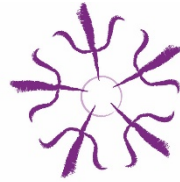


PH.D. PROGRAM IN CLINICAL-COMMUNITY PSYCHOLOGY with Rural Indigenous Emphasis



PHD PROGRAM IN
CLINICAL-COMMUNITY PSYCHOLOGY

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The Ph.D. Program in Clinical-Community Psychology is accredited as a clinical psychology program by the American Psychological Association*.

Questions related to the program's accredited status should be directed to the Commission on Accreditation:
Office of Program Consultation and Accreditation
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PREAMBLE

The student handbook has been prepared to notify students about information, procedures, and policies for the Ph.D. Program in Clinical-Community Psychology. Together with the Universities' course catalogs, which contain the University's policies, this handbook will provide specific details about the program. This handbook is a living document. Effective dates will be published on our [website](#) with any policy change that affects the student body. On rare occasions, exceptions to the policies within this student handbook will be made. In the case of extenuating circumstances, students should immediately consult with their academic advisor who will notify the Program Director. Please consult your academic advisor or program staff for additional assistance.

All program related forms mentioned within the handbook are all stored on the [Program's Blackboard site](#). Students and faculty are all members of the Psychology Ph.D. Program Blackboard course.

PART ONE: BASICS

PROGRAM INTRODUCTION

The *Ph.D. Program in Clinical-Community Psychology with Rural, Indigenous Emphasis* integrates clinical psychology and community psychology, and focuses on rural, indigenous, and cultural psychology with attention on rural, indigenous issues and an applied emphasis on the integration of research and practice. The program uniquely combines the spirit of clinical and community psychology. As such, it emphasizes social action, as well as clinical service delivery to individuals, groups, families, and communities.

The program is on the forefront of creative and enriching knowledge dissemination that is locally relevant; focused on public service; sensitive to the unique environments of Alaska; and concerned with acknowledging, fostering, and celebrating diversity. The program has many unique features that combine to make for a rigorous training experience that requires a student's full-time commitment.

PH.D. PROGRAM MISSION

The *Ph.D. Program* is designed to prepare scientist-practitioners who join theory, practice, and research to meet the behavioral health needs and to improve the well-being of Alaska, rural, circumpolar, and culturally diverse peoples and their communities. The program provides rigorous training that integrates clinical and community psychology and focuses on applications of rural, indigenous, and cultural psychology for the benefit of all people.

The primary aims of the program are consistent with the mission. They are as follows:

1. *The Ph.D. Program Will Prepare Culturally-Competent Scientists.* Program graduates will demonstrate culturally grounded knowledge and skills in scientific inquiry. They will value research and evaluation as important components of their professional identity.

They will demonstrate competency in using their research and evaluation skills to disseminate new knowledge and inform clinical and community practice.

2. *The Ph.D. Program Will Prepare Culturally-Competent Clinical-Community Practitioners.* Program graduates will demonstrate culturally grounded knowledge in rural clinical-community practice. They will value integrated clinical-community psychology as an important component of their professional identity. They will demonstrate skills in developing and implementing culturally relevant prevention and intervention efforts and programs.
3. *The Ph.D. Program Will Prepare Culturally-Competent Community and Social Change Facilitators.* Program graduates will demonstrate culturally grounded knowledge and skills relevant to social and healthcare solutions. They will value social justice as an important component of their professional identity. They will have the competency to facilitate policy and social change.

In addition to the program aims students will acquire and demonstrate attainment of competencies in the following domains:

- Research
- Ethical and legal standards
- Individual and cultural diversity
- Professional values, attitudes, and behaviors
- Communications and interpersonal skills
- Assessment
- Intervention
- Supervision
- Consultation and interprofessional/interdisciplinary skills

SCIENTIST-PRACTITIONER MODEL

Besides being designed to meet the needs of the state of Alaska vis-à-vis responsible, appropriate, and ethical behavioral health care delivery, the mission and objectives of the program are compatible and supportive of several professional and related competencies that are to be achieved by program graduates. Most importantly, the program will prepare graduates for licensure as psychologists in the state of Alaska and most, if not all, other states in the U.S. and provinces in Canada. Licensure as a psychologist is based on stringent requirements, guided by principles developed by the American Psychological Association (APA) regarding minimum training criteria for doctoral-level psychologists. The Ph.D. program was designed to meet the high training standards of APA and is fully accredited in clinical psychology by the APA*. Faculty who teach in the doctoral program have worked closely with the Alaska licensing regulations for psychologists to assure that the curriculum and other requirements of the program make meeting basic licensure requirements a given for program graduates.

The program is designed to meet criteria for a scientist-practitioner model of doctoral-level psychology training. As such, it has two major training aims. Specifically, the program assures that graduates have:

- research skills and competencies necessary to become **competent researchers** who can develop applied research that is relevant to rural and frontier communities with ethnically and culturally diverse populations and capable evaluators who can evaluate and design effective intervention programs for diverse contexts and settings, and
- applied clinical and community assessment and intervention skills necessary to become **competent practitioners** in the area of behavioral health care at the individual and communitywide levels.

These scientist-practitioner competencies are assured through the delivery of a curriculum that is both research-based and clinically applied. All courses in the program have been carefully chosen to advance the knowledge of students as clinicians and researchers. All milestones required for graduation were developed to ensure that the scientist-practitioner skills are firmly in place before students can graduate from the program. The dual focus on practice and research ensures the well-rounded nature of the graduates, who, in Alaska, often must fulfill both roles in a single position.

* Questions related to the program's accredited status should be directed to the Commission on Accreditation: Office of Program Consultation and Accreditation American Psychological Association, 750 1st Street, NE, Washington, DC 20002; Phone: (202) 336-5979, Email: apaccred@apa.org Web: www.apa.org/ed/accreditation

PH.D. PROGRAM PHILOSOPHY

The *Ph.D. Program* integrates clinical and community psychology and focuses on rural, indigenous, and cultural psychology with an applied emphasis. The program uniquely combines the spirit of clinical and community psychology. It emphasizes non-traditional service delivery and social action, as well as clinical service delivery to individuals, groups, families, and communities. The program is on the forefront of creative and enriching knowledge dissemination that is locally relevant; focused on public service; sensitive to Alaska's unique environments; and concerned with acknowledging, fostering, and celebrating diversity.

Given this philosophy, the program has many unique features that combine to make for a rigorous training experience that requires a student's full-time commitment. The following features of the program are particularly noteworthy:

- The primary mission and aims of the program are to train students to be skilled in **the professional practice of rural clinical-community psychology**.
- Although the program is designed to meet the current psychologist licensure requirements in Alaska, students are responsible for documenting their coursework and professional training to satisfy licensing requirements.
- The program requires a **cultural experience** and requires cultural integration in all courses and activities.
- Students are expected to complete the program as **full-time** students.
- Students cannot be in the program successfully and maintain full-time employment; indeed, given that the program is always considered a full-time commitment and classes are taught during daytime hours, the faculty strongly **discourage employment or studies outside of the university**.
- The program makes every attempt to offer paid teaching, research or service assistantships to all interested students; however, assistantships cannot be guaranteed.

- The program is **difficult, course intensive, and demanding**; students are advised to enter the program with full knowledge and awareness about program demands.
- The program is designed to be an **intense study for at least five full-time years**; there are no short-cuts.

Students are admitted as part of a cohort. This model is based on the belief that student success is ensured, in part, through collegial support. Given this cohort model, the program strongly encourages students to remain in step with their cohort. This means that course sequencing will be consistent across students who were admitted as a cohort. To retain the cohort spirit, students are required to check with their advisors before deviating from their plan of study and to seek approval for major changes to how they progress through the program. This also assures that students maintain the integrity of their program of study with regard to the sequencing of courses, paying close attention to prerequisites and taking courses in a logical order, as identified in the course sequencing through the Ph.D. Program Course Requirements Worksheet ([See Part Seven: Appendices](#) of the handbook for further information).

COMMITMENT TO CULTURE

Cultural Advisor Council

To assure the integration of cultural issues throughout the Ph.D. Program curriculum and all doctoral program activities, a Cultural Advisor Council was formed and is consulted by program faculty. The functions of the Cultural Advisor Council include, but may not be limited to:

1. Serving as cultural ambassadors to provide cultural knowledge for students and faculty.
2. Advising program faculty on course design, student development, practicum development, student selection, and program development.
3. Collaborating with students and faculty together to provide cultural support.
4. Serving as cultural members of dissertation committees.
5. Mentoring students and faculty individually and/or in groups.
6. Serving as individuals willing to take students and faculty “under their wings” to involve them in cultural/spiritual activities in the community.
7. Serving as guest speakers in classes.

ANCAP Program

The primary purpose of the Alaska Native Community Advancement in Psychology (ANCAP) Program is to train Alaska Natives and American Indians for careers in psychology and other behavioral health careers, for practice in rural Alaska. The ANCAP program was established to address the significant shortage of Alaska Native and American Indian psychologists and other behavioral health professionals in Alaska, particularly rural Alaska.

Cultural Experience

During their first year in the Ph.D. program, students participate in a cultural experience as defined by their program faculty. The actual experience varies from year to year, but includes direct exposure to Alaska Native and other cultural worldviews, values and life experiences through contact with cultural elders and advisors. The goal of the cultural experience is to provide an opportunity to interact directly with cultures in a non-classroom setting. During later years in their program, students are encouraged to engage in other cultural experiences of their own choosing and design, as approved by program faculty.

Cultural Experience Requirement

HOURS REQUIREMENTS

Students in the Ph.D. Program in Clinical-Community Psychology are required to complete at least 20 hours of “Cultural Experience” during their first year in the program (August 1 to July 31 every year). Because of our program’s emphasis on serving the Indigenous Peoples of Alaska, at least 15 of the required 20 hours must be from activities/events that focus on Alaska Native cultures, and we strongly encourage that at least one activity/event be focused on the Dena’ina People – the Indigenous Peoples of the land UAA is on. To expose students to a variety of cultural experiences, students are required to complete their hours by attending/participating in at least three different types of activities/events. Below are some ways through which the required hours may be met, with the maximum number hours for each activity/event that can count toward the 20 required hours indicated in parentheses.

1. [First Alaskans Institute Volunteer for Elders & Youth Conference](#) in October (16 hours max)
2. Attend and write reflections on Elders & Youth Conference workshops and celebrations (4 hours max)
3. Take a 1 credit [Alaska Native Studies Course](#) (Topics, Skills, or Language) (14 hours max)
4. Work with Alaska Native Studies and other organizations to plan, organize, and implement Indigenous Peoples Day (October) and Native Heritage Month events (November) (16 hours max)
5. Attend and write reflection on Indigenous Peoples Day and Native Heritage Month events (4 hours max)
6. Volunteer as a tutor and mentor at [UAA’s Native Student Services](#) (16 hours max)
7. Volunteer with the programs and activities of the [UAA Alaska Native, Indigenous & Rural Outreach Programs \(ANIROP\) and Cama’i room](#) (16 hours max)
8. Attend and write reflections on [World Eskimo-Indian Olympics](#) in July or [Native Youth Olympics](#) in April (8 hours max)
9. Volunteer at the [Refugee Assistance and Immigration Services \(RAIS\)](#) health fair or other RAIS programs (8 hours max).
10. Volunteer at the [Alaska Literacy Program](#) (teaching English Language Learners) (8 hours max)

11. Apply and be accepted into the [Educator Cross-Cultural Immersion \(ECCI\)](#) program through the Alaska Humanities Forum (summer)
(16 hours max)
12. Attend events at the [Alaska Native Heritage Center](#)
(4 hours max)
13. Other activities or events (and associated counted hours) as pre-approved by the culture committee.

DOCUMENTATION REQUIREMENTS

Students may pick and choose any combination of the activities/events listed above to meet the required number of cultural experience hours. All activities or events that students partake in will need to be documented and approved by an identified supervisor or facilitator (e.g., planning committee chair, course instructor, workshop facilitator) using the form below.

I certify that _____ volunteered or attended an event/activity that I facilitated. The student spent _____ hours participating in the event or activity.

Printed Name

Email or Phone

Signature

For activities or events that do not have a formally identified supervisor or facilitator (e.g., attending NYO, WEIO, celebrations, or other events), students must write a 2 to 3 page paper stating the number of hours spent on the activity/event and summarizing their experience and reflecting on what they learned, their personal and professional difficulties in regards to current and/or future clinical-community work, and plans to address such difficulties. The paper must be submitted to the Program Coordinator and the culture committee chair before the hours will be granted.

