



UNION INSTITUTE & UNIVERSITY

PSY.D. DISSERTATION MANUAL

Doctor of Psychology Program

Psy.D. Degree with a Concentration in Clinical Psychology

Main Campus:

**440 E. McMillan St.
Cincinnati, OH 45206
888-828-8575**

Psy.D. Program Office:

**28 Vernon St., Suite 112
Brattleboro, VT
802-254-0152**

Fax: 802-257-0682

www.myunion.edu/academics/psyd/

UNION INSTITUTE & UNIVERSITY PSY.D. DISSERTATION MANUAL

This *DISSERTATION MANUAL* provides basic dissertation information for doctoral students in the Union Institute & University Doctor of Psychology (Psy.D.) program. Students should read the *MANUAL* carefully to become familiar with its content and discuss any questions with their Advisor, Professional Development Seminar leader, or their Dissertation Chair. They should consult the *MANUAL* regularly throughout their work on the dissertation, particularly when uncertain about policy and procedural matters and for information about deadlines for program requirements (e.g., Dissertation Proposal, etc.).

The most recent revision of this *MANUAL* occurred on November 3, 2011. The University reserves the right to modify policies and procedures at any time.

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DISSERTATION TIMELINE AND COURSE DESCRIPTIONS

Dissertation Timeline

The dissertation is a culminating activity that requires the student to demonstrate mastery of an area of professional interest and to make a meaningful contribution to the definition or solution of a problem or question, or elucidation of an area of clinical interest. Students are required to submit in writing and orally defend the results of their dissertation, demonstrating their ability to apply psychological principles to clinical problems. Our purpose is to make the “dissertation writing” process part of a real-world exercise in which the student does work that furthers the field of clinical psychology in an active manner and experiences the ways in which he or she can continue to contribute to the field after graduation.

Formal preparation for the dissertation begins in Year 3 with coursework that includes PSY 730-Statistics, PSY 731-Qualitative Research in Clinical Psychology, and PSY 733-Quantitative Research Methods (see below). Students then develop their dissertation during targeted development courses. This begins with two courses designed specifically for proposal development (PSY 771-Dissertation Proposal Development I and PSY 772-Dissertation Proposal Development II). Upon completing the first proposal course (PSY 771), students will have finalized the selection of their Dissertation Committee Chair. Along with the Chair, the student will then choose the rest of the Committee (see below). To successfully complete the second Dissertation Proposal course (PSY 772), students must have secured a Committee and successfully defended their proposal by the end of that course term. After successful proposal defense, students will then be enrolled in two courses that assist in the writing of the Dissertation (PSY 773-Dissertation Development I and PSY 774-Dissertation Development II). The student’s Chair may require him or her to attend a portion of the Department’s Research Seminar (currently scheduled for Tuesdays at noon, Eastern Time). Students enrolled in PSY 773 and 774 are expected to attend some of these meetings as determined by their course instructor. During the process of PSY 773, the faculty instructor may require the student to present his or her proposal to the seminar for feedback. Faculty may expect students to present again during PSY 774 as their work progresses, and then to present their final results in the seminar. Faculty may expect students enrolled in courses beyond PSY 774 to attend a portion of these meetings.

All students will take nine (9) credits of statistics/research design and ten (10) credits of Dissertation development.¹ A typical timeline for how one proceeds towards completion of the Dissertation is as follows:

PSY 730 Statistics

PSY 731 Qualitative Research in Clinical Psychology

PSY 733 Quantitative Research Methods

PSY 771 Dissertation Proposal Development I:

Students select their topic area, and begin in-depth literature reviews and preliminary preparation of their proposal. Students finalize selection of a Chair by submitting the Dissertation Committee Chair Selection Form (Appendix A) and

¹ In the unusual circumstance where a student has completed the Dissertation Proposal and it has been approved by the committee prior to taking PSY 772, she/he can waive that course and begin PSY 773.

then select their Committee Members (Appendix B). Students may choose to present their work in process to the Department's Research Seminar for feedback and may be asked by their faculty instructor to attend some of these meetings. PSY 771 also concludes the student's statistical training necessary to complete their research through logistic regression and survival curve analysis, along with the use of statistics packages (like SPSS) to analyze data.

PSY 772 Dissertation Proposal Development II (Year 4): ¹

Students complete and successfully defend their proposal through meeting with their committee (see Appendix C: Dissertation Proposal Approval Form).

NOTE: If students have not completed their Proposal by the end of this term, they will NOT be permitted to accept an Internship offer, and cannot register for PSY 773 or 774, until their Proposal is completed. Students may be asked to present their work in process to the Department's Research Seminar for feedback and attend some of these meetings.

PSY 773 Dissertation Development I

Students begin formal work on their dissertation, working closely with their Chair and—as needed—with committee members. If human-use research is part of the student's project, Institutional Review Board (IRB) approval **MUST** be obtained before data collection begins (see Appendix D for a copy of the IRB Application form which is also available at the Union Institute & University website). The Proposal must have been accepted by the full Committee before the application to the IRB can take place. Students may be asked to attend a portion of the Department's ongoing Research Seminar.

PSY 774 Dissertation Development II

During this course, students collect and analyze data, complete further literature reviews, and finalize their projects. When the Chair believes the Dissertation is ready, the final copy is distributed to the other Committee members. If the committee members are in substantial agreement that the Dissertation is acceptable, the oral defense is scheduled and held. At this defense, minor changes may be suggested (see Appendix E: Dissertation Oral Defense Form and Appendix F: Dissertation Approval Form).

Students typically complete their Dissertation before going on Internship, or during Internship while they are registered for PSY 830-835: Clinical Internship. Students who do not complete their Dissertations by the end of Internship **MUST** register for Dissertation Supervision continuance (DIS 778-783), and then have six (6) terms thereafter to complete the entire Dissertation prior to the seven year program limitation.

Course Descriptions

See below for course descriptions relevant to the Dissertation process.

Course Number	Course Title	Semester Credit Hours
Year 3: Fall Semester		
PSY 730	Statistics	3
PSY 731	Qualitative Research in Clinical Psychology	3
Year 3: Winter Semester		
PSY 733	Quantitative Research Methods	3
Year 3: Spring/Summer Semester		
PSY 771	Spring/Summer Meeting: Dissertation Proposal Development I and Statistics 2	3
Year 4: Fall Semester		
PSY 772	Dissertation Proposal Development II	2
Year 4: Winter Semester		
PSY 773	Dissertation Development I	3
Year 4: Spring/Summer		
PSY 774	Dissertation Development II	2

Required Courses:

PSY 730-Statistics (3 Credits)

This course presents the principles and techniques of descriptive and inferential statistical methods and their application to research in psychology. Students learn to select and apply appropriate simple parametric tests and non-parametric statistical methods, and to interpret statistical results and their implications.

PSY 731-Qualitative Research in Clinical Psychology (3 Credits)

This course provides a theoretical and practical grounding in qualitative research methods and their application to clinical psychology. Data gathering approaches include individual and focus group interviews, observational research, clinical case studies, grounded theory, and participatory action research. Students acquire the skills needed to design studies and collect, analyze, and present qualitative data.

PSY 733-Quantitative Research Methods (3 Credits)

This course provides an introduction to quantitative research methods. The course begins with a focus on defining research problems, theory testing, and causal inference. Then students explore a range of research designs and methodological techniques that are available for empirical research. Topics include: primary and secondary data analysis, sampling, survey and experimental designs, descriptive and inferential statistics, and linear and non-linear models. The course concludes with an introduction to special topics in quantitative research methods, including factor analysis, structural equation models, and social network analysis.

PSY 771-Dissertation Proposal Development I (2-3 Credits)

PSY 772-Dissertation Proposal Development II (2-3 Credits)

(Maximum of 5 credits for 771 and 772)

This two-term sequence provides a review of the stages of Dissertation Proposal development and differentiates among the various types of Dissertation designs. These courses help students conceptualize their Dissertations, choose an approach to study their chosen topic, and finish their Dissertation Proposals. Also included are student presentations, small group exercises, individual consultations with the instructor, and review and feedback on initial proposal ideas. Students will research and develop a topic for their Dissertation Proposal, determine appropriate methodology, prepare their manuscripts, solicit a Chair and Committee Members, and successfully defend their Proposals. Through required participation in the Department's Research Seminar, students have the opportunity to get feedback on their developing proposal from other faculty and students in the Department and guests from outside the Department. Students will present their developing proposal once during each course for feedback. PSY 771 also completes the final unit of the Department's statistics training program.

PSY 773-Dissertation Development I (3 Credits)

PSY 774-Dissertation Development II (2 Credits)

During this two-term sequence, students work towards completion of the Dissertation as outlined in their approved Proposal. Students who will collect data from human participants (empirical approach) will submit their Dissertation Proposal for human-use Institutional Review Board (IRB) approval (see below) before data collection, then collect and analyze their data and finalize their results and discussion sections. Students will further develop their literature reviews and engage in other scholarly writing tasks that will result in their Dissertation product. Also included are student presentations, small group exercises, individual consultations with the instructor, and review and feedback on Dissertation drafts. By the end of this course sequence, students will have made significant progress on their projects, and many will have completed their Dissertation. During these two courses, students will attend one-fourth of the Department's Research Seminars and will present their results to the Research Seminar in preparation for their final defense.

