pagination

All pages of the dissertation are not numbered alike. The first page, the Title Page, is not numbered. The second page, the Signature Page, is numbered Roman numeral two, i.e., "ii." All these "front pages," including the Abstract, are paginated with Roman numerals up to the first page of the body of the dissertation. The Roman numerals should be small, not capitalized, and are placed on the bottom, right margin of each page.

The body of the dissertation is paginated with Arabic numerals beginning with "1" and continuing to the last page of the last appendix. Arabic numerals, unlike the Roman ones, are placed at the top right of each page at the top, right margin setting. The Arabic page number should be in the same font and font size as the dissertation. Samples of key pages appear in "Examples" at the end of this Handbook. All new chapters begin on a new page.

### The Signature Page

The "final" draft for publication will contain the signature page, but with typed names of your committee members (in lieu of signatures - to protect signatures from possible online identity theft).

### Dedication Page (optional)

**Center the word "Dedication" in bold.** Follow with new paragraph with brief dedication. Dedications often are heart-felt messages. Since the page is not required or regarded as a "major" section of the dissertation, only first letter is capitalized.

### Acknowledgment Page (optional but encouraged)

**Center the word "Acknowledgment" in bold.** Follow with a new paragraph acknowledging those who have supported your work. Since the page is not required or regarded as a "major" section of the dissertation, only first letter is capitalized.

### The Abstract

The word, "ABSTRACT," the title of the dissertation, the author's name and the words "Antioch University Seattle" must appear in this order, each line centered, double-spaced, and at the top of the first page of the abstract. The abstract is blocked paragraph, no indentation of first line. The **abstract should not exceed 350 words** and should conform to the same spacing and margin criteria as the main body of the work. It must include the following sentences at the end on the PDF version only, in plain black font (no underlined blue hyperlinking):

This dissertation is available in open access at AURA, <http://aura.antioch.edu/> and Ohio Link ETD Center, <https://etd.ohiolink.edu/>



Next line, indent *Keywords*: terms following (only keywords is italicized, and no end punctuation is included). Only proper nouns and acronyms are capitalized.

## **Publication**

Students will submit one version of their final dissertation electronically in PDF format (consult with AUS librarian for further instructions) Students may also give a hard copy to their advisor and to each of their Degree Committee members as a matter of optional tradition.

## **Margins**

The following margins must be observed: All margins 1" (top, sides and bottom). Dissertations may be rejected if margin criteria are not observed. These rules apply to all pages of the dissertation, including tables, figures and appendices. Page numbers are allowed to appear in the margin and usually do so.

## **Widows/Orphans**

These terms refer to a heading or a line of text that appear alone on the top or bottom of a page. A "widow" is the last line of a paragraph left by itself at the top of a page; an "orphan" is the first line of a paragraph left by itself at the bottom of a page. Authors are advised to avoid both of these in the dissertation since they break up the flow of the text and tend to distract the reader. You may auto-format your dissertation for "Orphan/Widow Control" in by clicking on "Line & Page Breaks" in the Spacing Options in Word.

## **Spacing**

Double spacing is required for the main body of the work. One place where you should not follow the APA style manual is the reference pages. The reference is single-spaced with an additional space between entries.

Blocked quotes are indented on the left only, the same distance as the paragraph indentation. In qualitative or mixed-method dissertations, participant quotes are generally single-spaced with left indent .5".

## **Size and Quality of Typeface**

Typeface should follow APA 7th ed. formatting and size and style consistent throughout the manuscript. Type used for charts, drawings, graphs, tables, and the like may differ according to the format and spacing requirements.

The dissertation text should have "ragged" right margins. It is permissible to break words at the end of the line as long as the appropriate rules of punctuation and common sense are followed.

## Illustrative Material

Original illustrations are preferred, even if larger than 8 1/2" x 11". However, certain exceptions are allowed. Copies of graphs, charts, and similar materials are acceptable if:

- a. Reproduced on the same quality paper as that used for the text;
- b. Clearly legible;
- c. Colors used in the original are reproduced;
- d. Normal page size and margin requirements are met.

A black and white or color glossy print or photocopy of an illustration also is acceptable. If photographs are used, they must be original positive prints processed according to archival standards in order to ensure permanence.

## Table of Contents

The Table of Contents is double-spaced and includes all chapter headers and other major headings within the chapters, with corresponding page numbers. The Table of Contents should be an easily read guide for the reader; don't make it unnecessarily lengthy by including all sub-headings. Generally, the Table includes only those sections that have a developed discussion of more than a couple paragraphs; for example, including 2<sup>nd</sup> or 3<sup>rd</sup> level headings that have single paragraphs need not be included in the Table of Contents. **Note:** the Writers' Exchange (WEX) has an excellent guide available on its website for formatting your dissertation that includes auto-formatting for headings and the table of contents.