SUBMISSION PROCESS

Once a student believes they have completed the Cultural Experience requirement, they must submit all documentation (i.e., signed hours forms, reflection papers) via email to the Program Coordinator, who will then forward the files to the faculty members in the culture committee. The submitted files must clearly indicate the hours, activities/events attended, how many hours were focused on Alaska Native Peoples, and how many hours were focused on the Dena'ina Peoples. The committee will evaluate the documentation and prepare a memo to indicate whether or not the student has met the requirements.

STUDENT-FACULTY RELATIONSHIPS

Despite the fact that the program functions on a cohort admissions model, the core Ph.D. Program Faculty subscribe to a mentor-protégé approach to graduate education upon admission. When students enter the Ph.D. Program, they are assigned a faculty mentor. This mentor is based on similar research interests may or may not be the optimal mentor for the student. As such, the faculty encourage students to take an active role in their education by proactively seeking out educational opportunities and developing a mentoring relationship with a faculty member who shares the student's interests.

There are several proactive strategies students are encouraged to engage in to enhance their education. These include but may not be limited to the following actions:

- seeking out research opportunities outside of an assistantship
- seeking out non-classroom opportunities to interact with faculty
- seeking out interaction with cultural advisors
- seeking out faculty with shared academic interests
- attending national, regional, or local professional conferences
- attending psychology and behavioral health workshops in your areas of interest
- conducting independent research with a faculty supervisor
- providing feedback about the degree program
- becoming a student member within professional organizations in your areas of interest
- becoming involved with professional discussion groups on the Internet

FACULTY MENTOR

When students are admitted to the program, they are assigned a faculty mentor. Efforts are made to match students with a mentor with shared research and/or clinical interests. Students are free to switch mentors if they identify a preference for a particular faculty member. To switch mentors, students simply need to notify the Program Coordinator via a written note cosigned by the new mentor and current mentor. Once students choose a dissertation chair, if he or she is a core faculty member, that individual automatically becomes the student's new academic advisor. If the dissertation chair is a non-core faculty member, there will not be a change in the academic advisor.

UNIVERSITY TECHNOLOGY

BLACKBOARD

Students will utilize Blackboard for the majority of the courses. Blackboard is a course management system that allows for dynamic learning to occur in an online environment. The tools provided by the Blackboard software allow students and faculty to post and share documents and other course content, communicate via email and posted discussion boards, and even have synchronous or "real-time" conversations in a virtual classroom. [Immediate access to Blackboard.](#)

DESKTOP VIDEO

The University uses a desktop web conferencing system called [Zoom](#). By utilizing your computer (Windows or Macintosh OS) with a webcam, multiple computers can join in a single virtual conference room or can be linked to traditional video conferencing rooms. To start using Zoom, visit alaska.zoom.us.

INTRODUCTION TO STUDENT SERVICES

HEALTH SERVICES

At UAA, the Student Health and Counseling Center provides primary health services for physical and mental health, diagnosis, and treatment of general physical and mental health conditions as well as education and support to help maintain a healthy lifestyle. Students must pay the health center fee to be eligible for the services. The Student Health and Counseling Center is located in suite 116 of the Rasmuson Hall and is open weekdays during the regular academic year. For more information, telephone (907) 786-4040 or visit the [UAA Health and Counseling Center](#) website.

For those admitted prior to Fall 2017 and reside in Fairbanks, the Student Health and Counseling Center provides a wide variety of services to students only. General medical care with lab and formulary on site. Counseling services range from individual counseling to crisis intervention, alcohol referrals and general adjustments to college life. Students must pay the health center fee to be eligible for the services. The Center for Health and Counseling is located on the second floor of the Whitaker Building and is open weekdays during the regular academic year. For more information, telephone (907) 474-7043 or visit the [UAF Student Health and Counseling Center](#) website.

The Graduate Student Health Insurance Policy is a benefit for graduate students who are on a research (RA) or teaching (TA) assistantship or a University Fellowship (e.g. Graduate Fellowship, NSF Fellowship, etc.) or an international student. The University pays the policy on behalf of the student. Graduate students who do not have a university-aid research or teaching assistantship or fellowship are not eligible for this policy at this time.

Eligible graduate students are enrolled for the insurance program by the Graduate School once the Graduate School receives a copy of the student's assistantship or fellowship letter. Note that it is *the student's responsibility* to provide a copy of this letter to the Graduate School each semester.

LIBRARY SERVICES

Students admitted since Fall 2017 will have access to UAA system libraries. Students admitted prior to Fall 2017 have access to the libraries and their holdings and services at both the UAF and UAA campuses, which are detailed below. Both library systems can be accessed online.

The Consortium Library at UAA is the major research library for Southcentral Alaska. [The Consortium Library's](#) web site provides access to the Joint Library Catalog that contains the holdings for the Consortium Library as well as the Anchorage Municipal Libraries, UAA Career Services, Alaska Resources Library and Information Services, the UAA community campus libraries in Kodiak, Mat-Su, Kenai, Homer and Valdez, and the Anchorage Museum. The website also provides access to a growing list of databases, indexes, full text articles, and electronic journals. Online request services for interlibrary loan and reference are also available.

The Elmer E. Rasmuson Library at UAF is the largest library in the state. Online catalogs and databases provide access to UAF library resources, UA system libraries and to libraries nationwide. [Rasmuson Library's](#) web site gives users access to more than 160 online resources with broad coverage in the sciences, humanities and social sciences, management and engineering. Online indexes and collections also link to the full text of articles from more than 13,000 periodicals. Additional online resources include reference tools, electronic books, specialized sources for arctic and polar information and indexes to special formats such as government documents and dissertations. Materials that are not owned by UAF libraries may be obtained through interlibrary loan document delivery services.

INTRODUCTION TO FINANCIAL ISSUES

TUITION AND FEES

All students are assessed tuition and fees. Visit the [Tuition & Fees](#) website for current tuition and fees at UAA. Students working on their approved teach-out plan and are registered for UAF-based classes should visit the UAF [Financial Aid](#) website. It is each student's responsibility to pay his/her semester tuition by the deadlines established (varies for each campus) – late fees for missing payment deadlines are the student's responsibility.

UAA and UAF participate in the Western Regional Graduate Program (WRGP), which is a program within the Western Interstate Commission for Higher Education. As a result of WRGP, students who are residents of many western states can enroll in many graduate programs in other member states while only paying resident tuition rates rather than non-resident rates. The following states are members of WRGP: Alaska, Arizona, Colorado, Hawaii, Idaho, Montana, Nevada, New Mexico, North Dakota, Oregon, South Dakota, Utah, Washington, and Wyoming. The Ph.D. Program is approved for [WRGP enrollment](#).

LIABILITY INSURANCE

Although we hope you will never need it, the University provides inexpensive professional liability insurance for students. This insurance will cover you for any clinical work that you perform as part of your formal training in our program. To efficiently ensure coverage, a portion of your lab fees for PSY 652, 653, 672 and 673 are used to purchase liability insurance for a 1-year period. The Program Coordinator will complete this form and submit it to the UA Statewide Office of Risk Management.

Liability Insurance is also available to APA members through the [American Insurance Trust](#), or The Trust. The Trust offers Professional Liability Insurance especially for graduate students

designed to cover activities such as practica or internships. With this policy, you will always be protected from lawsuits resulting from participation in graduate curriculum, no matter when the suits are filed, subject to the terms and conditions of the policy. For more information, visit their website and visit their [student page](#).

FINANCIAL AID

Financial assistance is available through the financial aid office. Services available include scholarships, loans, grants, tuition remission, fellowships, and more. Students can apply for financial aid if they are U.S. citizens or eligible non-citizens and are admitted to the university. Students holding an F-1 or J-1 visa are not eligible to apply for federal or state financial assistance, but may apply for scholarships, fellowships, assistantships and some work programs.

The [UAA Financial Aid Office](#) is located at the University Center (907-786-1480). For those admitted prior to Fall 2017 and reside at UAF, the [UAF Financial Aid Office](#) is located in the Eielson Building (907-474-7256), financialaid@uaf.edu.

The Financial Aid Office(s) can provide information and application forms for various grants, loan programs, scholarships, and employment opportunities. Students need to be prepared to show their letter of admission to the Ph.D. Program, to complete a financial aid form (Anchorage code is 011462; Fairbanks code is 001063), and to satisfy other paperwork specific to the type of funding for which a student is applying. Students may need to bring or document income tax returns, family size, and dependent status, as well as satisfactory academic progress. Students in the Ph.D. Program who do not receive sufficient loan funds through the federal programs are encouraged to apply to the [Alaska Student Loan Program](#), which has excellent terms and allows graduate students to borrow up to \$9,500 per year.

ASSISTANTSHIPS

The Ph.D. program endeavors to provide support for graduate students through assistantships. The availability of such support is subject to several factors, including the budget received by the Ph.D. Program and procurement by faculty of research and training grants from external agencies.

There are at least four types of assistantships, namely, teaching assistantships, research assistantships, service assistantships, and clinical assistantships. Teaching assistantship duties may include lecturing, leading discussion groups, serving as an assistant to laboratory classes, counseling students, proctoring examinations, grading tests and papers, and providing general assistance in the instructional process. Research assistants perform research part-time under the direction or supervision of regular faculty members or support the research initiatives of the institution. Service assistantships are located within the university system, typically within the department or programs and involve a range of administrative and teaching duties. Clinical assistantships are located in community behavioral health agency and involve clinical or community services delivery under the supervision of a faculty member.

Graduate assistantship hours are to be approved by the direct supervisor and may be awarded for any number of hours up to 20 hours per week during the academic year. During the summer and

school breaks (including Christmas and spring breaks), graduate students may work up to 40 hours per week. Graduate assistants with a full-time (20 hours/week) assistantship are not allowed to work as a part-time instructor, take another student position, or work in any other capacity for the university or an outside entity, unless an exception is approved by the Dean of the Graduate School, the PD, the student's advisory committee, and college dean, *prior to the work being performed*. Graduate students must be enrolled full-time (9 credits or more) to be eligible for an assistantship; audited classes do not count toward full-time classification. There are no exceptions to this policy.

Assistantships carry with them an hourly stipend, tuition award eligibility and health insurance. Tuition remission policies are rigorous and only courses directly related to the Ph.D. Program will be covered by a tuition award (that is, recreation classes or similar courses are not covered). The following tuition remission rules apply:

- Teaching assistantships includes a payment of tuition made by the University:
 - If the workload is 15-20 hours a week, tuition will cover up to 9 graduate credits.
 - If the workload is 10-14 hours a week, tuition will cover up to 5 graduate credits.
 - If the assistantship is for less than 10 hours a week, it does not include tuition remission.
 - The assistantship appointment begins on or before the first day of instruction and ends on or after the last day of final exams for the semester.
- Research assistantships include a payment of tuition by specific grants/contracts:
 - If the workload is 15-20 hours a week, tuition will cover up to 9 graduate credits.
 - If the workload is 10-14 hours a week, tuition will cover up to minimum of 5 graduate credits.
 - If the assistantship is for less than 10 hours a week, it does not have to include tuition remission, although it can if the grant/contract has tuition money available.

PLANNING FOR THE ASSIGNMENT OF ASSISTANTSHIP

The PD assess assistantship needs for each academic year. The PD will consult with the Principal Investigators (PIs) on research grants, faculty likely to support students, and outside agencies that might have assistantships available in order to prepare a plan to support all eligible students who need assistantships.

When requesting a teaching assistantship, students are asked to indicate the courses for which they would most like to serve as a TA. Prior to submitting their requests, students should talk to course instructors, PIs, and directors about the various types of assistantships available to them.

Assistantship assignments are made before every fall semester. Students who accept teaching assistantships will not be permitted to change them after these dates unless a suitable individual can be found to replace them. Although the PD makes every attempt to assign students to the assistantship they requested, there is no guarantee that students will receive their first choice. Students are permitted to decline assistantship offers.

TEACHING ASSISTANTSHIPS

Students should take advantage of veteran TAs and professors in the department for advice and tips on class management. There are a variety of resources online to help new TAs organize their class, facilitate lectures, and address problems as they arise.