Special Extension Courses:

DIS 778 to 780-Dissertation Supervision (0 Credits)

If students have not successfully defended their Dissertation by the end of the 4th year or by the end of their Internship, they must register for this course series each semester thereafter up to the seven year program limitation. Dissertation work will continue under the supervision of the Dissertation Chair for no more than a total of six (6) sequential semesters (2 years). Students are considered full time equivalent when registered for this course. Students registered in this course are expected to continue to attend one-fourth of the Department's Research Seminars and to present their work in progress once each term.

CEX 776 Dissertation Proposal Extension

0 Credit

This course is for the completion of the Dissertation proposal. Students registered in this course are expected to continue to attend one-fourth of the Department's Research Seminars and to present their work in progress once each term.

CEX 799-Dissertation Research and Writing Extension (0 Credits)

Under the supervision of the Dissertation Chair, this course is used for (a) completion of the Dissertation Proposal, or (b) completion of the Dissertation after the 7-year program limitation. For completion of the Proposal, students must receive approval from their Chair, and extensions will not exceed two sequential semesters. For completion of the Dissertation after the seven year program limitation, students must submit a program extension application that includes both a work plan with a completion deadline and certification from the Chair that satisfactory progress is being made before registering for this course. Extensions past the 7-year program limitation will not exceed two sequential semesters. Students are considered full time equivalent when registered for this course. Students registered in this course are expected to continue to attend one-fourth of the Department's Research Seminars and to present their work in progress once each term.

PCX 799-Program Completion Extension

0 Credit

This course is for final editing of the Dissertation after the Oral Defense has taken place. Students can register for this course only once (one semester in length) after they have passed the 7-year program limitation. Students are *not* considered full time equivalent when registered for this course.

TYPES OF DISSERTATION PROJECTS

Some examples of the types of Dissertations that are conducted by students are given below. Please note that this is NOT an exhaustive list, and other types of projects may be developed via consultation between the student and the Chair.

Empirical studies are designed to address a problem of theoretical or practical interest in clinical psychology based on qualitative or quantitative methods (or both) that require collecting, analyzing, and interpreting data. There are two general types of empirical studies: (a) those that involve information collected from people, and (b) those that involve information from other sources.

Data Collected Directly from People

For data collected from people, examples might include collecting original data through interviews, surveys, observations, or other methods, while other examples involve secondary analysis of archival data collected from people that are already available in government archives, agency records, or other sites. *All studies that involve information from people require IRB approval before data collection or access to archival records can commence. This also requires the development of an informed consent process for permission to use such data in research.*

Ethical considerations must also enter into any research conducted with people. Union's Institutional Review Board (IRB) considers and must approve all studies involving human subjects proposed by students and faculty. The IRB requires proposed studies to comply with applicable professional standards (Standards 8.01 through 8.08 of the APA Ethical Principles of Psychologists and Code of Conduct) with regard to research participants, informed consent, use of deception, freedom to withdraw from participation, and confidentiality.

If a student is conducting research at another institution, she/he needs documented approval from that institution's IRB prior to Union IRB approval. Furthermore, IRB approval from another institution does not automatically mean that the student can then collect or analyze such data – *Students must also receive Union IRB approval for their Dissertation project.* Often, this simply requires attaching the other institution's IRB documentation (along with the approved Dissertation Proposal) to Union's IRB form for approval. We encourage frequent contact with the Coordinators of all involved IRBs to ensure compliance with all necessary requirements.

Information about Union's IRB requirements can be found on the IRB web site at <http://www.myunion.edu/offices/irb/>. The website includes access to an online course that must be completed prior to submitting an IRB application. **The IRB requires that the full Committee accept and approve the Dissertation Project and that the Dean also approve the Project before submission of any application to the IRB.** A student must have the IRB's written approval before collecting or accessing data concerning human subjects.

Data Collected from Other Sources

For data collected from other sources, examples might include narrative or demographic information gleaned from peer-reviewed journal articles across years, ratings from media sources using checklists concerning relevant domains, or compiling information from multiple technical reports, while other examples would involve meta-analyses of others' statistical findings. In short, these types of studies obtain information and/or data from non-human sources. *NOTE: Empirical studies such as these obviously do not require IRB approval.*

Quantitative vs. Qualitative Proposals and Dissertations

In addition to the two general types of empirical projects noted above, dissertations can also take different forms based on the methods used during data collection. The two major methodological forms are: (a) quantitative and (b) qualitative.

Proposals for *quantitative* empirical dissertations will usually include a literature review, a statement of the problem under study and specific hypotheses, a detailed method section, and a series of proposed analyses, often including a power analysis. The Dissertation Proposal is a comprehensive document that, once approved, will be submitted along with the student's description of results. The introduction and the methods of the proposal must be written in sufficient detail to allow critical review of the proposal. The literature review, theoretical foundations, hypotheses, methods, and planned statistical analyses must be complete for the Dissertation Proposal to be accepted.

Proposals for *qualitative* empirical dissertations include a literature review, a statement of the problem under study, and a detailed methods section with attention to techniques for data analysis as well as data gathering. The qualitative Dissertation Proposal is a comprehensive document. Many qualitative dissertations follow an emergent design, meaning that important theoretical and methodological questions will not be resolved until data collection has commenced and early results are known. The literature review in the qualitative Proposal, therefore, may describe the areas that will be discussed, rather than providing the discussions themselves. The methods section may describe anticipated decision points, rather than describing every detail of the process.

The Dissertation Proposal will include a discussion of the implications of the proposed project for social justice and the betterment of disadvantaged populations. It will also include a discussion of the anticipated audience for the research, including the journals to which the final manuscript describing the results and presenting their discussion may be submitted. This discussion will include the requirements for adequate projects potentially published by this group of journals and a discussion of how the student's project fits within the range of submissions that these journals will consider.

The Dissertation will consist of the approved Dissertation Proposal and a manuscript prepared in accordance with the requirements of the Journal to which the student has decided to submit. Once approved by the Committee, the student will submit the manuscript for consideration for publication as the final step in the Dissertation process. The professional field itself will be involved by our grounding all Dissertation projects within the context of journal content areas with students submitting their final manuscript for publication.

Types of Empirical Studies

While different types of empirical approaches are outlined below, this is not meant to imply an exhaustive list. Indeed, there are other types of empirical approaches that students may want to use for their Dissertation projects.

	Quantitative (e.g., numbers)	Qualitative (e.g., themes)
Data Obtained Directly from People (Human-Use IRB Approval and Informed Consent Required)	<ul style="list-style-type: none"> • Physiological imaging or assays • Reaction times • Coded direct observation • Self-report surveys • Demographic information • Symptom checklists • Treatment outcome measures • Program evaluation • Archival data analyses • Others 	<ul style="list-style-type: none"> • Naturalistic observation • Interviews • Open-ended questionnaires • Case studies • Narrative analysis • Others

	Quantitative (e.g., numbers)	Qualitative (e.g., themes)
Data Obtained from Other Sources	<ul style="list-style-type: none"> • Numerical tabulation of journal article results (including statistical meta-analyses) • Technical report or diagnostic criteria numerical tabulations • Coded checklists concerning media content (i.e., newspapers, tv, etc.) • Others 	<ul style="list-style-type: none"> • Thematic tabulation of journal article results • Thematic analyses of technical report or diagnostic criteria • Emergent narratives from media samples • Others

[When qualitative themes are converted into quantitative numbers, treat the project as quantitative even though data collection methods were qualitative; these so-called “mixed-methods” studies are gaining popularity and will be seen more frequently.]

The Dissertation will consist of the approved proposal and a manuscript describing the results that will be submitted for publication in a psychological journal once it has been approved by the student’s committee. The manuscript will be formatted in accordance with the Journal’s instructions and will be of the length specified by the Journal.

DISSERTATION CHAIR AND COMMITTEE MEMBERS

Dissertation Chair

The Dissertation Chair assumes the role of primary supervisor of the student’s doctoral Dissertation process. Only core faculty, who have served on at least three prior Dissertation committees, can assume the role of Dissertation Chair. The Dissertation Chair must be selected prior to registering for PSY 772-Dissertation Proposal Development II. Students must submit a Dissertation Committee Chair Selection Form (Appendix A) that outlines their top choices for Chair. Students are not guaranteed their first choice, but the program will make every effort to match Chair expertise to the student’s topic area. The student and Chair will then collaborate in selecting the remaining Committee Members. Once Committee Members are recruited and agree to serve, the student will ask all Members including the Chair to sign the Dissertation Committee Member Form (Appendix B). Students are encouraged to find one member of the Committee from outside Union, typically a content expert in a field in which no core faculty work, or a methodology expert, when core faculty are not working in the student’s proposed methodology.