- Title is underlined, left justified at the margin. Do not use page as a title.
- If using the auto formatted Table of Contents, select a style with minimal bold print.
- Section titles must match exactly, word for word between Table of Contents and body (including punctuation). This includes "Chapter."
- Appendices should be included in the Table of Contents, listed by letter if multiple ones are included and title.
- For headings, the page numbers are right justified: set a right tab at 6.5" with leading dots. Include first level headings: set a left tab at .3" to indent these headings.

## Lists of Tables and Figures

Lists of Tables and Figures are included only if you have tables and lists in the dissertation. These lists are double-spaced and have a similar format to the Table of Contents. Again, use the automated functions in Word to create these tables.

- Title (List of Tables or List of Figures) is left justified at the margin, set in bold, and underlined.
- For the tables and figures, the page numbers are right justified: set a right tab at 6.5" with leading dots.

- List the number of the table or figure followed by a period. Space once if there are fewer than 9 tables or figures, space twice if there are 10 or more, so the titles are lined up.

## Headings

Find the section of your paper that breaks into the finest level of subordinate categories and use the guidelines in the APA 7<sup>th</sup> ed. Manual section for selecting the levels and formats for headings. Avoid using only a single subheading. It is rare to have more than 3 or 4 levels of headings. Remember, headings are designed to facilitate reading, and you want to be strategic in using them.

APA heading hierarchies are positioned and styled as follows:

### **CHAPTER II: REVIEW OF LITERATURE** (see Notes below)

#### **Level I subheading, Centered, Bold, Uppercase & Lowercase**

Text begins as a new paragraph.

#### **Level 2 Subheading, Flush Left, Bold, Uppercase and Lowercase**

Text begins as a new paragraph.

#### ***Level 3 subheading, Flush Left, bold italic, Title Case Heading***

Text begins as a new paragraph.

#### **Level 4 subheading bold indented, Title Case Heading, ending with a period.** Text continues on the same line and continues as a regular paragraph.

#### ***Level 5 subheading, indented, bold italics, Title Case Heading, ending with a period.*** Text continues on the same line and continues as a regular paragraph.

## Notes:

- Chapter numbers (in Roman numerals) and titles are considered section “section headers” and do not count as a subheading. Centered, bold, all caps.
- All new chapters begin on new page.
- Level subheadings must continue in hierarchical order; that is, you do not go from level one to level three.
- Using Word’s automated heading feature will ensure accuracy with the table of contents.
- Please note that an acronym should never be used or introduced in a heading. Acronyms should always occur in the text following the relevant heading.

## Tables and Figures

Pages containing tables and figures should be placed in the body of the dissertation, not at the end. The pages containing tables and figures should follow text reference to them as closely as possible. In this matter this Dissertation Manual is to be followed rather than the APA Publication Manual. However, see APA 7<sup>th</sup> edition (or Appendix B in this handbook) for formatting and labeling figures and tables.

## Appendix

Because the content of appendix varies tremendously, format and type specifications are more flexible than those governing the preparation of the dissertation proper. Depending on the content of the appendix, single spacing may be acceptable, and type size and face may differ from that used elsewhere. However, the margin specifications for the body of the dissertation apply to appendices, as do specifications for paper color, quality, and size. Appendices should include a title page bearing identifying information about the appended material. First, identify the appendix in terms of its sequence among appendices (e.g. "Appendix A," but note that if there is only one appendix, it has no letter), and then identify the material contained in the particular appendix by giving the appendix a title (e.g. "Jones survey of red-haired psychoanalysts"). Appendices should be included in the table of contents, listed by letter if multiple ones are included and title. **Remember that each page of each appendix must be numbered in sequence with the rest of the dissertation.**

### Order of Parts of the Dissertation:

1. Title Page (no page number)
2. Signature Page (page ii, bottom-centered)
3. Copyright Page (page iii, bottom-centered)
4. Abstract (page iv, bottom-centered)
5. Dedication Page (optional, page v)
6. Acknowledgments Page (optional, page vi, bottom centered)
7. Table of Contents (page vii, bottom-centered)
8. List of Tables, if any (page viii, bottom-centered)
9. List of Figures, if any (page ix, bottom-centered)
10. Body of the Dissertation (page 1, top right margin)
11. Footnotes (if separate from the body of the dissertation)
12. References
13. Appendix (containing sample forms, subsidiary material, etc.)