The Psychology Department offers Teaching Practicum in Psychology. This 3-credit course provides an opportunity to learn basic principles of classroom teaching under close faculty supervision. All teaching assistants are required to enroll in this course the first time students become the instructor of record. (Students who serve as an assistant to an instructor of record are encouraged, but not required to take the class). This course may be repeated if permitted by the instructor.

Some things to consider are:

- Learn your students' names right away.
- Talk with students informally before or after class. Arrive a few minutes early and don't race out of the room when class is over.
- Make eye contact with your students while speaking.
- Try different techniques to draw all students into the discussion.
- Listen carefully to what students say and respond thoughtfully.
- Admit when you don't know an answer and find out the answer before the next class.
- Encourage discussion by asking questions that could have a variety of answers.
- Know that students are under a lot of stress from course work and other deadlines outside of your class.
- Keep your posted office hours and make sure you check your email often for students who have questions.

Teaching assistantship assignments may be available during the Summer semester, but summer TA opportunities are limited. There is no guarantee that a teaching assistantship will be available for all students who want them during any given summer semester and students should not count on teaching opportunities for income during the summer months.

RESEARCH ASSISTANTSHIPS

Research assistants have highly varied tasks and responsibilities, depending on the field of research and the specific project. The key to success as a research assistant is good and frequent communication with the supervising faculty member. Most supervisors will explain their expectations shortly after students join their project, but it's important to ask for more information if the instructions are not entirely clear or don't seem complete. It is also important to report progress honestly and on a regular basis, immediately inform the faculty member if serious problems arise, and to ask for help if needed. One general requirement is to document everything very carefully and completely in connection with the research project.

NOTE: Students who are interested in a research assistantship must apply directly to the faculty member or other identified member associated with the assistantship for evaluation and approval.

Following is some information that students should have as a research assistant, preferably before committing to a particular project:

1. What, specifically, is expected to be accomplished?
2. What deadlines exist? Are these somewhat flexible or are they unchangeable? (Note, for example, that some funding agencies require reports by certain dates and may impose serious penalties, like withdrawing funding, for not complying).
3. What records are expected to be kept and in what format?
4. How often are progress reports expected? What format, written or oral reports?
5. Are there any scheduled activities that must be attended, without fail? For example, remote field research often has to be conducted on specific dates, because the logistical arrangement and/or scheduling of other participants are very complex.
6. Are there any unusual physical, travel, or other requirements of which assistants should be aware? For example, some field research requires unusually good physical condition. Some research requires long periods (many months per year) away from home.
7. What times and days or dates are students expected to be present in the lab or office? (Supervisors should consider assistants class schedule in setting their RA schedule.)
8. How long will the research assistantship last?

Currently, all research assistantships within the Ph.D. Program are funded through extramural grants and contracts obtained by individual faculty members. Students are placed only in research assistantships that have funding. Additional unpaid research assistantships may be available to students who are interested in research activities conducted by non-funded faculty members if they are not in need of financial support through this work.

PROBLEMS OR CONCERNS WITH ASSISTANTSHIP PERFORMANCE

The student's assistantship supervisor serves as the initial point of contact for problems or concerns regarding the student. If the problem or concern pertains to student performance or conduct, the student would be provided with immediate written feedback via the Assistantship Evaluation Form. If necessary, a remediation plan will be developed and implemented by the supervisor, in consultation with the PD. Following the implementation of the remediation plan, the student will be provided written feedback on the extent to which corrective actions have or have not been successful. Should the problem or concern persist, the Dean(s) or appropriate University administrators will determine what university entities (e.g., HR, Dean of Students) will be involved for resolution.

SCHOLARSHIPS

Scholarships are available from several different sources. Early applications are strongly encouraged. Privately funded scholarship applications are due February 15. The Financial Aid Office coordinates scholarship applications. [UAA Applications](#) and [UAF Applications](#) are available online. [University of Alaska Foundation Scholarships](#) are available for students attending any campus in the UA system. Applications are available in the [UA Foundation](#) online.

POST-GRADUATION LOAN REPAYMENT PROGRAMS

The [National Institutes of Health](#) (NIH) has eight loan repayment programs. In exchange for a two or three-year (for Intramural General Research) commitment to your research career, NIH will repay up to \$35,000 per year of your qualified educational debt. In addition, the NIH will make corresponding Federal tax payments for credit to your Internal Revenue Service tax account at the rate of 39% of each loan repayment to cover your increased Federal taxes. The NIH may also reimburse any increased state or local taxes and/or additional increased Federal taxes (where the Federal tax payments were not sufficient to fully cover your increased Federal taxes) that you incur as a result of your LRP benefits. For more information on the various NIH loan repayment programs, visit their [website](#).

The State of Alaska Health and Social Services supports health care access through loan repayment through the Supporting Health Care Access (through loan) Re-Payment (SHARP). For more information on SHARP, visit their [website](#).

PART TWO: PROGRAM OVERVIEW AND REQUIREMENTS

The following is an overview of the program and its requirements for the current AY20-21. For students admitted prior to Fall 2020, please follow the catalog copy for the year you were admitted. Areas within the requirement below that have further details and explanations within the Student Handbook are identified with reference to the page.

PH.D., CLINICAL–COMMUNITY PSYCHOLOGY

The [Ph.D. program in Clinical-Community Psychology](#) is accredited by the American Psychological Association* as a clinical psychology program.

The Ph.D. program in Clinical-Community Psychology with Rural, Indigenous Emphasis integrates clinical, community and cultural psychology with a focus on rural, Indigenous issues and an applied emphasis on the integration of research and practice. The program advances academic excellence, promotes innovative and practical research, and provides solid graduate training in clinical-community psychology.

The program ensures that graduates have obtained the full range of clinical training mandated for doctoral-level clinical psychologists and will be adequately prepared for licensure as psychologists.

*Questions related to the program's accredited status should be directed to the Commission on Accreditation: Office of Program Consultation and Accreditation American Psychological Association, 750 1st Street, NE, Washington, DC 20002; Phone: (202) 336-5979, Email: apaccred@apa.org Web: www.apa.org/ed/accreditation

PROGRAM STUDENT LEARNING OUTCOMES

Students graduating with a Ph.D. in Clinical-Community Psychology will be able to demonstrate:

- Culturally grounded knowledge and skills in scientific inquiry.
- Competency in using the research and evaluation skills to disseminate new knowledge and inform clinical and community practice.
- Culturally grounded knowledge and skills in rural clinical-community practice.
- Competence in developing and implementing culturally relevant prevention and intervention efforts and programs.
- Culturally grounded knowledge and skills relevant to social and healthcare solutions.
- Competency to facilitate policy and social change.

GRADUATION REQUIREMENTS

- Complete the university requirements for graduate degrees as outlined in the UAA catalog.
- Complete the program and additional requirements listed below.

PROGRAM REQUIREMENTS

Students must complete the required course, dissertation, doctoral internship, and electives. Students must accumulate a minimum 115 credits to graduate and must have completed all required coursework. Graduate course work completed at other universities cannot be used to waive required courses.

Cultural experience: During their time in the Ph.D. program, students must participate in a cultural experience as defined by program faculty. The actual experience will vary from year to year, but includes direct exposure to Alaska Native and other cultural worldviews, values and life experiences through contact with cultural elders and advisors. [See Part One: Cultural Experience Requirement pages 4-6.](#)

| Course Number | Course Title | Credits |
|---------------|---|---------|
| PSY 602 | Native Ways of Knowing | 3 |
| PSY 604 | Biological and Pharmacological Bases of Behavior | 3 |
| PSY 605 | History and Systems | 1 |
| PSY 607 | Cognition, Affect, and Culture | 3 |
| PSY 611 | Ethics and Professional Practice | 3 |
| PSY 612 | Human Development in a Cultural Context | 3 |
| PSY 616 | Program Evaluation and Community Consultation I | 3 |
| PSY 617 | Program Evaluation and Community Consultation II | 3 |
| PSY 622 | Multicultural Psychopathology | 3 |
| PSY 623 | Intervention I | 3 |
| PSY 629 | Intervention II | 3 |
| PSY 632 | Community Psychology Across Cultures | 3 |
| PSY 633 | Tests and Measurement in Multicultural Context | 3 |
| PSY 639 | Research Methods | 3 |
| PSY 640 | Substance Abuse: Etiology, Treatment and Assessment | 3 |
| PSY 652 | Practicum Placement - Clinical I | 6 |
| PSY 653 | Practicum Placement - Clinical II | 6 |
| PSY 657 | Quantitative Analysis | 3 |
| PSY 658 | Qualitative Analysis | 3 |
| PSY 672 | Practicum Placement - Community I | 3 |
| PSY 679 | Multicultural Psychological Assessment I | 3 |
| PSY 684 | Clinical Supervision and Consultation | 3 |
| PSY 686 | Predoctoral Internship (6) | 18 |
| PSY 687 | Multicultural Psychological Assessment II | 3 |
| PSY 698P | Research Project | 3 |
| PSY 699D | Dissertation (1-9) | 18 |
| | Electives | 3 |

A total of 115 credits is required for the degree.

ADDITIONAL REQUIREMENTS

INTEGRATION SEMINAR

First-year and third-year students are required to attend a monthly 1-hour lecture series that introduces current trends in community, clinical and multicultural psychology.

RESEARCH COMPETENCY

(See Part Three: Doctoral Student - Research Competency page 21)

Research competency is demonstrated through preparation of a research portfolio that will be evaluated by an ad hoc committee. Criteria for the research portfolio will be clearly defined and samples will be provided for students. Students must demonstrate research competency before advancing to candidacy and enrolling in dissertation credits.

CLINICAL COMPETENCY

(See Part Three: Doctoral Student - Clinical Competency page 30)

Clinical competency is demonstrated through preparation of a clinical portfolio that will be evaluated by an ad hoc committee. Criteria for the clinical portfolio are clearly defined and samples will be provided for students. Students must demonstrate clinical competency before applying to advance to predoctoral internship and must pass the clinical competency before starting PSY 686 Predoctoral Internship.

COMMUNITY COMPETENCY

(See Part Three: Doctoral Student - Community Competency page 45)

Community competency is demonstrated through preparation of a community portfolio that will be evaluated by an ad hoc committee. Criteria for the portfolio will be clearly defined and samples will be provided for students.

ADVANCEMENT TO CANDIDACY

(See Part Three: Doctoral Student - Advancement to Candidacy page 51)

Before students are allowed to register for dissertation credits, they will be reviewed for performance by the committee, using existing university standards and forms for advancement to candidacy. Review will be based on faculty experience with the student to date, submitted paperwork and the student's progress through the program. Feedback from the review will be provided to the student by her or his advisor. To advance to candidacy, students must also have received at least a conditional pass on their comprehensive exam. The program defines the comprehensive exam as being met through passing the required competency portfolios. Passing the research portfolio qualifies the student for a conditional pass on the comprehensive exam,

which is sufficient for advancement to candidacy. All portfolios must be passed for the comprehensive exam to be fully passed.

DOCTORAL DISSERTATION PROPOSAL DEFENSE

(See Part Four: Doctoral Candidate – Stage Two - Doctoral Dissertation Proposal page 60)

Before commencing data collection for a dissertation project, students must defend their proposal to their dissertation committee. The defense must be based on a written dissertation proposal to be distributed to the dissertation committee after approval by the dissertation chair. The defense will be an oral presentation to the committee by the student and will not be a public meeting. For data-collection based dissertations, the proposal must also be approved by the UAA Institutional Review Board before data collection can commence.

DOCTORAL DISSERTATION

(See Part Four: Doctoral Candidate – Doctoral Dissertation page 52)

A doctoral dissertation must be carried out successfully and approved by a doctoral dissertation committee. The dissertation committee will consist of at least four members. Content areas can vary widely, but must be related to clinical, community, or cross-cultural issues and applicable in Alaska settings.

ADVANCEMENT TO INTERNSHIP

(See Part Five: Doctoral Interns – Doctoral Internship page 73)

Students must pass the research and clinical portfolios and at least conditionally pass their dissertation proposal defense before applying to advance to PSY 686 Predoctoral Internship. In addition to passing the research and clinical portfolios and conditionally passing the dissertation proposal defense, students must apply to the PD, by September 30 (the fall semester prior to the year during which the student seeks to complete the internship) stating their intent to advance to internship. For most students this will mean that the application needs to be made in the fall of the fourth year in the program. The PD will notify the core faculty committee, who will review each student's coursework, ensure that adequate progress has been made toward all prior milestones (i.e., research competency, clinical competency, community competency, doctoral dissertation proposal defense, and advancement to candidacy) before approving the student for internship and before writing a letter of support for the student.