The Chair has primary responsibility for reading and critiquing both the Proposal and Dissertation. The Chair is encouraged to engage the other Committee members in the process of reading and refining the Dissertation Proposal so as to take advantage of their expertise. The student works closely with the Chair in designing the Dissertation and deciding on the process for realizing it. Committee Members serve as methodological and content consultants and work

with the student and Chair toward approval of the Proposal and Dissertation (see below). The final product must demonstrate that the student can critically examine a problem, integrate information, operationalize concepts, implement a research or scholarly project, and communicate the essential aspects of the effort to professional psychologists. The project provides the student with the opportunity to demonstrate the critical thinking and writing skills essential for professional practice in a manner consistent with the traditions of psychology. The Committee will approve the Dissertation only after it is satisfied that the manuscript prepared by the student has reached a level of quality consistent with other published manuscripts in the Journal to which the student is submitting and that it is ready for submission. **IRB submissions can only be made after the full Committee has approved the Dissertation Proposal and the Dean has also made his approval.**

Timeline of the Process

- 3rd Year: Student completes coursework in methodologies and statistics
- 4th Year (summer): Student completes PSY 771: Dissertation Proposal Writing and Statistics 2.
 Student chooses his or her Dissertation Chair.
 Dissertation Chair signs acceptance form and submits to Research Director
- 4th Year (fall): Student enrolls in PSY 772 with his or her Dissertation Chair as faculty of record.
 Student selects other Committee Members.
 Other Committee Members sign acceptance form.
 Student completes Dissertation Proposal
 Student schedules formal Dissertation Committee meeting
 Committee accepts Dissertation Proposal and signs form.
 Dean signs form
 IRB application is made.
 Dissertation chair works with student to make IRB generated revisions.
 Chair decides if minor revisions (additional Committee meeting not required) or major (additional Committee meeting required).
 Dean signs that he agrees with Chair's decision re: minor or major.
- 4th Year (Winter): Student enrolls in PSY 773 and research begins
- 4th Year (Spring): Student enrolls in PSY 774 and research continues.
- 5th Year (Summer): Student enrolls in DIS 778 and research ends.
- 5th Year (Fall): Student enrolls in DIS 779 and works with Committee to finalize the resulting manuscript and prepare for full committee Dissertation Defense.
- 5th Year (Winter): Student enrolls in DIS 780 and Dissertation Defense occurs
 Dissertation is approved.
 Dean signs assent.
- 5th Year (Spring): Student enrolls in DIS 780 and manuscript is submitted to Journal
 Student prepares and submits electronic versions to ProQuest.
 Graduation occurs.
- Two additional terms of DIS 780 are available for those who do not complete by Spring of the 5th year.
 Additional terms beyond the above are available under CEX 776 and CEX 799, though we don't recommend taking this long!

Committee Members

In addition to the Chair, students must acquire at least two additional individuals to serve as Committee Members, for a minimum of three people on the entire Committee. Students may ask a fourth person to serve on their Committee at their discretion. The selection of Committee Members is accomplished by the student in close consultation with the Chair. Committee Members should be chosen for their interest and expertise in issues related to the content of the proposed Dissertation or the specific research methods to be used. Students should also try to select Members who can contribute to methods development, statistical analyses, and writing the results in ways that show understanding of issues relating to relevant cultural diversity and social justice issues. Field placement supervisors and affiliated faculty who are experts in issues relating to the research or scholarly topic may be helpful Committee Members. Some students will choose a methods specialist (usually a core faculty member) and a content specialist (possibly an affiliated faculty or field supervisor).

The minimum qualification for the three central Committee Members (Chair plus two Members) is the doctoral degree in psychology or a related field. If there is someone a student desires to be on their Committee who has specific expertise in the area, but does not possess a doctoral degree, that person may be chosen as a fourth member of the Committee at the student's discretion and with prior approval of the Chair.

Once the student and Chair have identified potential Committee Members, the student invites them to serve on the Committee and to sign the Dissertation Committee Member Form (Appendix B). Students should be able to provide prospective Committee Members with a brief description of their topic and the proposed methods of research and/or scholarship. Members should also be aware that, in agreeing to serve, they will be responsible for certain tasks. At a minimum, these include:

- Reading and critiquing the written Proposal
- Participating in a formal Dissertation Proposal meeting (long-distance members may participate through the telephone or the Internet).
- Consulting with the student over the course of the Dissertation.
- Reading and critiquing the written Dissertation
- Participating in the formal oral presentation of the Dissertation (this must be done live in-person; the program will contribute to reasonable costs for the participation of one Member who may be coming from a distance)

Signing all relevant approval forms for both the Proposal and Dissertation after the entire Committee agrees to accept them.

Dissertation Committee Meetings

Students will communicate informally with members of the Committee throughout the Dissertation process as often as necessary to complete the project. In addition to these informal communications, two formal meetings are required: (a) at the beginning for review and

acceptance of the Proposal and (b) at the end for oral presentation and acceptance of the Dissertation.

Proposal Meeting

When the Chair agrees that the Proposal is ready for Committee review, the student may plan a Proposal meeting. The Proposal meeting includes only the student and Committee Members, unless the Committee decides to make this meeting part of the Department's ongoing research seminar. At least two weeks prior to the meeting, the student should provide a final written draft of the Proposal to each Committee Member. If all Members approve of the draft with only minor editorial changes, the Proposal meeting will then be scheduled. If any Member requires substantial changes, the draft will be returned to the student for revisions. Once the changes have been incorporated, the student once again submits the Proposal to each Committee Member, and with approval, the meeting is scheduled. At the meeting, the student will make an oral summary presentation (approximately 15-30 minutes) of the background literature, the problem chosen for study, and an outline of the proposed research methodology. The student should be prepared to discuss and defend how the findings will be analyzed. The student is responsible for keeping notes of the meeting and providing a summary letter to the chair of any required or suggested revisions. The student must be physically present at this meeting. Committee members who are at a distance may join through electronic media, but a quorum of those involved will be present face-to-face.

When the Committee agrees that the Proposal meets program criteria, the student and Committee Members will complete and sign the Dissertation Proposal Approval Form (see Appendix C). The Dissertation Proposal Approval Form provides space for signatures from all Committee Members as well as the Dean, and represents formal approval of the student's Proposal. **Once the Dean has given his approval, an IRB submission may be made.**

If the Committee generally approves the Proposal at the meeting but requests small changes, Committee Members should sign the Dissertation Proposal Approval Form at the meeting, and the Chair will keep it until the requested changes have been made by the student. Then the Chair will submit the entire completed Proposal package to the Dean for approval and signature. An abstract and one hard copy of the Proposal must accompany the Dissertation Proposal Approval Form.

If the IRB requires changes to the methods in the Proposal, these must also be approved by the Chair. If the IRB denies approval and requires substantial changes, the Chair will decide, along with the Committee, the best way to proceed to address the IRB concerns.

The proposal must have been approved by the student's Committee and signed by the Dean before any submission to the IRB. Inevitably the interaction with the IRB will lead to changes in the protocol, minor or major. It is in the discretion of the Dissertation Chair to decide whether changes made by the IRB are minor and do not require reconvening of the Committee or are major and require reconvening of the Committee. In either case, the Dean will re-approve the protocol if the IRB makes any changes before the student commences his or her research.

Dissertation Defense: Oral Dissertation Presentation Meeting

The Oral Dissertation Presentation Meeting is open to the wider Union community and is held after a student has completed the written portion of the Dissertation and the Chair has given his or her approval. The student then submits the completed Dissertation manuscript to other Committee Members for review at least two weeks prior to the Meeting. If Committee Members believe that the Dissertation manuscript requires only minor revisions that can be addressed during the Oral Dissertation Presentation Meeting, they can give their consent and the Meeting can be scheduled. If Committee Members request major revisions, the Dissertation manuscript should be returned to the student and the Chair for further revision, and the Meeting will be scheduled for a later time. The Meeting may also be scheduled to include the Department's ongoing Research Seminar. The Dissertation Defense meeting is face-to-face, though Committee members at large distances may be permitted to attend through electronic media. The student must be physically present.

Once all Committee Members give approval to schedule the Meeting, the student will prepare a one-page abstract for the Oral Dissertation Presentation Meeting announcement, which must be submitted at least two weeks prior to the actual Meeting, along with the approved Dissertation manuscript. At the Meeting, the student will present background information on the problem area, the research methodology or chapters, and a summary of the results and their implications. The oral summary should not exceed 30 minutes, with Committee Members or other Union community members asking questions or interjecting comments. The total length of the Meeting should usually be no more than one to one and one-half hours in length. The Oral Dissertation Presentation Meeting is intended to help the student communicate her/his efforts to other professionals. After the student's oral summary and question/answer period has come to an end, the student and any other Union members present will be asked to step out of the room so that Committee Members can meet. When the Committee agrees that the Dissertation and the oral defense meet program criteria, they will complete and sign the Dissertation Oral Defense Form (Appendix E). Committee Members will then call the student back in to notify him or her of the outcome and to provide feedback. The student and Committee Members will then complete and sign the Dissertation Approval Form (see Appendix F) and submit to the Dean.