## **Appendix A**

### **AUS PsyD Dissertation Committee Form**

**Appendix A**  
**AUS PsyD Dissertation Committee Meeting Form**

Student Name:		Date:
Dissertation Title:		
<b>Name:</b>	<b>Signature:</b>	
Committee Chair:		
Member:		
Member:		
Student:		

Meeting # (check box)		
Prospectus (Meeting #1) <input type="checkbox"/>	Proposal (Meeting #2) <input type="checkbox"/>	Final Defense (Meeting #3) <input type="checkbox"/>

<b>Ratings Instructions: Mark the box that best describes the student's skills in relation to your expectations of an average student at the same stage of professional development. Please complete all sections of this form, including the sections for comments.</b>		
<b>4</b>	Excellent	Demonstrates a high level of competence well above expected level of achievement
<b>3</b>	Very Good	Demonstrates a high level of competence with minimal revisions & expected level of achievement
<b>2*</b>	Good	Demonstrates a minimal level of competence with expected revisions & level of achievement
<b>1</b>	Unsatisfactory	Demonstrates unacceptable level of competence and does not meet expected level of achievement

\*Minimal Level of Achievement is 2 or better (this does not pertain to an average, rather the candidate must achieve a rating of 2 or better on all individual rubric ratings).

<b>PROSPECTUS RATINGS (MEETING #1)</b>	<b>PROPOSAL RATINGS (MEETING #2)</b>	<b>FINAL DEFENSE RATINGS (MEETING #3)</b>
IR C-8 D Research: 1. "Demonstrate the substantially independent ability to formulate research or other scholarly activities (e.g., critical literature reviews, dissertation, efficacy studies, clinical case studies, theoretical papers, program evaluation projects, program development projects) that are of sufficient quality and rigor to have the potential to contribute to the scientific, psychological, or professional knowledge base."	IR C-8 D Research: 1. "Demonstrate the substantially independent ability to formulate research or other scholarly activities (e.g., critical literature reviews, dissertation, efficacy studies, clinical case studies, theoretical papers, program evaluation projects, program development projects) that are of sufficient quality and rigor to have the potential to contribute to the scientific, psychological, or professional knowledge base."	IR C-8 D Research: 2. "Conduct research or other scholarly activities." 3. "Critically evaluate and disseminate research or other scholarly activity via professional publication and presentation at the local (including the host institution), regional, or national level."
<b>Demonstrated prospectus level formulation of research idea:</b>	<b>Demonstrated proposal level formulation of research idea:</b>	<b>Conducted research at final defense level:</b>
1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
<b>Supported proposed research with beginning literature review:</b>	<b>Supported proposed research with exhaustive literature review and enough depth to support methodology:</b>	<b>Critically evaluated prior research in order to generate contributions and limitations of findings"</b>
1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
<b>Proposed project is of sufficient quality and rigor:</b>	<b>Proposed project is of sufficient quality and rigor and ready to be submitted for IRB approval:</b>	<b>Critically evaluated research findings and presented such in a clear, professional, and cogent way that is ready for dissemination, presentation, and/or publication:</b>
1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
<b>Proposed project is relevant and has potential to contribute to the scientific, psychological, or professional knowledge base:</b>	<b>Proposed project is relevant and has potential to contribute to the scientific, psychological, or professional knowledge base:</b>	<b>Disseminated research findings via final dissertation defense presentation/defense. Will complete with publication in AUS online publication repository (AURA and OHIO Link).</b>
1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>
<b>Overall readiness to proceed to Proposal Phase:</b>	<b>Overall readiness to proceed to IRB, and research implementation phase:</b>	<b>Overall pass of final defense:</b>
1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>

**Appendix B**  
**Sample Front Pages**



TITLE OF THE DISSERTATION

A Dissertation

Presented to the Faculty of

Antioch University Seattle

In partial fulfillment for the degree of

DOCTOR OF PSYCHOLOGY

by

Student Legal Name

ORCID Scholar No. XXXX-XXXX-XXXX-XXXX

Month Year

## TITLE OF THE DISSERTATION

This dissertation, by <Student Name>, has  
been approved by the committee members signed below  
who recommend that it be accepted by the faculty of  
Antioch University Seattle  
in partial fulfillment of requirements for the degree of

## DOCTOR OF PSYCHOLOGY

Dissertation Committee:

Chairperson Name, Degree, Chairperson

Committee Member Name, Degree

Committee Member Name, Degree

*(From this page on, front pages are paginated in consecutive order in Roman numerals)*

Copyright © Year by Student Name  
All Rights Reserved

**ABSTRACT**

TITLE OF DISSERTATION

Student Name

Antioch University Seattle

Seattle, WA

Add text here (no indentation of first line), ensuring that the final sentence of the abstract is: This dissertation is available in open access at AURA (<https://aura.antioch.edu>) and OhioLINK ETD Center (<https://etd.ohiolink.edu>).