INTERNSHIP (PSY 686)

(See Part Five: Doctoral Interns – page 71)

A full-time, 18 credits (one-year) doctoral internship is required. This internship should meet the criteria laid out by the American Psychological Association; selection of an Association of

Psychology Postdoctoral and Internship Centers (APPIC)-approved internship is encouraged. Placements in Alaska are preferred, but not required.

APA ETHICAL GUIDELINES

(See Part Seven: Appendices page 101)

Strict compliance with APA ethical guidelines is required throughout participation in the degree program. Violations can result in immediate dismissal from the program and failure to graduate. Completion of an annual disclosure statement is also required. Affirmative answers may result in dismissal from the program and failure to graduate.

PART THREE: DOCTORAL STUDENT

DEMONSTRATING PROFESSIONAL COMPETENCY

Students in the Ph.D. program in Clinical-Community Psychology are required to demonstrate professional competency in the areas of clinical psychology, community psychology, and research with an emphasis on service delivery in a rural and Indigenous context. Competency is demonstrated through the preparation of a Research Portfolio, Clinical Portfolio, and a Community Portfolio. Each portfolio will be evaluated by members of the Competency Committee

RESEARCH COMPETENCY

The *Ph.D. Program in Clinical-Community Psychology* is a scientist-practitioner model program. In 1949, a seminal conference in Boulder, CO articulated a model of training for practitioners in psychology that distinguished clinical psychology as a health discipline grounded in a scientist training model. Later termed the Boulder Model, the conference articulated a practitioner-scientist model of training defining practice as science grounded in an evidence base also derived using the scientific method. In the Boulder Model, clinical-community psychologists are trained to be equally competent scientists and practitioners; their health profession role combines both skills areas. Three underlying assumptions guide this training model:

- Training is apprentice-based in direct clinical-community practice and in research, combining applied, practicum based coursework similar to that found in a medical school, with the research training typically found in the sciences.
- Clinical-community intervention (psychotherapy, assessment, community-level intervention) is understood as scientific inquiry that is data and hypothesis driven, and conceived as single case experiment.
- Research in psychotherapy, assessment, and psychological intervention requires a researcher who is a competent skilled clinician in the intervention he or she wishes to study.

In the doctoral program, students will receive strong grounding in research design and analysis, particularly as pertinent to community-based, applied research. Extensive research-related coursework in the program provides a knowledge base and hands-on practical experience; research assistantships and a required research project provide opportunities to apply this knowledge; and a required dissertation gives opportunity to conduct independent research as a demonstration of the cumulative research skills and knowledge gained throughout the program.

Research competency adequate to begin the doctoral dissertation is demonstrated through the preparation of a Research Portfolio that will be evaluated by research-trained faculty members.

RESEARCH PORTFOLIO

The Research Portfolio involves completing the following four components (described on subsequent pages):

- Research Proposal
- IRB application/approval
- Journal manuscript (Submission-worthy, though submission is not required)
- Presentation at UA Behavioral Sciences Conference of the North, UAF Campus Research Day, UA Biomedical Research Conference, UAF Midnight Sun, or other local, regional or national conferences)
- Students will work with one faculty research advisor (primary mentor) who will mentor the student in the conceptualization, implementation, and completion of the project. Students should seek out a faculty member from the psychology department who is able and willing to serve in this capacity. The faculty research advisor need not necessarily be a Ph.D. core faculty or academic advisor.
 - If a student wishes to have the research advisor outside of the psychology department, the student must submit a memo to the PD explaining why the advisor has been selected, including the individual's relevant research expertise in the subject area and/or methodology.
- The faculty research advisor and the student will identify a faculty member (secondary mentor) to assist with the implementation and completion of the project. This faculty member does not need to be a member of the psychology department (e.g., may be faculty member from another institution), but should be active in research (e.g., have research in their workload, recent publications).
- At least one of the two faculty members must be core faculty in the Ph.D. Program in Clinical-Community Psychology.
- It should be noted that selecting a faculty research advisor is an active process and a formal supervisory relationship must be established. Students should not assume that a faculty member who teaches a course in which a proposal was created will serve as their research advisor.
- Students are responsible for formulating research questions and performing data analysis. The proposed project must employ a quantitative, qualitative, or mixed methods research method/approach.
- The project may involve the use of existing data (e.g., national dataset, faculty dataset); therefore, the student is not required to collect primary data. The existing data must be initially approved by the research advisor.
- Students who entered the program with a master's degree in which a thesis was completed may use their thesis as the basis for their research project. Students who choose this option must submit their thesis to their advisor for an assessment of whether the thesis work is consistent with expectations of a research project for the program (e.g.,

adequate research design). After their advisor has assessed that the project meets these expectations, the student must produce a journal manuscript based on this work. This product will be evaluated in the same manner as other projects; however, there is no need to complete the proposal component described below.

- Students must complete the appropriate CITI training prior to engaging in any data gathering or analyses. Visit the [UAA IRB Training and Certification](#) websites for further information. CITI certificates are required as part of a complete project and must be included in the final submission. Copies of the CITI certificates must be submitted to the Program Coordinator for inclusion in the student's file.
- Students are encouraged to develop and complete the project while/or after taking research methods and statistics, and are encouraged to complete the project by the end of their 2nd year.
- Students are required to complete and submit their research portfolio prior to enrolling in dissertation credits.
- Students should submit their research portfolio electronically to the Program Coordinator.
- A third reviewer for the project will provide a review if there is disagreement between the research committee members.
- Students have the option of making their completed Research Portfolio available for other students to use for guidance in developing their own projects.

RESEARCH PORTFOLIO – DESCRIPTION OF THE FOUR COMPONENTS

The following four components comprise the Research Portfolio:

- 1) Research Proposal
- 2) IRB application/approval
- 3) Conference Presentation
- 4) Journal manuscript (submission-worthy, though submission is not required)

Component 1: Research Proposal

The research proposal must be signed-off by the student's chosen primary mentor and secondary member prior to conducting research. The research proposal should include the following:

- 1) Title page
- 2) Abstract (200-300 words, written in future tense, should be on its own page)

The abstract should succinctly describe the issue you are addressing and the significance of this issue, your hypotheses or research question, your proposed research design and methods, and the implications that may will come from your results.

3) Introduction (3-5 pages)

Through a literature review, describe the background of issues/topic and any previous research that has led to your proposed research (e.g., previous findings, relevant theory). In describing and critically evaluating the existing literature, identify the gap in knowledge that your study is intended to fill. Include hypotheses or research questions that will be addressed.

4) Method (3-5 pages)

This section should concisely describe the proposed study method and subsections should be consistent with journal manuscript subsections typically found in your area of study.

These may include:

- Participants
- Participant recruitment and sampling procedures
- Assessments, measures, interventions
- Data collection methods
- Data management
- Data analysis plan
- Sample size determination, power calculations
- Analysis plans

5) References (APA style; as many pages as necessary)

Formatting:

The research proposal should be in 11-12 point font, double-spaced, have 1-inch margins, include a running head with page numbers, and a title page.

Component 2: IRB Application

All students are required to have completed the Collaborative IRB Training Initiative (CITI) Human Subjects Research Educational Program.

Students conducting research that involves human subjects are required to submit all protocols and materials for review and approval by entities that provide this research integrity oversight; including, but not limited to the UAF or UAA Institutional Review Boards. To do this, students will need to register to create an account with their IRBnet.

Students should submit all IRB forms required for their particular study. Students working on a research project subsumed in an existing research protocol do not need to submit IRB forms, as long as the student is on the protocol and the study fits within the approved scope of the existing IRB.

If students are using an existing thesis to complete their research project they should submit documentation of their IRB approval for the project and should have an up-to-date CITI training certificate.

Component 3: Conference Presentation

Students who have completed their research project will present (as a poster or oral presentation) their research process, findings, and the implications of their work during a conference. Students may present this work at an international, national, regional, or local conference (such as the Behavioral Science Conference of the North).

For students who are using an existing thesis to complete their research project, they must likewise provide documentation that their project was presented at a conference. This may have been completed prior to beginning the program or after matriculation.

Component 4: Journal Manuscript

With the faculty research advisor, students will:

- Identify a journal to which the manuscript could be submitted, and
- Develop manuscript per the journal's author guidelines.

The proposed guidelines detailed below provide a general outline for the manuscript.

Please note: When submitting an article to a specific journal, be sure to carefully follow their specific Author Guidelines (usually found on their website or in the actual journal). It is helpful to look at other articles already published in the journal to see how they are structured.

Cover page: Title and authorship, key words

Abstract (usually 150-200 words, on its own page). Might be unstructured or structured (e.g., objective, design or setting, participants, conclusions) or non-structured depending on the selected journal.

Introduction. Provide an overview of the topic. Here, students should set the stage for their research by providing a rationale for the study, and how it broadly relates to the literature. Describe hypotheses or questions that will be addressed in the manuscript.

Method/Design

- Participants
- Participant recruitment and sampling procedures
- Assessments, measures, interventions
- Data collection methods
- Data management
- Data analysis

Results

Discussion/Conclusion. Summarize the main findings and discuss the findings within the context of existing literature. Discuss the strengths and limitations of the research. Present implications of the study for future research and practice. Provide a summary of conclusions.

References (see guidelines for required format, such as APA, Oxford, Harvard, MLA).

Tables & Figures

SUBMITTING THE FINAL RESEARCH PORTFOLIO

Students can submit portfolios at any time, but for specific milestone deadlines, students are encouraged to submit on the following review cycles *:

| | |
|--|--|
| To have a portfolio reviewed in time to start an activity for which a passed portfolio is required by: | The portfolio <u>MUST</u> be submitted during the prior semester, <u>NO LATER THAN</u> the following deadline: |
| Spring Semester | October 1 |
| Summer Semester | February 1 |
| Fall Semester | April 1 |

*The dates above are deadline dates, portfolios/projects and any subsequent revisions maybe submitted for review at any time. The committee has 30 days upon receipt to review portfolio submissions.

As mentioned under General Description above, students shall submit their completed Research Portfolio electronically to the Program Coordinator for final review by the students' research committee members. The submission should include the following:

- Research proposal
- IRB forms and letter(s) of approval
- CITI certificate
- Slides or PowerPoint poster including description where project was presented
- Manuscript

Passing the **Research Portfolio** meets the criteria for having a conditional pass of the comprehensive exam. Students are required pass their research portfolio prior to enrolling in dissertation credits. **The research portfolio and clinical portfolio must be fully passed by the spring semester and the dissertation proposal must be at least conditionally passed prior to applying to Advance to Internship the following fall semester.**

INSTITUTIONAL REVIEW BOARD

CITI PROGRAM FOR THE PROTECTION OF HUMAN RESEARCH SUBJECTS

Before conducting research, all students must complete the mandatory CITI Program for the Protection of Human Research Subjects.

The CITI program provides the opportunity for individuals involved in research activities involving human participants to properly document their knowledge and understanding of the basic ethical principles and regulations governing our activities. This is a web-based instructional program that can be accessed via either the [UAF](#) or [UAA](#) website. After completing this program, students need to print two copies of the certificate of completion, one for their own records and one for their official program file housed in the office of the Program Coordinator.

Additionally, all students involved in research funded through the National Institutes of Health may be required to complete the [Protecting Human Research Participants program](#). As with the CITI Program, the NIH program is a web-based instructional program that presents information about the rights and welfare of human participants in research. If required to complete this program, students need to print two copies of the certificate of completion, one for their own records and one for their official program file housed in the office of the Program Coordinator. Students involved in research funded through the National Institutes of Health also need to print off a third copy for the PI of the study. Students need to check with their assistantship or advisor to determine if they are required to complete this educational program.

INSTITUTIONAL REVIEW BOARD PROCEDURES

The UAF and UAA IRBs have provided guidance to the Program regarding program evaluation proposals, documents to include in student dissertations, and what entities outside of the university should be giving IRB approval for research proposals.