If the Committee generally approves the Dissertation at the Oral Presentation Meeting but requests small changes, Committee Members should sign all appropriate forms at the meeting and the Chair will keep them until the requested changes have been made. After the approved completion of revisions, the Chair will submit all appropriate documentation to the Dean for final Approval, as indicated above.

Students may be required to present their results to the Department's Research Seminar, either as part of the above Meeting or separately, depending upon the wishes of student and Committee.

If a student has not published the manuscript resulting from the Dissertation process within 2 years of completion, the Chair and/or Committee members designated by the Chair, may complete the submission/revision/publication process for the manuscript with the student remaining as first author. The Department will keep a website which archives student papers and may feature Students' papers on its website. Students will be able to direct potentially employers, colleagues, and others to a URL to view their work. Bound Dissertations will no longer be a requirement of the Dissertation process; however, the final paper will be submitted to ProQuest electronically and will be archived on the PsyD Program's website. The Department may also publish from time to time an anthology of the best student papers.

Research Seminars

The Department's ongoing research seminars are intended to aid Committees in assisting students to develop and complete proposals. They also aid faculty in the conduct of their own research by providing opportunities for collegial discussion and feedback. Faculty and Students who are preparing presentations for scientific meetings and other academic venues may use the Seminar for an opportunity to practice their presentation with constructive feedback for improvement.

Through requirements for regular attendance at the seminars, Students will interact with other researchers at varying levels of practice to gain added input and knowledge not otherwise available. Through presenting at these seminars, Students will gain experience in presenting research, will gain important feedback on their research, and will be able to enjoy a collegial interaction with other researchers. The student's Dissertation Chair may request the student to present more often than is required in order to improve presentational skills or to gain help in resolving difficult methodological issues. The Seminar provides a resource for the Dissertation Chair of other scholars who are willing to help students refine and development their ideas. Currently the Seminar is scheduled to meet every other Tuesday at noon Eastern Time.

APPENDICES

Appendix A: Dissertation Committee Chair Selection Form

Union Institute & University
Psy.D. Program in Clinical Psychology
 440 E. McMillan Street, Cincinnati, Ohio 45206-1925 - 513.861.6400 – 800.486.3116
 28 Vernon Street, Brattleboro, Vermont 05301 – 802.254-0152 – FAX 802.257.0682

Full Legal Name				Union ID			
Address							
City		State/Province		Postal/Zip Code		Country	
Phone: (Home)			(Work)			(Mobile)	
UI&U Email							

Please complete this form to request a Dissertation Committee Chair. This form is ordinarily submitted while the student is almost finished completing PSY 771-Dissertation Proposal I. While our program will make every effort to grant students the Chair requested, final assignments will be based on a variety of factors, including “fit” for the student and faculty load. Other personal and programmatic reasons may also affect who would be assigned to Chair a given Committee. Indicate your first and second choice for Chair, and an explanation of why each person has been selected. The program will decide which person would be the best Chair for the student’s Dissertation and inform you of the decision. In some instances further information may be requested from you and/or the faculty members requested.

Date: _____

Proposed Dissertation Title:

Proposed Approach: (use words such as qualitative, quantitative, theoretical, program evaluation, social justice, or other and explain):

Brief description of anticipated Dissertation:

1st choice for Chair and rationale:

2nd choice for Chair and rationale:

Comments and Recommendations for Student:

Dissertation Research Director Type/Print Name

Signature/Date

Acceptance of Dissertation Chair Role

This is to certify that I have agreed to serve as Dissertation Chair for this Student’s Dissertation project according to specifications outlined in the *Psy.D. Dissertation Manual*.

Dissertation Chair _____
Type/Print Signature/Date

This Chair and Student agreement have been entered into the Psy.D. Dissertation Database and the Student is approved to register for Dissertation courses under the Faculty named above.

Director of Dissertation Research Type/Print Name Signature/Date

Once signed a copy of this form is to be scanned into the Dissertations folder on the Psy.D. Share Drive and a copy given to the Dean’s Office so that the student can register for Dissertation courses.

Appendix B: Dissertation Committee Member Form

Union Institute & University
Psy.D. Program in Clinical Psychology
 440 E. McMillan Street, Cincinnati, Ohio 45206-1925 - 513.861.6400 – 800.486.3116
 28 Vernon Street, Brattleboro, Vermont 05301 – 802.254-0152 – FAX 802.257.0682

Full Legal Name				Union ID		
Address						
City		State/Province		Postal/Zip Code		Country
Phone: (Home)			(Work)			(Mobile)
UI&U Email						

Please complete this form to document the members of your Dissertation Committee. This form is ordinarily submitted after the student has almost completed PSY 771-Dissertation Proposal I. Three total Committee Members are required (Chair plus two Members). Fourth is optional at student's discretion. *NOTE: The Chair cannot sign until the Chair Selection Form has been submitted to the Psy.D. program and Chair selection is official.*

Date: _____

Proposed Dissertation Title:

This is to certify that we, the undersigned, agree to serve as Committee Members for this student's Dissertation project according to specifications outlined in the *Psy.D. Dissertation Manual*.

Dissertation Chair _____	_____
Type/Print	Signature/Date
Committee Member _____	_____
Type/Print	Signature/Date
Committee Member _____	_____
Type/Print	Signature/Date
Committee Member _____	_____
Type/Print	Signature/Date

DEAN'S REVIEW

This is to certify that I have examined the list of Dissertation Committee members and hereby recommend approval.

Dean _____	_____
Type/Print	Signature/Date

Appendix C: Dissertation Proposal Approval Form

Union Institute & University
Psy.D. Program in Clinical Psychology
 440 E. McMillan Street, Cincinnati, Ohio 45206-1925 - 513.861.6400 – 800.486.3116 – FAX 513.487.1098
 28 Vernon Street, Brattleboro, Vermont 05301 – 802.254-0152 – FAX 802.257.0682

DISSERTATION PROPOSAL APPROVAL FORM

Student _____
 (Type/Print Name)

Student ID# _____

Date of Dissertation Proposal Meeting: _____

Dissertation Title:

This is to certify that we, the undersigned, have examined all academic aspects of this student's Dissertation Proposal according to specifications outlined in the *Psy.D. Dissertation Manual*, and hereby approve the proposal for implementation.

Dissertation Chair _____	_____
Type/Print	Signature/Date

Committee Member _____	_____
Type/Print	Signature/Date

Committee Member _____	_____
Type/Print	Signature/Date

Committee Member _____	_____
Type/Print	Signature/Date

DEAN'S REVIEW

This is to certify that I have examined the recommendations of the Dissertation Committee members and hereby recommend approval.

Dean _____	_____
Type/Print	Signature/Date

After review, the Dean will forward this form to the Registrar's Office for inclusion in the permanent academic record.

IMPORTANT

This recommendation form must be signed by all Dissertation Committee members and submitted to the Dean along with an abstract and one hard copy of the Dissertation Proposal.

DEAN'S REVIEW SUBSEQUENT TO IRB APPROVAL

This is to certify that I have examined the recommendations of the IRB and accept the attached revised Dissertation Protocol as approved by the IRB as worthy of final approval. I accept the Dissertation Chair's recommendation that the changes recommended by the IRB are sufficiently minor that further formal Committee approval is not necessary.

Dean

Type/Print_____
Signature/Date

Appendix D: IRB Application and Research Proposal Form

IRB Application and Research Proposal Outline

Union Institute & University

Institutional Review Board

General Instructions for Researchers:

- Researchers are required to obtain Institutional Review Board (IRB) approval for proposed research with human subjects and should follow the instructions on this outline and on the IRB website. Read the the instructions carefully to ensure that you have prepared your IRB application and research proposal correctly.
- Incomplete research proposals will not be accepted for review.
- Research proposals presented in the incorrect format will not be accepted for review.
- Use page numbering style as follows: 1 of 5, 3 of 15. The principal investigator's name and the name of the study should be included on every page of the proposal—in the header or footer.
- Research may not begin until after your application and research proposal have received IRB approval.
- Forward the completed application, research proposal, and all required attachments to your academic advisor or supervisor for review and approval. The application must include your advisor or supervisor's signature indicating approval of the submission to the IRB Coordinator, either on the signature form, as an attachment, in a fax, or in an e-mail.
- Submit the complete application and research proposal to the IRB Coordinator via an e-mail attachment in MSWord at irb@myunion.edu (*preferred*).
- Printed applications and research proposals may be submitted to the IRB Coordinator, c/o Office of Institutional Research and Assessment, Union Institute & University, 440 E. McMillan Street, Cincinnati, OH 45206-1925.
- Retain a complete copy of the application and research proposal for your records.