[After the abstract, skip a line and include keywords. Do not italicize the colon after “*Keywords*”] and only proper nouns are capitalized.

*Keywords:* keyword one, keyword two, keyword three, keyword four . . .

## **Acknowledgements**

Place text here.

(A Dedication page is optional. Should you want to include one, it precedes the Acknowledgements page.)

## Table of Contents

Add automated Table of Contents here, using Microsoft Word headings styles. Always update the table of content whenever edits or additions have been made to headings. Paginated in lower case Roman numerals.

List of Tables

Add list of tables here. Tables should be labelled by the chapter and sequence; e.g., Table 3.1 (Chapter 3, 1<sup>st</sup> table)

### List of Figures

Add list of figures here. Figures should be organized by chapter and sequence; e.g., Figure 4.3 (Chapter 4, 3<sup>rd</sup> Figure)



## CHAPTER I: INTRODUCTION

The first chapter begins here and is paginated in Arabic numerals, top right margin. Chapter headers are in bold, all caps; use Roman numeral for the individual number. Use Microsoft Word headings styles to style your section headings, customizing them according to the APA 7<sup>th</sup> Edition heading levels as follows:

## CHAPTER I: INTRODUCTION

Use Chapter “Title Heading” in Microsoft Word Selections; or Use Heading Level 1

### **APA 7 Level 1 Heading: Centered, Bold, Capitalize Major Words (Title Case)**

Text begins as a new indented paragraph. Use Level 1 headings for the main sections of your chapter.

### **APA Level 2 Heading: Left Align, Bold, Capitalize Major Words**

Text begins as a new indented paragraph. Use Level 2 headings for sub-sections within the main sections of your chapter.

### ***APA Level 3 Heading: Left Align, Bold Italic, Capitalize Major Words***

Text begins as a new indented paragraph. Use Level 3 headings for sub-sections within level-2 sub-sections.

**APA Level 4 Heading: Indented, Bold, Capitalize Major Words.** After a period, text begins on the same line and continues. Use Level 4 headings for any sub-sections within level-3 sub-sections.

***APA Level 5 Heading: Indented, Bold Italic, Capitalize Major Words.*** After a period, text begins on the same line and continues. Use Level 5 headings for any sub-sections within **Level 5** sub-sections.

## **CHAPTER II: LITERATURE REVIEW**

### **First Major Section Heading in Literature Review**

The Literature Review chapter begins here.

#### **A Sub-section Heading within the First Major Section**

Text.

### **CHAPTER III: METHOD**

The Research Methodology chapter begins here.

## **CHAPTER IV: RESULTS**

The Results chapter begins here.

## **CHAPTER V: DISCUSSION**

The Discussion chapter begins here.

## **References**

Note that the References title is a Level Heading 1. References themselves should be single-spaced with an additional space between entries.

Use a hanging indent for this section: select all reference text, and go to the “Format” menu, then “Paragraph”, then in the “Indentation” setting, choose Special: “Hanging.”

You may decide to use RefWorks to manage your References: All AU students and faculty members may create free RefWorks accounts.

Dissertation writers are responsible to attend to accurate notation and format of citations and references. If needed, the Writers’ Exchange ([WEX.antioch.edu](http://WEX.antioch.edu)) has professional format editors who can edit your manuscript for accurate citations and references.

## **Appendix**

All appendices should be listed in the Table of Contents and each must be preceded by a title page that has on it **only** the letter (Appendix A, Appendix B, Appendix C, etc.) and title of that appendix, as shown below. Place title 10 lines from top margin. Center in bold font and be consistent with the labelling:

- For Single Appendix: either place title (as a Level Heading 1) on the document or in a cover page.
  - Single Appendix:

### **Appendix**

#### **First Letter to Participants**

- Multiple Appendices: If you are able to “title” as a header on the actual document, then center in header & do so for all (see below).
  - Example label:

### **Appendix B**

#### **Recruitment Email to Eastern Washington Therapists**

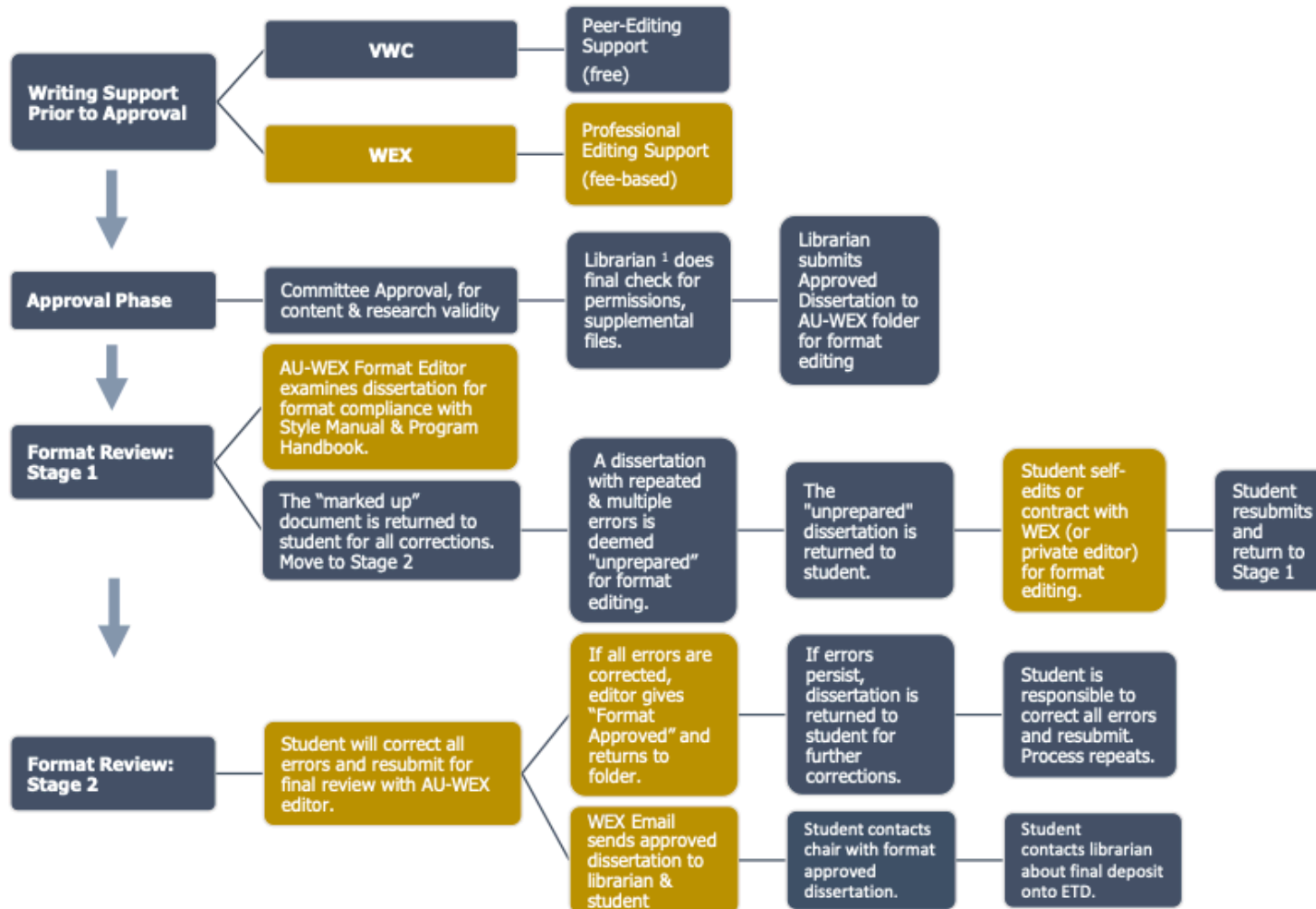
- Cover pages: If you’re unable to add a title to any document, then all must receive individual cover sheets before the document.
  - This cover page has the individual appendix listed plus the title of what follows. Place title 10 lines from top margin, center & bold.

## **Appendix C**

### **AUS Dissertation Editing Process**



## AUS Dissertation Format Editing Process



<sup>1</sup> Librarian Review includes checking privacy (signatures, personal email addresses, etc.); all multimedia components, supplemental files (proper titling, vetting for privacy and copyright in the Table of Contents, in abstract); and the reference list for accuracy.

AUS PsyD Department maintains a budget for two cycles of WEX format review (Read & Read 2); any subsequent WEX reviews are the writer's responsibility.