IRB Procedures for Program Evaluation Proposals

Federal guidelines stipulate that research is any systematic investigation including research development, testing and evaluation, designed to develop or contribute to “generalizable knowledge”. If there is any chance that program evaluation results may eventually be communicated beyond the program evaluation site administrators or classroom audience via public presentations or publication, then IRB review and approval is required prior to the initiation of research. Communication with a broader audience is what defines research products as generalizable knowledge. If research is developed solely for a specific audience (such as program evaluation site administrators) then it falls outside of the IRB purview. However, both IRBs recognize that Ph.D. students are developing research portfolios and are likely to share program evaluation results publically. The UAA and UAF IRBs are very interested in helping support student success and strongly encourage students to submit program evaluation proposals as it is in their best interests to share project evaluations results beyond the specific program administration audience.

IRB Documents to be Included in Dissertations

At a minimum, dissertations must include:

- the IRB approval letter;
- the annual IRB re-approval letter; and
- letters of support from community members/agencies (if applicable and required for the IRB submission).

Dissertations might also include:

- variations of research protocol,
- reports of adverse incidences sent to the IRB,
- final IRB report (if it is available at the time of dissertation submission; this report has to be submitted to the IRB when all work on the dissertation data is complete); and
- annual progress reports.

Campus IRB Approval

Students submit their IRB proposal to their resident campus IRB for review and approval.

WORKING WITH ALASKA NATIVE COMMUNITIES

If students are working with an Alaska Native community, the student should ask the community if they have a research review board; and if they do, the student should follow the community review board's procedures. These local review boards often negotiate how research results will represent their communities and thus how the research will be presented, what kind of input the community will have, and what information gets disseminated are the important issues to be worked out before submitting a proposal to the IRB. Working with specific Alaska Native communities also requires coordination and possible review with the [Alaska Area IRB](#). Research involving Alaska Native students enrolled at any of the main UA campuses typically does not require review by the Alaska Area IRB nor local Alaska Native community research review boards as the students come from a wide range of communities and there is no salient representative review board other than the general review boards represented by the UAA or UAF IRBs.

INSTITUTIONAL REVIEW BOARD PROCEDURES AT UAA

The [University of Alaska Anchorage Institutional Review Board](#) is committed to protecting the interests of research subjects and promoting the responsible conduct of human subjects research. The primary responsibility for ensuring that the research is conducted in the appropriate manner rests with the researcher. To this end, the researcher is responsible for ensuring that:

- The subjects meet selection and eligibility requirements.
- The research is approved by the IRB and conducted according to the protocol.
- Subjects' informed consent is appropriately obtained.
- The study is properly designed and scientifically valid.

The IRB was established by the Provost and Office of Academic Affairs to protect the interests of research subjects. The main role of the IRB is the review of all human subjects research conducted at UAA to ensure that the research fulfills the requirements of the federal regulations. The IRB reviews research proposals according to the following criteria:

- Are the risks to subjects minimized?
- Are the risks reasonable in relation to anticipated benefits?
- Is the selection of subjects equitable?

THE IRB PROCESS AT UAA IS AS FOLLOWS:

To [submit a proposal](#) to the Institutional Review Board (IRB), you need to do the follow the instructions provided for the various levels of review as outlined on the website.

INSTITUTIONAL REVIEW BOARD PROCEDURES AT UAF

The [Institutional Review Board at the University Alaska Fairbanks](#) is committed to protect human participants involved in research conducted by or through the University of Alaska Fairbanks, and to ensure research is conducted in accordance with ethical principles and all applicable regulations.

The Institutional Review Board (IRB) was established at UAF in the early 1990s. The University currently operates under a Federalwide Assurance (FWA) with the Office of Human Research Protection (OHRP) and is guided by the ethical principles of the Belmont Report. Research involving human participants as research subjects may receive approval by the IRB however may require further review and approval or disapproval by officials of the institution. University officials outside of the IRB process may not approve the research if it has not been approved by the IRB. It is each researcher's responsibility to assure compliance with the requirements of the University's FWA. Failure to appreciate and maintain compliance will place all funded and unfunded human subject research at UAF at risk. UAF has specific policy regarding the involvement of human subjects in research based on the federal requirements specified in 45 CFR 46. This policy is applicable to all human subjects research done at UAF, funded through UAF or conducted by UAF personnel.

[Protection of Human Research Participants](#)

THE IRB PROCESS AT UAF IS AS FOLLOWS:

To [submit a proposal](#) to the Institutional Review Board (IRB), you need to follow the instructions provided for the various submissions as outlined on the website.

CLINICAL COMPETENCY

Training and development of clinical competency is done in a stepwise, cumulative manner. First, development of foundational skills and knowledge are established. This is followed by supervised clinical practicum in the university training clinic (Clinical Practicum I). Once students have demonstrated a sufficient level of clinical competency in the training clinic, students are then approved for and placed in clinical practicum in community settings (Clinical Practicum II) for further development of clinical competency with more complex cases. All students are required to complete, at a minimum, four semesters of clinical practicum. The practica will take place in a professional setting that requires a high degree of commitment, ethical behavior, and professional conduct. The experience requires considerable self-reflection and result in significant personal as well as professional growth. It is both time intensive and emotionally demanding.

Practicum can be an intense experience that often leads to a broad range of emotions that include: anxiety, fear, sadness, exhilaration, joy, confusion, or excitement. Whether feelings are positive or negative, they are often strong and can be disconcerting. Fortunately, all students going through the practicum experience will have similar reactions; this gives students the opportunity to process their emotions with their peers in the program. Students can meet formally or informally to discuss and process their experiences. This kind of mutual support is important and encouraged by faculty members because it is an integral part of the mental health training experience. Students should expect to discuss their reactions in group or individual supervision as well, both on their own initiative and when prompted by their supervisors. Processing reactions to practicum work is an important way to attend to personal needs. It is a helpful way to discover similarities with colleagues and to recognize when personal reactions may be entering into the therapy students conduct with their clients. Personal self-growth is an essential aspect of becoming a Clinical Community Psychologist.

CLINICAL PRACTICUM

All students enroll in the Clinical Practicum I and II sequence for a minimum of four semesters. Students can repeat Practicum I and/or II to get additional clinical experience; this may also be necessary to meet program requirements as outlined in the Clinical Portfolio. Students must repeat practica for which they receive a grade lower than B and may be asked to repeat practica not passed with an A.

The *Clinical Practicum Evaluation* form must be completed by the supervisor twice a semester for each Clinical Practicum evaluating the current level of progress and competence in the practicum site (see [Program's Blackboard](#) under Clinical Competency for *Clinical Practicum Evaluation* form). Completed evaluations are to be signed by the supervisor and the student. A copy of the signed document is to be placed in the trainee's permanent program file. It is expected that students gain their primary clinical experience through Clinical Practicum I and II; however, students may want to gain clinical experiences through other courses as well. For example, as part of Group Therapy, students may be placed at an agency conducting groups; as part of Family Therapy, students may participate in family therapy experiences at local agencies. Such clinical hours can be counted toward totals required in the Clinical Portfolio.

The program encourages students to use [Time2Track](#), [PsyKey](#), or other database of their choosing (e.g., MS Excel, see [Program's Blackboard](#) under Clinical Competency for *Clinical Practicum Hours Log*) for practicum hours to get logged and placed in correct categories as outlined on the APPIC application; however students are not required to use either one of these services.

Only direct contact hours with actual clients count toward this minimum; practice or mock therapy are not to be included. A practicum hour is defined as a clock hour, not a semester/quarter hour. A 45-50-minute client/patient hour may be counted as one practicum hour. When calculating practicum hours for time less than 45 minutes or more than 1-hour round to the nearest quarter hour. Sum hours should be rounded to the nearest whole hour. For example, 1:45 would be recorded as 2 hours; 8 minutes of client contact would be rounded to 15 minutes and 23 minutes would be rounded to 30 minutes.

To obtain this level of client contact hours, students must carefully plan their clinical practicum experiences. For most students who are new to clinical practice, it will be most realistic to assure a sufficient number of contact hours through the completion of a minimum of five clinical practica (i.e., repeating Clinical Practicum I or II.). Students with some clinical experience may attempt to gather all their hours through four clinical practica by carrying heavy caseloads during their practica.

Currently, practicum supervisors recommend that students plan on 17 weeks of at least 15 hours of work per week for each clinical practicum, with a minimum of 40% of that time spent in direct client contact and a recommended 50% to 60% of that time spent in direct client contact. As noted in the 300-hour example below, obtaining all contact hours during two practica is possible if the student maintains a heavy client contact load and/or spends more than the minimum 15 hours per week in practicum. Given these recommendations, the following contact hours can be reasonably expected depending on students' choices about caseloads:

| | | | |
|-----------------------------|--|--|--|
| <i>Number of weeks</i> | 17 | 16 | 15 |
| <i>Total hours per week</i> | 15 | 15 | 15 |
| <i>40% client contact</i> | 102 | 96 | 90 |
| <i>50% client contact</i> | 127.5 | 120 | 112.5 |
| <i>60% client contact</i> | 153 | 144 | 135 |
| | | | |
| Portfolio Requirement | 600 | 600 | 600 |
| Conclusions | Four practica needed if client contact is 60%; supplemental hours* necessary if client contact falls below 60% | Four practica and supplemental hours* or five practica needed depending on client contact percentage | At least five practica needed; supplemental hours* also needed if client contact falls below 40% |

* spending additional hours each week beyond the minimum of 15 and/or supervised clinical hours in a clinical setting obtained through clinical courses other than practicum (e.g., group therapy, family therapy) or in some cases, clinical research activities that have been pre-approved by the PD.

TRACKING CLINICAL HOURS

It is imperative that students track **ALL** of their clinical hours accrued through Practicum I and II, including (a) face-to-face intervention, (b) face-to-face assessment, (c) supervision, and (d) support hours (i.e., all of the hours students spend at their practicum site in clinically-related

activities that do not involve their interaction with clients). Students are expected to accrue 75 hours TOTAL per credit students register for in Clinical Practicum I and II, and at least 40% of these hours should be face-to-face intervention or assessment. The other hours can include supervision, consultation group, and support hours at their site. To receive a grade in Clinical Practicum I and II, students must provide evidence that they have met the minimum number of hours required for the credits for which they have registered. For example, a typical student registered in three credits of practicum must accrue 225 total hours.

In addition to tracking their hours, students will need to track the settings where they accrue their hours and demographic characteristics of their clients. Consequently, as aforementioned, the program encourages students to use [Time2Track](#), [PsyKey](#), or other database of their choosing (e.g., MS Excel, see [Program's Blackboard](#) under Clinical Competency for *Clinical Practicum Hours Log*). Students who choose to calculate hours on their own should carefully reference the below guidelines to make sure they are tracking hours appropriately.