Handwritten Applications Will Not Be Accepted

Please Do Not Include This Instruction Page with Your IRB Application

IRB Application and Research Proposal Outline	
<i>Union Institute & University</i>	
<i>Institutional Review Board</i>	
For Institutional Review Board Use Only	
Date Received:	Degree program or Department:
IRB Log No.:	
Reviewer(s):	Date Forwarded for Review:
Review Type: <input type="checkbox"/> Review for Exemption <input type="checkbox"/> Expedited Review <input type="checkbox"/> Full Review	
Date Completed CITI Program Required Modules:	Date Completed CITI Program Optional Modules:

IRB Application and Research Proposal Outline

***Union Institute & University
Institutional Review Board***

See Chapter 7, Section H of the *Handbook for Research with Human Subjects* for assistance in completing your research proposal and IRB application.

Signatures (Required)

I hereby verify that the information provided on this form and in its attachments are true and accurate. I further agree to abide by the decision of the Institutional Review Board.

_____ Date _____
 Researcher's Signature

I hereby verify that I have reviewed this application and approve its submission to the IRB. (Faculty advisor's signature is required for all students; supervisor's signature is required for employees.)

_____ Date _____
 Faculty Advisor's or Supervisor's Signature

Approval submitted separately
 (By fax, e-mail, pdf, or regular mail)

Approval attached
 (Separate signed form)

Provide the following information as outlined in #1–22 and as appropriate for your IRB application. Then follow the required research proposal outline to provide detailed information about your research proposal.

IRB Application

1. Principal researcher's name, mailing address (*include city, state, country, postal code*), and contact information (*include home, work, and cell telephone numbers as well as e-mail address*).
2. Researcher's UI&U ID Number.
3. Type of review requested: Review for exemption, expedited, or full.
4. Researcher's connection to Union Institute & University: Student, Staff, Faculty, or Alumni.
5. Student's degree program: CUS, Doctoral, Ed.D., M.A., M.Ed., M.F.A., M.F.A. in Visual Arts, M.F.A. in Writing.
6. Student's area of concentration or employee's department name.

7. Name of student's academic advisor or employee's supervisor.
8. Name of student's Second core Reader (if applicable).
9. Title of research study / project.
10. Co-researcher(s): *include names and institutional affiliations*; attach resumes.
11. Academic discipline that guides the research study / project protocol (e.g., History Psychology, Education, Sociology).
12. Subject / participant information: *include members of protected populations such as fetuses*; children ages 2–12; pregnant women; neonates / newborns / infants less than age 2; adolescents ages 13–18; other; none.
13. Number of participants.
14. Research study data collection: use of investigational drugs or devices; collection of especially sensitive information—substance abuse, sexual behavior / orientation; none.
15. Prospective funding source(s): *include contact names, address, and telephone numbers*.
16. Title of study / project submitted to prospective funding source(s).
17. Name of principal researcher (e.g., from funding source), if different from name in No. 1.
18. Type of funding application: grant, subcontract, contract, fellowship, other, none.
19. Date of planned submission to funding source.
20. Collaborative research: Yes, No.
21. If yes to No. 19, include name of lead institution, contact names, addresses, telephone numbers; name of other participating institution(s), if any [*submit copies of approval from other IRBs as soon as they become available; UI&U's IRB may grant approval prior to obtaining approval from other participating institution(s)*].
22. Names of collaborating researchers, contact names, addresses, telephone numbers.

Required Format and Content for IRB Research Proposals

All research proposals submitted for Institutional Review Board (IRB) consideration must follow a standard format and provide specific information for the IRB's consideration. Your application should use the bold face items as headings, with each section containing the information described in this outline. If any item is not applicable, it should not be ignored; rather, a statement to that effect should be included. Proposals should be no longer than 15 pages, double-spaced, not including attachments. Each page of the application should include, as a header or footer, the following information:

- **Name of the Principal Researcher**
- **Name of the Study**
- **Page number (e.g., 1 of 15, 2 of 15)**

Required standard format for all IRB proposals: [*Your responses do not need to include the text of the lettered questions (A, B, C, D) or of the Notes.*]

Research Proposal Outline

1. Name of the Study.
2. Name of the Principal Researcher (and co-researchers, if any).

Note 1: For the IRB’s purposes, “co-researchers” are individuals who are actively involved in the study design, implementation, data analysis, reporting, etc. Co-researchers are not participants / subjects in a study whom the principal researcher has chosen to call “co-researchers.” Other individuals may help distribute or pick up questionnaires or surveys or help enter data into a computer. Even though they are not co-researchers, they must follow the guidelines for maintaining subject confidentiality and protecting subject identity.

Note 2: Attach to the proposal the resumes of all co-researchers.

3. Purpose and Potential Value of the Study.
 - a. State the research question.
 - b. State your reason(s) for conducting this study.
 - c. Describe the anticipated value of the study to the larger community (i.e., what you expect to learn, and how it will be of value to others).
4. Context of the Study.
Provide a brief (no more than five pages) literature review (not a bibliography) that presents key research on this study topic or related issues.

Note 1: This section of the application is designed to show to the IRB that you are sufficiently familiar with related investigations, thus demonstrating your qualifications to conduct the study and to confirm the potential benefits of the study.

Note 2: A bibliography may be attached to the application as an appendix.

5. Location of the Study.
Identify the site(s) at which the research will be conducted (locations where you will meet with participants).
6. Dates of the Study.
Month/day/year that you wish to begin the study and month/day/year that you expect the study to conclude.

Note 1: Proposed start date must be subsequent to the date the application is approved by the IRB.

Note 2: Duration of the study should encompass both your interactions with participants and the analysis of resulting data.

Note 3: The IRB’s approval will be for no more than 12 months. If your study is likely to extend over a longer period, you will need to seek an extension from the IRB after the initial approval. (A “Request for Extension” form is available on the IRB Web site.)

7. Subjects (Participants).
Describe the characteristics of people you wish to participate in your study, including the number of participants and demographics (e.g., age, race, gender).
 - A. Will the proposed participants be members of any protected population? (See *IRB Handbook*, Chapter 3, regarding protected populations.)
 - B. Describe any eligibility criteria for participation in the study (e.g., women between the ages of 18 and 25).
 - C. Describe any characteristics or other factors that will make an individual ineligible—the exclusion criteria.

8. **Participant Payment and/or Costs.**
 State whether you will offer any type of payment to subjects for participating in your study. If you will not pay participants, include a statement to that effect.
- Will participants be offered payment or other incentive (even something as small as a snack or tee shirt)? If so, describe it and its monetary value.
 - What are the conditions under which the payment or incentive will be made (e.g., only after completing the study)?
Note: If participants are students and will receive extra credit as incentive to participate, you must provide an alternative of equal or greater value to any students who do not participate.
 - Are participants likely to incur any expenses, such as for travel or parking, while participating in your study? If so, will you reimburse them?
9. **Methods and Procedures for Recruitment and Participation.**
- Describe the process (in person, by telephone, by letter, by e-mail) and media (ads, flyers, letters, brochures, posters, e-mail messages, or Web site notices, etc.) you will use to recruit subjects.
 - Describe what participants will be asked to do over the course of the study.
 - What is the total time commitment for participants? (This estimate should include any follow-ups, debriefings, etc.)
10. **Participant Confidentiality.**
- Will you, the researcher (and any co-researchers), know participants' names or otherwise be able to identify them?
 - How and to what extent will you preserve participant confidentiality and identity during the study and after the study is concluded?
 - How will study records be secured? Where will they be maintained? Who will have access to them?
 - When will the study records be destroyed and by whom?
11. **Data Collection, Synthesis, Analysis, and Reporting.**
- Describe the methodology(ies) you will use in collecting your data.
 - Describe how you will analyze the data.
 - Describe how you will report the data and to whom.
 - State how long you will maintain study data (minimum is three years).
 - Describe any surveys, questionnaires, etc., that will be used in your study, including how the instruments were developed and tested.
 - Describe any audio and/or video recordings to be made during the study and how they will be used.
 - State whether anyone other than yourself and your co-researchers (if any), such as a transcriber, a data-entry person, a witness for informed consent, a tester, etc., will have access to study data. Describe the qualifications of this individual and how you will ensure that he or she preserves subject confidentiality.
***Note:* Be sure to attach all the following documents that are applicable to your proposed study: surveys, questionnaires, interview scripts, rating forms, etc.**
12. **Informed Consent.**
- How will you present the study to potential participants?
 - How will you answer any questions that an individual might have about the study?
 - If participants will be signing a consent form, how will you ensure that they do so freely?
 - Have you prepared a separate consent form / process for a child under the age of 18?
 - Have you prepared a separate consent form for audio or videotapes?
 - If a participant's parent, guardian, or legal representative must sign a consent form, how will you ensure that the participant also consents to participate (to the extent that he or she is able to give consent)?
 - Do Health Insurance Portability and Accountability Act (HIPAA) and the Privacy Rule regulations apply to the proposed study? If so, describe how HIPAA authorizations will be obtained.
***Note 1:* Attach all documents to be used in the informed consent process, including letters, consent form(s), scripts, or waivers. Refer to the IRB informed consent form outline to determine whether you have provided potential participants with all required information.**

Note 2: Attach all HIPAA materials (information, forms, etc.) if applicable.

13. Expected benefits.
 - A. Describe the benefits you expect for study participants (if none, state none).
 - B. Describe the benefits you anticipate for the larger community (i.e., knowledge gained from study).
14. Potential risks.
 - A. Describe all potential risks to participants (physical, social, cultural, emotional, psychological, legal, etc.).
 - B. Describe precautions you will take to minimize risks.
 - C. Describe procedures you will follow in the event of a problem.
 - D. Describe any treatment that will be provided in the event of a problem. Identify who will provide the treatment and at what cost (if any) to participants, if participants will be referred for counseling or treatment.
15. Risk-to-Benefit Ratio.

Describe and quantify potential risk in relation to expected benefits. Benefits must outweigh risk.
16. Attachments.

Be sure to attach all the following that apply:

 - Recruitment materials
 - Informed consent forms / letters / scripts / handouts
 - HIPAA information and forms
 - Questionnaires / surveys
 - Interview scripts
 - Information about co-researchers
 - Information about any individuals who will assist you in the collection, synthesis, and/or analysis of data

Appendix E: Dissertation Oral Defense Form

Union Institute & University
Psy.D. Program in Clinical Psychology
 440 E. McMillan Street, Cincinnati, Ohio 45206-1925 - 513.861.6400 – 800.486.3116 – FAX 513.487.1098
 28 Vernon Street, Brattleboro, Vermont 05301 – 802.254-0152 – FAX 802.257.0682

STUDENT: _____ STUDENT ID#: _____

TITLE OF DISSERTATION: _____

DATE OF ORAL DEFENSE: _____

INSTRUCTIONS: As a Dissertation Committee, please evaluate this student's demonstration of knowledge and competency in professional/scientific research areas as compared to other graduate or professional students in psychology whom you have known, who have completed **3 years** of post-baccalaureate work in professional areas of psychology. If the student's performance is rated Below Minimum Level of Competence (1) by the Committee for either the written or oral portion, the student is required to engage in remedial work and repeat the oral defense; if either the written or oral evaluation is rated as Minimum Level of Competence, the student may be required to repeat the oral defense at the Committee's discretion.

Ratings:

1. **Below Minimum Level of Competence.** The student does not meet the minimum level of competence expected at this stage of training, based upon the knowledge, skills and attitudes specified in the area's competencies. Specific deficiencies and recommendations for training, remediation and/or practice are made on the evaluation form.
2. **Minimum Level of Competence:** The student has the basic knowledge in this area with an understanding of the skills, processes and techniques needed to implement them. The student has grasped general principles and specific techniques, but the student's beginning level of experience limits the flexible use of these skills. The student is just beginning to recognize patterns and making differentiations between important and unimportant details.
3. **Expected Level of Competence:** The student demonstrates a moderately flexible approach to understanding, analysis, and implementation in the relevant area. The student's ability to generalize skills to new situations is limited, but expanding and support is needed to guide performance. A student at this level demonstrates efficiency and organization.
4. **Achieved High Level of Competence:** The student is able to plan and develop a process in terms of long-range goals. The student is able to think abstractly and grasp complex concepts as they relate to this area. The student demonstrates a mastery of and ability to flexibly manage a variety of contingencies. This includes a professional attitude and an in-depth knowledge and understanding of the specifics of the area, given the research and literature in the field.

THE DISSERTATION WRITTEN WORK SAMPLE is a scholarly or creative work that meets the following criteria:

- It is an original work.
- It is produced independently by the student with limited technical guidance from the Chair and Committee.
- It is a product that exemplifies the student's ability to think critically and to critically evaluate research, theory or other scholarly work.
- It represents a synthesis and integration of scholarly work, research or theoretical perspective.
- It represents a substantive scholarly contribution, demonstrating focus and depth of knowledge in a particular area of professional psychology.
- It represents a vehicle for the student to formulate and challenge hypotheses and to demonstrate an ability to communicate clearly both in writing and orally.
- It is a project or undertaking the topic of which is generally psychological in nature and consistent with the university's mission.

I. EVALUATION OF STUDENT'S WRITTEN WORK SAMPLE -- Based on this written work sample, the student's knowledge and competency in professional/scientific research areas is:

	Below Level of Minimum Competence	Minimum Level of Competence	Expected Level of Competence	High Level of Competence
Circle one:	1	2	3	4

THE DISSERTATION ORAL EXAMINATION is designed to accomplish the following objectives:

- To evaluate the breadth and depth of the student's knowledge in the subject matter of the professional Dissertation as well as in related academic, scientific or professional areas.
- To evaluate the student's ability to think critically and to critically evaluate research, theory or other scholarly work.
- To evaluate the student's ability to synthesize and integrate scholarly work, research or theoretical perspectives.
- To evaluate the student's ability to communicate clearly.

II. EVALUATION OF STUDENT'S ORAL EXAMINATION -- Based on the student's performance during the oral examination, this student's knowledge and competency in professional/scientific research areas is:

	Below Minimum Level of Competence	Minimum Level of Competence	Expected Level of Competence	High Level of Competence
Circle one:	1	2	3	4

III. COMMITTEE RECOMMENDATIONS:

Dissertation Chair _____
Type/Print Signature/Date

Committee Member _____
Type/Print Signature/Date

Committee Member _____
Type/Print Signature/Date

Committee Member _____
Type/Print Signature/Date

Appendix F: Dissertation Approval Form

Union Institute & University
Psy.D. Program in Clinical Psychology
 440 E. McMillan Street, Cincinnati, Ohio 45206-1925 - 513.861.6400 – 800.486.3116 – FAX :513.487.1098
 28 Vernon Street, Brattleboro, Vermont 05301 – 802.254-0152 – FAX 802.257.0682

DISSERTATION APPROVAL FORM

Student _____
 (Type/Print Name)

Student ID# _____

Date of Dissertation Defense: _____

Dissertation Title:

This is to certify that we, the undersigned, have examined all academic aspects of this student's Dissertation Project according to specifications outlined in the *Psy.D. Dissertation Manual*, and hereby approve the proposal for implementation.

Dissertation Chair _____	_____
Type/Print	Signature/Date

Committee Member _____	_____
Type/Print	Signature/Date

Committee Member _____	_____
Type/Print	Signature/Date

Committee Member _____	_____
Type/Print	Signature/Date

DEAN'S REVIEW

This is to certify that I have examined the recommendations of the Dissertation Committee members and hereby recommend approval.

Dean _____	_____
Type/Print	Signature/Date

After review, the Dean will forward this form to the Registrar's Office for inclusion in the permanent academic record.

IMPORTANT

This recommendation form must be signed by all Dissertation Committee members and submitted to the Dean along with the title page and abstract of the manuscript to be submitted. Students will prepare an electronic version of their proposal with the submitted manuscript attached in the format required for submission to ProQuest.

Appendix G: Sample Formatting Template –Details for Dissertation

PLEASE NOTE: Formatting requirements MUST follow those found in the APA Publication Manual (6th Ed.) with the following exceptions:

- (a) Title page
- (b) Table of Contents
- (c) Abstract length is up to two double-spaced pages long
- (d) List of Tables (if applicable)
- (e) List of Figures (if applicable)
- (f) No headers should appear on any page
- (g) Left margins must be 1.5 inches in width for binding purposes
- (h) Page numbering
 1. Small Roman numerals (i, ii, iii, iv...) go at the bottom of the pages that start with the Table of Contents and end on the Acknowledgements page
 2. Arabic numerals (1, 2, 3, 4...) go at the bottom of the first page of text and continue to the very end of the manuscript (including Appendices)
- (i) Tables and Figures appear within text at the relevant places, NOT attached to the end of the manuscript (see examples)
- (j) Reference list spacing
 1. References are NOT double-spaced throughout – instead, references are single spaced with a space in between each citation (see examples)
- (k) Appendices (if applicable)

GENDER, GENDER ROLE ATTITUDES, AND PERCEPTIONS OF DATE RAPE

by

Julie M. Brown

Research Proposal submitted to the
Psy.D. Program in Clinical Psychology
Union Institute & University

2011

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Acknowledgements and Dedication

This is no longer a part of the Dissertation proposal. In the final manuscript, acknowledgements are appropriate and should be provided in the style required by the Journal.

Abstract

This study will examine the effects of gender and gender role on date rape perceptions. One-hundred twenty participants will complete a written self-report Likert-scale survey about gender role attitudes. Also, after reading a hypothetical date rape scenario where the victim's resistance included either verbal resistance only or verbal and physical resistance together, participants will give written judgments about perpetrator/victim blame and consequences.... Data will be analyzed using

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Introduction

An alarming number of adolescents and young adults have been victims of sexual violence, and such violence is often at the hands of individuals they know. For example, 15.6% of women and 7.2% of men reported experiencing sexual violence during college, with sexual violence defined as “being pressured, coerced, or forced into having sexual contact” (Forke et al., 2008, p. 635), and most identified the perpetrator as a friend or an acquaintance. In a longitudinal study of college women, 11.8% reported experiencing attempted rape and 21.2% reported experiencing rape, during the period from age 14 through their fourth year in college (Humphrey & White, 2000). At each point of time in the study, the perpetrators were identified as boyfriends, friends, or casual acquaintances in at least 95% of the incidents of sexual assault, which, along with attempted rape and rape, included unwanted contact and verbal coercion (Smith et al., 2003). Similarly, Johnson and Sigler (2000) found that 18.5% of college women had experienced forced sexual intercourse during their lifetime, and most of these incidents occurred on dates. In a study of college men, 33% admitted to committing sexual assault since the age of 14, defined as forced sexual contact but without penetration, coerced sexual intercourse, attempted rape, and rape (Abbey et al., 2001), and all of these sexual assaults were perpetrated against women they knew.