Students will need to have their hours tracked by the following categories for their clinical portfolio and APPIC application:

| APPIC and Clinical Portfolio Categories | |
|---|---|
| <p>INTERVENTION: <i>Direct face-to-face intervention with a client.</i></p> <ul style="list-style-type: none"> • Individual Therapy: Providing one-on-one psychotherapy services with a client. These hours should be tracked by the age of their client according to the following categories: <ul style="list-style-type: none"> ○ Older Adults (65+) ○ Adults (18-64) ○ Adolescents (13-17) ○ School-Age (6-12) ○ Pre-School (3-5) ○ Infants/Toddlers (0-2) • Career Counseling: Assisting individuals with career preparation activities. These hours should be tracked by the age of their client according to the following categories: <ul style="list-style-type: none"> ○ Adults (18+) ○ Adolescents (13-17) • Group Counseling: Involves one or more therapists working with several people at the same time. These hours should be tracked by the age of their clients according to the following categories: | <p>ASSESSMENT: <i>Administration of psychological tests or assessments.</i></p> <ul style="list-style-type: none"> ○ Neuropsychological Assessment: An assessment of how a client's brain structurally functions. Include intellectual assessment in this category only when it was administered in the context of neuropsychological assessment involving evaluation of multiple cognitive, sensory and motor functions. ○ Psychodiagnostic Test Administration: Using oral, written, or projective methods as a diagnostic procedure. Include symptom assessment, projectives, personality, objective measures, achievement, intelligence, and career assessment. Include symptom assessment, projectives, personality, objective measures, achievement, intelligence, and career assessment. Also includes providing feedback to clients/patients. |

| APPIC and Clinical Portfolio Categories | |
|--|--|
| <ul style="list-style-type: none"> ○ Adults (18+) ○ Adolescents (13-17) ○ Children (12 and under) • Family Therapy: Involves a whole family, or several family members, all meeting with a therapist together. • Couples Therapy: Helping couples resolve conflicts and improve their relationship. • School Counseling Interventions: These hours should be tracked according to the following categories: <ul style="list-style-type: none"> ○ Consultation: Interview to assess the client, their needs, and goals for treatment in a school setting. ○ Direct Intervention: A direct intervention in a school setting. ○ Other: Other activities in a school setting. • Other Psychological Interventions: These hours should be tracked according to the following categories: <ul style="list-style-type: none"> ○ Sport Psychology / Performance Enhancement: Therapy that helps athletes or other performers with performance enhancement. ○ Medical/Health Related: Medical or health related psychological interventions. ○ Intake Interview: The first appointment with a therapist, in which the therapist asks questions in order to understand the client's situation and presenting problem. ○ Structured Interview: An interview with a client in which all questions are presented in the same order to ensure that answers can be | <p><i>For the APPIC application students will also need to indicate:</i></p> <ul style="list-style-type: none"> ○ The number of integrated psychological reports that students conducted for: <ul style="list-style-type: none"> ○ Adults ○ Children/Adolescents ○ The adult assessment instruments that students: <ul style="list-style-type: none"> ○ Clinical administered/scored ○ Used in their clinical reports ○ Administered as part of a research project ○ The child assessment instruments that students: <ul style="list-style-type: none"> ○ Clinical administered/scored ○ Used in their clinical reports ○ Administered as part of a research project <p><i>Students must keep track of the names of the measures they have used and how many times they have used each measure.</i></p> |

| APPIC and Clinical Portfolio Categories | |
|--|---|
| <p>reliably compared between individuals or groups.</p> <ul style="list-style-type: none"> ○ Substance Abuse Intervention ○ Consultation ○ Other Intervention: Students are asked to specify the nature of these experiences. <ul style="list-style-type: none"> ● Other Psychological Experience with Students and/or Organizations: These hours should be tracked according to the following categories: <ul style="list-style-type: none"> ○ Supervision of Other Students ○ Program Development / Outreach Programming ○ Outcome Assessment of Programs or Projects ○ Systems Intervention / Organizational Consultation / Performance Improvement | |
| <p>SUPPORT: <i>These are all of the clinically-related hours that students accrue at their site that do NOT involve face-to-face contact with a client. As of November 2018, students do not need to categorize the hours for their APPIC application. However, students are strongly encouraged to log the information according to category in case it is requested or becomes relevant at a later date.</i></p> <ul style="list-style-type: none"> ○ Assessment Report Writing: Writing reports on administered assessments. ○ Case Conferences: Bring together key parties in order to mutually agree upon goals and strategies to achieve them. ○ Case Management: A collaborative process of assessment, care planning, facilitation, and advocacy for options and services to meet an individual's mental health needs. ○ Chart Review: Reviewing patient or client charts. | <p>SUPERVISION: <i>Individual or group supervision meetings with a professional or peer. For the purposes of this section, supervision can be provided by licensed psychologists, licensed allied mental health providers (e.g., social workers, marriage and family therapists, psychiatrists), and advanced doctoral students whose supervision is supervised by a licensed psychologist. Supervision activity involves a formal evaluative component. Supervision that students have provided to less advanced students should not be recorded in this section, and may instead be included in the "Intervention Experience" section.</i></p> <ul style="list-style-type: none"> ○ Supervision by Licensed Psychologists <ul style="list-style-type: none"> ○ Individual ○ Group ○ Supervision by Allied Mental Health Professionals <ul style="list-style-type: none"> ○ Individual ○ Group |

| APPIC and Clinical Portfolio Categories | |
|---|---|
| <ul style="list-style-type: none"> ○ Clinical Writing / Progress Notes: Writing treatment progress notes, or other clinical writing. ○ Coordinate Community Resources: Assisting a client in locating and/or securing community resources. ○ Grand Rounds: Presenting the medical problems and treatment of a particular patient to an audience. ○ Observation: Observing other trained individuals perform therapeutic activities. ○ Professional Consultation: Consulting with another professional regarding a case or client. ○ Psychoeducational Group / Workshop: Group that focuses on educating clients about their disorders and ways of coping. ○ Psychological Assessment Scoring / Interpretation: Scoring and/or interpreting psychological assessments. ○ Seminars / Didactic Training: Any training involving seminars or lectures. ○ Video-Audio-Digital Recording Review: Reviewing video or audio recordings. | <ul style="list-style-type: none"> ○ Others (e.g., supervision provided by an advanced graduate student/post-doc who is supervised by a licensed psychologist) <ul style="list-style-type: none"> ○ Individual ○ Group |

Additional Information about Practicum Experience:

Here students are asked to indicate the settings in which they accrued their hours. These are:

| Practicum Experience Hours | |
|--|---|
| <ul style="list-style-type: none"> ○ Child Guidance Clinic <ul style="list-style-type: none"> ○ Intervention ○ Assessment | <ul style="list-style-type: none"> ○ Community Mental Health Center <ul style="list-style-type: none"> ○ Intervention ○ Assessment |
| <ul style="list-style-type: none"> ○ Department Clinic <ul style="list-style-type: none"> ○ Intervention ○ Assessment | <ul style="list-style-type: none"> ○ Forensic/Justice Setting <ul style="list-style-type: none"> ○ Intervention ○ Assessment |
| <ul style="list-style-type: none"> ○ Inpatient Psychiatric Hospital <ul style="list-style-type: none"> ○ Intervention ○ Assessment | <ul style="list-style-type: none"> ○ Medical Clinic/Hospital <ul style="list-style-type: none"> ○ Intervention ○ Assessment |
| <ul style="list-style-type: none"> ○ Outpatient Psychiatric Clinic/Hospital <ul style="list-style-type: none"> ○ Intervention ○ Assessment | <ul style="list-style-type: none"> ○ Partial Hospitalization/Intensive Outpatient Programs <ul style="list-style-type: none"> ○ Intervention |

| Practicum Experience Hours | |
|----------------------------|---|
| | ○ Assessment |
| ○ Private Practice | ○ Residential/Group Homes |
| ○ Intervention | ○ Intervention |
| ○ Assessment | ○ Assessment |
| ○ Schools | ○ University Counseling Center/Student Mental Health Center |
| ○ Intervention | ○ Intervention |
| ○ Assessment | ○ Assessment |
| ○ VA Medical Center | ○ Other (specify) |
| ○ Intervention | ○ Intervention |
| ○ Assessment | ○ Assessment |

Students are also asked to indicate the number of people students have served according to their characteristics (number of people, NOT number of hours spent with them):

| Client Demographics | |
|---|----------------------|
| ○ Race/Ethnicity | ○ Sexual Orientation |
| ○ African-American/Black /African Origin | ○ Heterosexual |
| ▪ Intervention | ▪ Intervention |
| ▪ Assessment | ▪ Assessment |
| ○ Asian-American/Asian Origin/Pacific Islander | ○ Gay |
| ▪ Intervention | ▪ Intervention |
| ▪ Assessment | ▪ Assessment |
| ○ Latinx/Hispanic | ○ Lesbian |
| ▪ Intervention | ▪ Intervention |
| ▪ Assessment | ▪ Assessment |
| ○ American Indian/Alaska Native/Aboriginal Canadian | ○ Bisexual |
| ▪ Intervention | ▪ Intervention |
| ▪ Assessment | ▪ Assessment |
| ○ European-American/White | ○ Other |
| ▪ Intervention | ▪ Intervention |
| ▪ Assessment | ▪ Assessment |
| ○ Bi-racial/Multi-racial | |
| ▪ Intervention | |
| ▪ Assessment | |
| ○ Other | |
| ▪ Intervention | |
| ▪ Assessment | |
| ○ Disabilities | ○ Gender |
| ○ Physical/Orthopedic | ○ Male |
| ▪ Intervention | ▪ Intervention |
| ▪ Assessment | ▪ Assessment |
| ○ Blind/Visual | ○ Female |

| Client Demographics | |
|--|--|
| <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment ○ Deaf/Hearing <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment ○ Learning/Cognitive <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment ○ Developmental <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment ○ Serious Mental Illness <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment ○ Other <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment | <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment ○ Transgender <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment ○ Other <ul style="list-style-type: none"> ▪ Intervention ▪ Assessment |

Students will find that tracking their hours well early in the program will help them to avoid frustration when they are compiling their clinical portfolio and applying to internship and perhaps when applying for licensure.

CLINICAL PRACTICUM I

During the first clinical practicum (Clinical Practicum I), all students will provide clinical services in the psychology training clinic under faculty supervision. This practicum will be conducted at the UAA Psychological Services Center (PSC). During Clinical Practicum I, students will spend a minimum of 15 hours per week at the clinic, for a minimum of 15 weeks per semester. They will receive a minimum of one hour of individual supervision and two hours of group supervision per week. Although direct client contact should approximate a minimum of six hours per week, the specific number will depend upon each student's readiness for clinical work. However, all students will need to meet the minimum number of client contact hours as dictated by the requirements of the clinical portfolio.

Enrollment in Clinical Practicum II is contingent upon successful completion of Clinical Practicum I. Successful completion is defined by meeting all requirements of Clinical Practicum I, receiving a minimum grade of B, and approval by the Clinical Practicum I supervising faculty member to enroll in Clinical Practicum II. In determining the student's preparedness for Clinical Practicum II, all faculty members providing supervision to practicum students will regularly discuss their supervisees with one another and provide input to the final decision about preparedness which will be made by each student's individual supervisor. Students who do not successfully complete Clinical Practicum I may, upon the recommendation of their individual supervisor, be given the option to enroll in an additional semester of Clinical Practicum I.

CLINICAL PRACTICUM II

Clinical Practicum II consists of PD-approved external placements in clinical agencies or programs in the community with which the Ph.D. program has established interagency affiliation agreements and requires a minimum of 15 hours per week, for a minimum of 15 weeks per semester. The internal, or on-campus, placement involves the student continuing to see clients at the PSC or the UAF Community Mental Health Clinic (UCMHC), and receiving ½ to 1 hour of individual supervision and two hours of group supervision each week. The external, or agency-based, placement involves the student being placed at a community agency for a minimum of 8 to 10 hours per week. This placement will involve the student providing clinical services and receiving individual and group supervision. Students will spend a minimum of two semesters in Clinical Practicum II, with some students enrolling in additional semesters of Clinical Practicum II. For example, some students may want to continue seeing clients in the PSC or UCMHC beyond their required time, some students may want to continue at their placement agency to gain more experience, and for some students we may believe that additional practicum hours may significantly strengthen their clinical skills.

The placement for Clinical Practicum II will be determined on an individual student basis by the Practicum II instructor in collaboration with the student. All contact with the external agency for Clinical Practicum II prior to student placement will be made by the Clinical Practicum II instructor or the PD, not the student. The Clinical Practicum II instructor will consult with the PD before making final placement decision.

POINTS OF CONTACT FOR PROBLEMS OR CONCERNS WITH PRACTICUM PLACEMENTS

Internal Training Clinics

The student's clinical supervisor serves as the initial point of contact for problems or concerns that arise between the student supervisee and other students, staff, and/or faculty working in the clinic. If concerns arise that cannot be resolved at this level, the Training Clinic Director should be notified and work toward resolving the concern. Should the issue persist, the conflict resolution or grievance process should be enacted beginning with the student supervisee's advisor and the PD. ([See Part Six: Relevant Program and University Policies, Appeals, page 95](#)).

External Practicum Placement

Students are expected to resolve conflict at the lowest level possible with their onsite supervisor. If this is not possible, the instructor of record serves as the initial point of contact for problems or concerns that arise between the student and the onsite supervisor in the external training site.

If the conflict pertains to student performance or conduct, the student will be provided with immediate written feedback via the Clinical Practicum Evaluation Form. If necessary a remediation plan will be developed and implemented by the instructor of record, in consultation with the PD and external training supervisor. Should the issue

persist, the conflict resolution or grievance process should be enacted beginning with the student supervisee's advisor and the PD. ([See Part Six: Relevant Program and University Policies, Appeals, page 95](#)).