Several factors have been shown to influence people’s judgments about blame in incidents of sexual violence, including characteristics of the perpetrator such as his race or socioeconomic status (e.g., Bagby et al., 1994; Dietz & Byrnes, 1981; Field, 1979; Klein & Creech, 1982; Ugwuegbu, 1979), as well as characteristics of the victim such as her clothing (Cassidy & Hurrell, 1995; Workman & Freeburg, 1999). The current study focused on both the person making the judgment and the victim’s behavior. More specifically, we examined the effects of participants’ gender and gender role attitudes, as well as the victim’s level of resistance on judgments about blame and attendant consequences in heterosexual date rape scenarios.

Some approaches to understanding dating violence treat gender as a seemingly causal characteristic of the individual, and therefore simply examine dichotomous gender differences in

victimization and perpetration of violent behavior (White, 2009). Similarly, those who study others' perceptions of sexual violence examine dichotomous gender differences in participants' judgments. Such an approach has revealed that men are more likely than women to endorse rape myths and to blame rape victims, and men recommend more lenient consequences for the perpetrator than do women (Jimenez & Abreu, 2003; Johnson et al., 1997; Schneider et al., 2009).

White (2009) suggested that a social ecological model may be more appropriate, whereby gender is not only viewed as causing behavior, but gender is also defined by behavior. In her model, gender is a marker of status incorporated into one's sense of identity. Individuals are exposed to messages of gender inequity from their family, peers, and society at large, which are then enacted within their romantic relationships. Masculinity is associated with power and independence while femininity is associated with caring for and dependence on others. Therefore, men may feel compelled to behave in ways that establish authority and maintain control in intimate relationships. Women, on the other hand, may focus on pleasing men, which sometimes involves objectifying themselves to attract men's attention, or placing greater priority on maintaining the..... *[continue to hypotheses paragraph]*

Current Study and Hypotheses

This study examined the main and interactive effects of participants' gender and their gender role attitudes, as well as the victim's resistance on date rape perceptions. I utilized scenarios describing a date rape as opposed to a stranger rape because, as noted in the prevalence statistics cited earlier, acquaintance rape is far more common (Abbey et al., 2001; Johnson & Sigler, 2000; Smith et al., 2003). In addition, dating scenarios are likely to activate participants' gender role scripts, and thus judgments about what occurs in those scenarios may be more heavily influenced by gender role attitudes than what occurs in scenarios depicting a stranger rape.

Based on previous research, I hypothesized that (a) men would be more likely to blame the victim and recommend more lenient consequences for the perpetrator than would women, (b) more traditional gender role attitudes would be associated with greater victim blame and greater recommended leniency for

the perpetrator regardless of participants' gender, and (c) victims who verbally and physically resisted would be blamed more and greater leniency would be recommended for their attackers than victims who verbally resisted. However, I also expected that gender role attitudes would be a more powerful predictor of date rape perceptions than simple binary gender. In addition, I hypothesized that there would be an interaction between gender role attitudes and the victim's resistance, such that greater resistance would be associated with more victim blame and greater leniency for the perpetrator, but only among participants with traditional gender role attitudes.....

Literature Review....

Gap in Knowledge to be Filled....

[continue to Methods section]

Method

Participants

Participants were 120 introductory psychology students (60 men, 60 women) at a mid-sized private university in the southeastern United States. Most (97%) were between the ages of 18 and 22 years ($M = 19.23$, range = 18-35). More than half of the participants (58%) were first-year students, and the remainder were upper-class students. The sample was mostly Caucasian (78%), with the rest representing a diversity of racial backgrounds (12% Black, 3% Hispanic, 3% Asian, and 4% other races). The two most common household income categories reported were \$50,000 to \$74,999 (30%) and \$100,000 or more (28%). Ninety-seven percent of the participants reported that they were heterosexual, and 3% reported that they were gay, lesbian, or bisexual. Seventy-six percent of the participants reported that their parents were married, while the remainder reported that their parents were separated or divorced.

Measures and Procedure

In small groups within a classroom setting, participants completed an informed consent form (Appendix A), as well as paper-and-pencil measures that were designed to assess demographic information, gender role attitudes, and perceptions of date rape. After completing the measures, participants were appropriately debriefed. Participation took approximately half an hour. Participants were awarded $\frac{1}{2}$ of a credit toward their research requirement in introductory psychology. The study was reviewed and approved by the university's institutional review board prior to data collection.

Demographic information. As noted in the description of the sample above, participants were asked their age, class year, gender, race, sexual orientation, household income, and parents' marital status.

Gender role attitudes. Participants completed the *Gender Attitude Inventory (GAI)* (Ashmore et al., 1995). The *GAI* is a 109-item measure that assesses beliefs about a variety of gender issues (Appendix B). Items are rated on a 7-point scale with 1 being "strongly disagree" and 7 being "strongly agree." Some items are reverse scored so that higher scores are indicative of more traditional gender role attitudes. The measure yields 14 subscale scores: acceptance of traditional stereotypes, condemnation of

homosexuality, disapproval of female sexual initiative, disapproval of female casual sex, endorsement of female superiority, endorsement of chivalry, acceptance of male heterosexual violence, endorsement of family roles, belief in differential work roles, rejection of female political leadership, opposition to women's rights, endorsement of individual action, opposition to funded day care, and opposition to abortion. According to Ashmore et al. (1995), some of the subscales can be combined to create three higher-order factors that tap gender role attitudes about stereotypes, sexual relationships, and societal organization. The authors reported acceptable levels of internal consistency and test-retest reliability for all subscales and the higher-order factors. In addition, Ashmore et al. (1995) reported that 12 of the 14 subscales and all three of the higher-order factors were significantly correlated with the *Attitudes Toward Woman Scale (AWS)* (Spence & Helmreich, 1978) for women and men separately or for both combined..... [continue to Results section]

Results and Discussion

New to this revision of the manual is the separation of results and discussion into a manuscript that is publishable. The student will now use the format for the Journal selected for submission of the manuscript for preparation of the manuscript. The introduction and methods sections of this paper will be formed from those written for the Proposal. The Results and Discussion sections will match those expected by the journal. A sample Results and Discussion section follows:

Descriptive Statistics

Table 1 shows the means, standard deviations, and ranges for the *GAI* composite and the date rape perceptions measure. Four of the items from the date rape perceptions measure contained at least one outlier, and these scores were reset to three standard deviations from the mean. One person did not complete the question about the recommended prison sentence. The sample scored below the midpoint on the *GAI* composite, suggesting that these young adults were fairly liberal in their gender role attitudes. As expected, men ($M = 2.91$) endorsed more traditional gender role attitudes than did women ($M = 2.20$), $t(118) = 5.79, p < .001$. The means on the date rape perceptions measure indicate that participants were more likely to agree that the man was responsible for the incident than the woman, $t(119) = -20.08, p < .001$. And they were more likely to agree that the incident would have a negative impact on the woman than on the man, $t(118) = 11.54, p < .001$. In general, participants were likely to recommend that the woman should report the incident, the man should be arrested, and he should be found guilty of rape because the means on these three items were all above the midpoint.

Main Analyses

To determine the effects of participants' gender, gender role attitudes (continuous version), and the level of victim resistance on date rape perceptions, a series of regressions were conducted. Three predictor variables were entered simultaneously. Tables 2 through 8 show the results of the seven regression analyses that yielded significant models.

Table 1. Means, standard deviations, and ranges for gender role attitudes and date rape perceptions ($N = 120$).

	Mean	Standard deviation	Range
<i>GAI</i> composite	2.55	.76	1.10 – 4.67
Date rape perceptions			
Woman responsible	1.87	.99	1.00 – 4.86
Man responsible	4.52	.73	2.21 – 5.00
Neg impact on woman	4.16	.94	1.30 – 5.00
Neg impact on man	2.80	1.15	1.00 – 5.00
Woman reports	3.76	1.11	1.00 – 5.00
Man arrested	3.61	1.27	1.00 – 5.00
Man found guilty	3.90	1.14	1.00 – 5.00
Man's sentence in years ^a	9.10	11.76	0.00 – 57.79

^a Due to missing data, $N = 119$.