If the conflict pertains to external supervisor performance or conduct, the student will report the matter to the instructor of record. The instructor of record works with the student and onsite supervisor to try and resolve the issue informally. If this cannot be resolved informally, the program's formal policies will be invoked based on the nature of the concern. Additionally, the program acknowledges and respects the policies and procedures of the external agency. The student is required to adhere to both agency and program requirements, policies and procedures.

CLINICAL PORTFOLIO

Clinical competency is demonstrated through the preparation of a Clinical Portfolio that will be evaluated by members of the Competencies Committee to ensure that students' clinical skills are adequate for advancement to internship. Two clinically-trained committee members and the PD review the Clinical Portfolio and conduct the Oral Comprehensive Exam.

In putting together their portfolios, students are directed to use as a structural guide the portfolio rating forms that will be used by the faculty to evaluate the portfolio and submit their portfolio electronically to the Program Coordinator.

A few helpful hints and recommendations about how to prepare the Clinical Portfolio appear below. Students are encouraged to show the portfolio to their academic advisor before submission for a quick preview to assure that all major sections are included and no obvious problems are notable. This preview in no way guarantees that the student will pass the portfolio but will serve as a check-in for major concerns or red flags. In all parts of the portfolio, students are allowed (even encouraged) to add additional materials that they deem helpful in demonstrating competence in a given area of review.

The Clinical Portfolio has three stages; see *Clinical Portfolio Rating Sheet* under Clinical Portfolio on [Program's Blackboard](#) for exact details:

1. Clinical Experiences Record
 - Section One: Memo requesting to sit for oral exam
 - Section Two: Documentation of hours and clinical experiences
 - Section Three: Documentation of required clinical experiences
 - Theoretical orientation paper
 - Clinical supervision paper
2. Oral Comprehensive examination
3. Total direct client contact hours

Passing the Clinical Portfolio meets the criteria for having a conditional pass of the comprehensive exam. **The research portfolio and clinical portfolio must be fully passed by the spring semester and the dissertation proposal must be at least conditionally passed prior to applying to Advance to Internship the following fall semester.**

HELPFUL HINTS AND PRACTICAL RECOMMENDATIONS

- Start setting up the sections of the Clinical Experiences Record of the Clinical Portfolio as soon as your first clinical practicum starts; ongoing and thorough data collection throughout the student's time in the program will increase the likelihood that all needed information will be available when the time comes to submit the portfolio.
- In preparing for the portfolio, seek input from advisors and advanced cohorts who have already passed this program requirement.
- Follow the *Clinical Portfolio Rating Sheet* on [Program's Blackboard](#) to structure the portfolio, using the parts and subheadings on the rating sheets as headers and outlines for the actual document.
- Any deviation from the typical format or content needs to be explained in a brief narrative that precedes the section that contains the deviation.
- In all sections, try to demonstrate breadth and depth and integrate cultural issues, at a minimum.
- Certain documents may appear in the Research Project Portfolio, Clinical Portfolio, or the Community Portfolio if applicable.

CLINICAL PORTFOLIO GUIDELINES

- Documentation of hours and clinical experiences need to be clear and detailed. Graphics, summarizing hours by the various categories should be provided (e.g., a pie chart showing client ages, ethnicity distributions of clients, geographical distribution of clients, range of clinical modalities, a table showing assessment tools administered by type of test and age of client). All additions need to be accurate—reviewers will randomly double-check.
- Documentation of psychological assessments that the student conducted in a clinical setting must be included; although the assessments themselves are not included in the portfolio, students should be mindful that the assessments should demonstrate the student's ability to select and administer psychometric instruments.

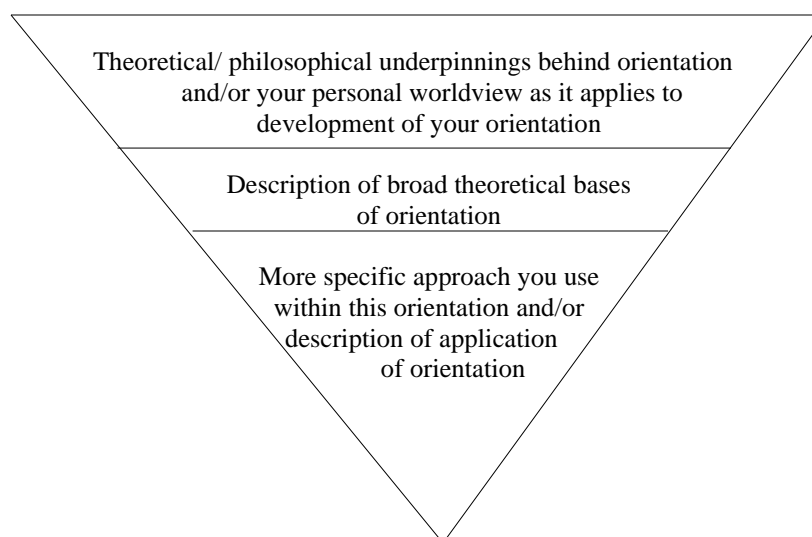
Students must complete a minimum of four assessments, with a minimum of two that are integrated assessments. Consistent with the definition provided by the Association of Psychology Postdoctoral and Internship Centers (APPIC), an integrated assessment is a comprehensive psychological assessment consisting of a clinical history, results of an interview and a test battery, that minimally included intellectual, personality, and clinical assessment/testing, using instruments selected to answer a clearly defined referral question and interpret the results of those instruments in a culturally competent manner.

- Theoretical orientation paper – In order to demonstrate clinical competency, students must be able to articulate an understanding of the mainstream of clinical psychological practice (i.e. empirically-based approaches). That is, minimal competency in clinical psychology at the doctoral level involves a basic understanding and demonstrated application of well-established or empirically-based approaches, regardless of under

which theoretical orientation these approaches fall. An example of established theoretical orientations in the field is in the listing on the APPIC application: Behavioral, Biological, Cognitive Behavior, Eclectic, Humanistic/Existential, Integrative, Interpersonal, Psychodynamic/Psychoanalytic, Systems.

The APA-formatted paper should include addressing the following questions: What is the evidence base for your orientation? According to your orientation how do problems develop? According to your orientation what are the goals of psychotherapy? According to your orientation what are the specific techniques that you use to help achieve those goals?

Students may choose to structure the theoretical orientation paper to reflect the following: the theoretical and/or philosophical underpinnings behind the chosen orientation and/or a personal worldview as it applies to the development of the orientation, a literature-based description of the broad theoretical bases of the orientation (e.g., psychodynamic theory or behavioral theory), and the more specific approach/method used within the described orientation (e.g., time-limited dynamic therapy or acceptance and commitment therapy, accordingly). See diagram below for an idea of how to conceptualize the orientation paper.



- Clinical Supervision reflection paper – In order to demonstrate knowledge of supervision models and practices, students must be able to reflect on clinical supervision experiences experienced thus far in their training and/or work. This should be a 7-10-page paper, APA-formatted reflection paper. Students must be able to describe aspects of these experiences that were particularly helpful for given their developmental stage as a therapist. Then, students are expected to reflect on and describe aspects of these experiences that were not helpful, but nonetheless important for their understanding of effective clinical supervision. While addressing these aspects of their supervision, students should consider the model(s) by which the supervisor(s) was(were) working. Next, students should provide a culmination of those characteristics they hope to carry forward and incorporate into their practice as a clinical supervisor. Finally, students

should author a statement that attests to the model of supervision that they will provide which forms the foundation from which they intend to practice. Students should address how they foresee working within their model of supervision to attend to the dynamic and diverse characteristics and developmental needs of your current and/or future supervisees.

CLINICAL PORTFOLIO REQUIREMENTS

Stage 1 – Clinical Experiences Record

By September 30 (Fall semester) or March 1 (Spring semester), students who wish to complete the clinical competency milestone must submit the following:

- A memo requesting to sit for the clinical competency oral examination
- Documentation of hours and clinical experiences, certified by clinical faculty (i.e., signed copies of summary sheets, summary form from MyPsychTrack or equivalent clinical tracking program.)
- Documentation of required clinical experiences:
 - Minimum of 400 hours of direct client contact (*note, however, that a minimum of 600 hours are still required to advance to internship)
 - Graphics summarizing hours by range of client ages, client cultural diversity, client geographical diversity, range of clinical modalities
 - Minimum of 4 assessments, 2 of which must be integrated assessments ([See Clinical Portfolio Guidelines 2nd bullet on page 40 for further information](#))
 - A memorandum signed by one of the student's PSY 652 clinical supervisor and PD certifying that the student meets competency in basic clinical skills and is ready to start PSY 653
- Theoretical Orientation paper
 - APA-formatted
- Clinical Supervision Reflection paper
 - 7-10-page APA-formatted

The Clinical Competency Committee (comprised of the PD and two clinical core faculty members) will have 15 calendar days to review this material and notify the student of one of the following three decisions:

1. The student is approved to move on to Stage 2.
2. The student must make revisions in order to move on to Stage 2. (Note: The student has 7 calendar days to submit the revisions to the PD, who will decide if the revisions are acceptable.)
3. The student must wait until the next review cycle for resubmission.

Stage 2: Oral Comprehensive Examination

The comprehensive exam portion of the clinical portfolio are scheduled twice a year. The oral comprehensive examination procedures are as follows:

- One week prior (7-days) to the scheduled oral exam, the student is given a hypothetical clinical case and given one week to prepare the respond orally (with accompanying notes) to the following:
 - What other information would you like to know in developing your case? conceptualization and how would you go about getting this information?
 - Based on the information that you have, what are your diagnostic impressions?
 - Based on the information that you have, how would you conceptualize this case?
 - Based on your case conceptualization, explain your treatment plan including:
 - Cultural considerations
 - Appropriate indicated evidenced-based practice treatment
 - Specific components of treatment
 - Targeted points of intervention based on conceptualization
 - Treatment goals
 - Anticipated timeline
 - How treatment change will be measured
 - Potential ethical issues and how you would deal with them if they arose
 - Potential barriers to implementing that treatment plan and how you would address them if they arose
- The Oral Comprehensive Examination is then conducted by the student's Clinical Competency Committee. The exams will be recorded and students have 30 minutes to present their cases. Lines of inquiry may include but are not necessarily restricted to the above items. The exam is scheduled for 1.5 hours and will end early or later at the discretion of the committee.

After all comprehensive exams have been administered for a given review cycle, the faculty will meet to discuss each presentation and will provide each student with written feedback and decision. The written feedback will provide specific strengths and opportunities for further competency development that form the basis of the committee's decision. The decision will be in the form of one of the following:

1. The student passed.
2. The student conditionally passed and a second oral exam will be scheduled within one month.
3. The student must try in a subsequent review cycle.

Stage 3: Total Direct Client Contact Hours

The student has completed the required minimum of 600 direct client contact hours. The hours must be completed and the clinical portfolio must be fully passed by the spring semester prior to applying to Advance to Internship the following fall semester.

SUMMARY OF DATES AND DEADLINES

Students should submit their clinical portfolio electronically to the Program Coordinator.

| Fall Semester | | Spring Semester | |
|---------------|---|-----------------|---|
| September 30 | Student submits written portfolio materials and memo requesting to sit for oral examination | March 1 | Student submits written portfolio materials and memo requesting to sit for oral examination |
| October 15 | Faculty deadline for announcing decision on submitted materials | March 15 | Faculty deadline for announcing decision on submitted materials |
| ~ October 23 | Student given materials for review in preparation for oral comprehensive exam | ~ March 25 | Student given materials for review in preparation for oral comprehensive exam |
| ~ October 30 | Oral comprehensive exam | ~ April 1 | Oral comprehensive exam |
| November 15 | Written memo of clinical competency committee decision with supporting details issued to student. | April 15 | Written memo of clinical competency committee decision with supporting details issued to student. |

COMMUNITY COMPETENCY

All students are required to complete, at a minimum, one semester of community practicum. It is recommended that students register for PSY 672 after completing or concurrently taking PSY 616 Program Evaluation and Consultation. The practicum will take place in a professional setting that requires a high degree of commitment, ethical behavior, and professional conduct. The experience requires considerable self-reflection and result in significant personal as well as professional growth. It is both time intensive and emotionally demanding.