Findings from the ANOVAs were much the same as those from the regressions. The most consistent and strongest predictor of date rape perceptions was gender role attitudes. In addition, there were two interactions. For the item assessing the extent to which participants agreed that the incident would have a negative impact on the woman, there was a significant interaction between participants' gender role attitudes and the victim's resistance, $F(1,112) = 6.47, p < .05, \eta_p^2 = .06$ (see Figure 1). A simple effects analysis revealed that traditional participants were less likely to agree that the incident would have a negative impact on the woman when she resisted verbally ($M = 3.74$) than when she resisted verbally and physically ($M = 4.21$), $F(1,116) = 3.94, p = .05, \eta_p^2 = .03$. Liberal participants did not significantly differ in their responses, regardless of whether the woman resisted verbally ($M = 4.42$) or

verbally and physically ($M = 4.21$), $F(1,116) = .83$, $p = .36$, $\eta_p^2 = .01$.

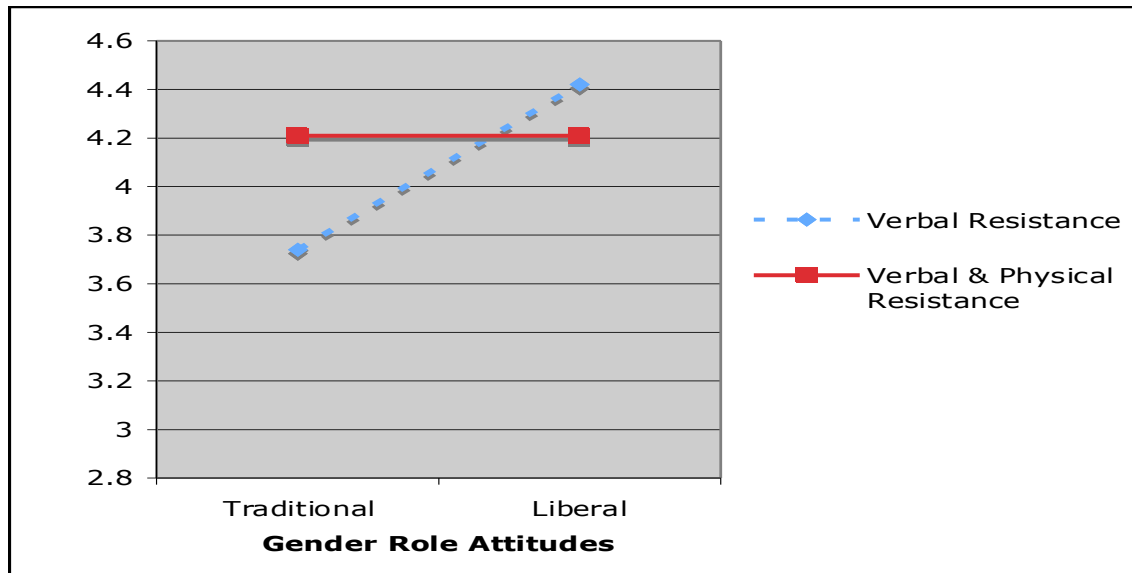


Figure 1. *Interaction between participants' gender role attitudes and the victim's resistance in predicting agreement that the incident would have a negative impact on the woman (N=120).*

[continue to Discussion section]

Discussion

Here is a sample discussion section:

This study examined the effects of participants' gender and gender role attitudes, as well as the victim's level of resistance, on date rape perceptions. Surprisingly, the effects of participants' gender were counter to our hypotheses. While men were indeed more traditional in their gender role attitudes than were women, men were nevertheless more likely than women to agree that the woman should report the incident, and that the man should be arrested and found guilty of rape. These findings may well be due to the mitigating effects of benevolent, paternalistic attitudes among the males in our sample. If that is the case, my findings are consistent with those of Chapleau et al. (2007) who found that protective paternalism was negatively associated with rape myth acceptance. In addition, Viki et al. (2004) asserted that victim blaming is based on the withdrawal of male protection. In this study, I did not parse out the different types of gender role attitudes into subcategories such as the level of paternalistic sexism, so this explanation could not be examined.

Gender role attitudes significantly predicted participants' date rape perceptions in the direction specified in my hypotheses. As expected and in support of White's (2009) model, gender role attitudes were a more consistent and powerful predictor of date rape perceptions than was gender. Traditional participants blamed the victim more, blamed the perpetrator less, were less likely to agree that the woman should report the incident and that the man be arrested for rape, and recommended more lenient consequences for the man than did liberal participants. There was also an interaction between gender role attitudes and the victim's resistance. Traditional, but not liberal, participants were less likely.....

[continue to Reference section]

References

Here is a sample of references done in A.P.A. style. Your selected journal, however, may use a different style. The references for the proposal should be in A.P.A. style. The references for the final paper that will be submitted should be formatted in accordance with the journal's instructions.

- Abbey, A., McAuslan, P., Zawacki, T., Clinton, A. M., & Buck, P. O. (2001). Attitudinal, experiential, and situational predictors of sexual assault perpetration. *Journal of Interpersonal Violence, 16*, 784-807.
- Abrams, D., Viki, G. T., Masser, B., & Bohner, G. (2003). Perceptions of stranger and acquaintance rape: The role of benevolent and hostile sexism in victim blame and rape proclivity. *Journal of Personality and Social Psychology, 84*, 111-125.
- Ashmore, R. D., Del Boca, F. K., & Bilder, S. M. (1995). Construction and validation of the Gender Attitude Inventory, a structured inventory to assess multiple dimensions of gender attitudes. *Sex Roles, 32*(3), 753-785.
- Bagby, R. M., Parker, J. D., Rector, N. A., Kalemka, V. (1994). Racial prejudice in the Canadian legal system: Juror decisions in a simulated rape trial. *Law and Human Behavior, 18*, 339-350.
- Ben-David, S., & Schneider, O. (2005). Rape perceptions, gender role attitudes, and victim-perpetrator acquaintance. *Sex Roles, 53*(3), 385-399.
- Cassidy, L., & Hurrell, R. M. (1995). The influence of victim's attire on adolescents' judgments of date rape. *Adolescence, 30*, 319-323.
- Chapleau, K. M., Oswald, D. L., & Russell, B. L. (2007). How ambivalent sexism toward women and men support rape myth acceptance. *Sex Roles, 57*, 131-136.
- Cowan, G. (2000). Women's hostility toward women and rape and sexual harassment myths. *Violence Against Women, 6*, 238-246.
- Deitz, S. R., & Byrnes, L. E. (1981). Attribution of responsibility for sexual assault: The influence of observer empathy and defendant occupation and attractiveness.

Journal of Psychology, 108, 17-29.

Field, H. S. (1979). Rape trials and jurors' decisions: A psycholegal analysis of the effects of victim, defendant, and case characteristics. *Law and Human Behavior, 3, 261-284.*

Appendices for the Research Proposal

Appendix A. Informed Consent Form

< Insert the Informed Consent Form here (final version with IRB approval noted) >

Appendix B. Copies of any questionnaires, measures, or interview formats to be used.

Appendix C. Other relevant material.

NOTE! The 6th edition of the APA Publication Manual revises and simplifies previous heading guidelines. Regardless of the number of levels, always use the headings in order, beginning with level 1. The format of each level is illustrated below:

APA Headings	
Level	Format
1	Centered, Boldface, Uppercase and Lowercase Headings
2	Left-aligned, Boldface, Uppercase and Lowercase Heading
3	Indented, boldface, lowercase heading with period.
4	<i>Indented, boldface, italicized, lowercase heading with period.</i>
5	<i>Indented, italicized, lowercase heading with period.</i>

Thus, if your manuscript has four sections, some of which have subsections and some of which don't, use headings depending on the level of subordination. Section headings receive level 1 format. Subsections receive level 2 format. Subsections of subsections receive level 3 format, and so on. For example, hypothetical headings for Methods and Results sections are given below:

Methods (Level 1)

Site of Study (Level 2)

Participant Population (Level 2)

Teachers. (Level 3)

Students. (Level 3)

Results (Level 1)

Spatial Ability (Level 2)

Test one. (Level 3)

Teachers with experience. (Level 4) – text immediately follows.

Teachers in training. (Level 4) – text immediately follows.

Those with internship training. (Level 5) – text immediately follows.

Those without internship training (Level 5) – text immediately follows.

Test two. (Level 3)

Kinesthetic Ability (Level 2)

For writing your results and discussion following the completion of the project, use the instructions given by the journal to which you have chosen to submit. If in doubt about how to use headings, use the instructions given above.

Appendix H: PSY.D. DISSERTATION MANUAL Student Signature Page

Union Institute & University
Psy.D. Program in Clinical Psychology
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Dear Student:

You have received the *PSY.D. DISSERTATION MANUAL* that includes the Dissertation policies and procedures of the Union Institute & University Psy.D. program. This *MANUAL* supersedes all prior versions.

Please sign below to indicate that you have read and understand these policies and procedures.

Signature

Printed Name

Date

Appendix I: USE OF HUMAN SUBJECTS IN RESEARCH

All use of human subjects for research must be approved by the Institutional Review Board prior to the commencement of any research. Information on how to apply to the IRB and the forms to use are provided in an earlier Appendix and on the Union Institute & University website. Faculty and Students are expected to follow all the guidelines and directives of the IRB regarding research being conducted.