Community practicum can be an intense experience that often leads to a broad range of emotions that include: anxiety, fear, sadness, exhilaration, joy, confusion, or excitement. Whether feelings are positive or negative, they are often strong and can be disconcerting. Fortunately, all students going through the practicum experience will have similar reactions; this gives students the opportunity to process their emotions with their peers in the program. Students can meet formally or informally to discuss and process their experiences. This kind of mutual support is important and encouraged by faculty members because it is an integral part of the mental health training experience. Students should expect to discuss their reactions in group or individual supervision as well, both on their own initiative and when prompted by their supervisors. Processing reactions to practicum work is an important way to attend to personal needs. It is a helpful way to discover similarities with colleagues and to recognize when personal reactions may be entering into the therapy students conduct with their clients. Personal self-growth is an essential aspect of becoming a Clinical Community Psychologist.

COMMUNITY PRACTICUM

COMMUNITY PRACTICUM GUIDELINES

Students can enroll in the community practicum when they have completed at least one semester of clinical practicum, or with permission of the Community Practicum Supervisor. The Community Practicum Supervisor will consult with the PD before making this decision.

THE PURPOSE OF COMMUNITY PRACTICUM

The purpose of the Community Practicum series is to provide an opportunity for students to work in community-based settings and to develop skills consistent with community psychology practice, such as program development, implementation, and evaluation, advocacy, prevention and health promotion, community development and change, and community leadership.

Of equal importance to engaging in the practice of community psychology is working with agencies, programs, and communities in cultures different from one's own. Working in cross-cultural or multicultural settings requires the ability to conceptualize a situation or problem in cultural terms as well as professional and technical terms. Working cross-culturally also requires practicum students to develop interpersonal skills that enable them to communicate and work with their community partners in effective and respectful ways. Of particular importance to psychologists working in Alaska is being able to work effectively with Alaska Native organizations and communities. The Community Practicum series offers an opportunity to

develop the skills necessary to work with Alaska Native groups and to practice community psychology in a culturally grounded way.

APPROPRIATE SITES FOR COMMUNITY PRACTICUM

A community practicum can take place in a variety of community agencies or programs, such as neighborhood or community associations (e.g., organizations dedicated to community development), advocacy agencies, healing programs/communities (e.g., Oxford House), outreach agencies (e.g., organizations serving runaways, people with HIV/AIDS), public health related agencies/programs, tribal organizations, and state agencies. It is also possible to participate in an applied research project conducted by a faculty member as long as the student's involvement in that project is not also part of a research assistantship and most of the work in which the student engages takes place in the community. To ensure an optimal learning environment, the practicum experience must be substantively different from the student's previous work. Although students will always work closely with their on-site supervisor, the student's role should become increasingly more independent with increasingly more complex responsibilities. We strongly encourage our students to conduct their community practicum in a cultural setting different from their own.

The Community Practicum Supervisor will work closely with students to identify potential practicum sites and Site Supervisors. Although the Community Practicum Supervisor may make suggestions for practicum sites, it is the responsibility of the student to identify a site that will work for them and to present the Community Practicum Supervisor and, as a second step, the Site Supervisor with a draft proposal for the practicum (see below for a more detailed description of the final practicum learning contract). It is important to note that the practicum site and supervisor must be approved by the Community Practicum Supervisor before the practicum can begin.

All community practicum sites require a designated on-site Supervisor. This Site Supervisor does not have to be a psychologist or hold a university degree, but he or she must be a leader in the setting and must have significant experience in their job (e.g., the Executive Director of a program, or a Tribal Leader).

REQUIREMENTS FOR THE COMMUNITY PRACTICUM

A community practicum involves a minimum of 15 hours per week, including time spent in the practicum setting, in group supervision on campus, and for journaling and reading. The length of each community practicum is a minimum of 15 weeks, unless other arrangements are agreed to by the student, the instructor, the PD, and the Site Supervisor (e.g., a more intensive practicum over a shorter period of time).

By the first week of the practicum, a learning contract will be developed between the student, Site Supervisor, and Community Practicum Supervisor. This learning contract will include an outline of the types of activities in which the student will engage and a set of learning objectives, and will be signed by the student, Site Supervisor, and Community Practicum Supervisor. Identifying and establishing a community practicum site often takes a considerable amount of

time; thus, we strongly encourage students to meet with the Community Practicum Supervisor early in the semester prior to the semester in which they hope to start practicum. The signed copy of the learning contract will reside with the Program Coordinator.

The *Community Practicum Evaluation* must be completed by the site supervisor twice a semester for each Community Practicum evaluating the current level of progress and competence in the practicum site (see [Program's Blackboard](#) under Community Competency for *Community Practicum Evaluation* form). Completed evaluations are to be signed by the supervisor and the student. A copy of the signed document is to be placed in the trainee's permanent program file. In addition to this evaluation by the Site Supervisor, students will be required to keep a log of their activities and work hours and a journal of their experiences and their learning at the site. Students are also required to participate in the weekly group supervision sessions as well as complete any other course requirements as established by the Community Practicum Supervisor.

The *Community Practicum Hours Log* is available on the [Program's Blackboard](#) to assist with the tracking of hours.

POINTS OF CONTACT FOR PROBLEMS OR CONCERNS WITH PRACTICUM PLACEMENTS

Students are expected to resolve conflict at the lowest level possible with their onsite supervisor. If this is not possible, the instructor of record serves as the initial point of contact for problems or concerns that arise between the student and the onsite supervisor in the external training site.

If the conflict pertains to student performance or conduct, the student will be provided with immediate written feedback via the Community Practicum Evaluation Form. If necessary a remediation plan will be developed and implemented by the instructor of record, in consultation with the PD and external training supervisor. Should the issue persist, the conflict resolution or grievance process should be enacted beginning with the student supervisee's advisor and the PD. ([See Part Six: Relevant Program and University Policies, Appeals, page 95](#)).

If the conflict pertains to external supervisor performance or conduct, the student will report the matter to the instructor of record. The instructor of record works with the student and onsite supervisor to try and resolve the issue informally. If this cannot be resolved informally the program's formal policy will be invoked based on the nature of the concern. Additionally, the program acknowledges and respects the policies and procedures of the external agency. The student is required to adhere to both agency and program requirements, policies and procedures.

COMMUNITY PORTFOLIO

Community competency is demonstrated through the preparation of a Community Portfolio that will be evaluated by members of the Competencies Committee. Two committee members will review the Community Portfolio. If needed, a third reviewer for the portfolio will provide a review if there is a disagreement between the two original raters.

In putting together their portfolios, students are directed to use as a structural guide the portfolio rating forms that will be used by the faculty to evaluate the portfolio.

Community portfolio examples are available and students can check with the Program Coordinator for access to them.

A few helpful hints and recommendations about how to prepare the Community Portfolio appear below. Students are encouraged to show the portfolio to their academic advisor before submission for a quick preview to assure that all major sections are included and no obvious problems are notable. This preview in no way guarantees that the student will pass the portfolio but will serve as a check-in for major concerns or red flags. In all parts of the portfolio, students are allowed (even encouraged) to feel free to add additional materials that they deem helpful in demonstrating competence in a given area of review.

The Community Portfolio has a Community Portion and an Integrated Portion, see *Community Portfolio Rating Sheet* on [Program's Blackboard](#) for exact details:

- Community Portion
 - Section One: Log of Community Activities
 - Section Two: Documentation of Community Practicum Evaluations
 - Section Three: Community Assessment and Intervention Case
- Integrated Portion

Passing the **Community Portfolio** meets criteria for having a conditional pass of the comprehensive exam. The research portfolio and clinical portfolio must be passed and the dissertation proposal defense must be at least conditionally passed before applying to Advance to Internship. It is highly recommended that community portfolios be submitted by April 1 the year students start internship. If the portfolio is not submitted before starting internship, it should be submitted by the deadline ONE semester before graduating.

HELPFUL HINTS AND PRACTICAL RECOMMENDATIONS

- Start setting up the three parts of the community portfolio as soon as the community practicum starts; ongoing and thorough data collection throughout the student's time in the program will increase the likelihood that all needed information will be available when the time comes to submit the portfolio.
- In preparing for the portfolio, seek input from advisors and advanced cohorts who have already passed this program requirement.
- Follow the *Community Portfolio Rating Sheet* on [Program's Blackboard](#) to structure the portfolio, using the parts and subheadings on the rating sheets as headers and outlines for the actual document.
- For easier evaluation by the reviewers, include a page break or submit each section as a standalone document for each section outlining what follows.
- Any deviation from the typical format or content needs to be explained in a brief narrative that precedes the section that contains the deviation.
- In all sections, try to demonstrate breadth and depth and integrate cultural issues, at a minimum.

- Simply because faculty signed off on paperwork within a certain class, their signature or passing grade does not imply that the work is ready for or passable in the portfolio. In other words, materials that may be acceptable in the context of a course, may not meet the requirements of demonstrating advanced-level skill/knowledge required for mastery at the doctoral level. This reality is due to the fact that the program follows a developmental model, wherein competency is expected to increase successively from semester to semester. Thus, work that is acceptable in a first or second-year class is not generally or necessarily ready for the portfolio, as additional growth and development is expected and needs to be demonstrated in the portfolio.
- Students are especially advised to edit documents for the portfolio that came from classes, based on the input and feedback they received from instructors. Also, documents in the portfolio may require additional elements that were not required for a similar document in the context of a course. Students are responsible for adding these elements.
- Certain documents may appear in the Research Portfolio, Clinical Portfolio, and Community Portfolio, if applicable.

COMMUNITY PORTFOLIO GUIDELINES

- Practice logs in Section One need to be clear and detailed. Graphics, summarizing hours by the various categories should be provided (e.g., a pie chart showing types of activities such as program evaluation, needs assessment, feedback). All additions need to be accurate and completed for the reviewers – reviewers will randomly double-check.
- The summary report in Section One is a 15-page summary report describing community activities engaged in throughout the doctoral program (including program evaluation classes and community practice), what the student has learned, areas of continued growth, and plans to enhance community skills during the Ph.D. program and after graduation. This report should integrate a discussion of the process of entering a setting, building trust, collaboration, cultural and rural issues, ethical issues, and social justice. The student may also comment on other guiding principles of community psychology such as appreciating aspects of diversity, acknowledging personal values, having a strengths-based perspective, facilitating social change, and integrating an ecological framework
- Practicum evaluations in Section Two need to be signed by the original supervisor. If they are not, this deviation needs to be explained.
- The paper for the Community Assessment and Intervention Documents in Section Three is a document demonstrating community skills broadly defined. The document requires the student to select a project for which they conducted a community assessment or intervention, and write an APA-formatted, literature-based account of the project. This should be an approximately 15-page paper (not including title page, references and appendices). This paper should approximate a product worthy of a journal submission that integrates literature into an account of a community assessment or intervention with broader lessons for community practice. Remember that you are writing for a broader audience here, rather than for a particular agency. Thus, be sure to focus your paper on

information valuable for guiding work by other community practitioners and researchers. The paper needs to address all aspects outlined in the community portfolio rating sheet and must always address issues of culture, ethics, community input and feedback, and sensitivity to community needs and desires.

Integration Portion

The integration paper, submitted with the second portfolio (clinical or community), should be an APA-formatted approximately 15- page paper that demonstrates the student's "worldview" as an emerging psychologist. Specifically, the student must describe their personal integration of the domains of clinical, community, and cultural psychology as they relate to conceptualization of problems, approaches to assessment, intervention, evaluation, rural practice, and dissemination of information to the broader public. The paper must demonstrate an integration of knowledge and understanding of cultural issues, the role of community and the role of culture as it pertains to clinical-community practice. This paper should **NOT** be a replication of the clinical theoretical orientation paper.

SUMMARY OF DATES AND DEADLINES

Students should submit their community portfolio electronically to the Program Coordinator. It is highly recommended that community portfolios be submitted by April 1 the year students start internship. If the portfolio is not submitted before starting internship, it should be submitted by the deadline ONE semester before graduating.

Students can submit portfolios at any time, but for specific milestone deadlines, students are encouraged to submit on the following review cycles *:

| | |
|--|--|
| To have a portfolio reviewed in time to start an activity for which a passed portfolio is required by: | The portfolio MUST be submitted during the prior semester, NO LATER THAN the following deadline: |
| Spring Semester | October 1 |
| Summer Semester | February 1 |
| Fall Semester | April 1 |

*The dates above are deadline dates, portfolios and any subsequent revisions maybe submitted for review at any time. The committee has 30 days upon receipt to review portfolio submissions.

ADVANCEMENT TO CANDIDACY

Advancement to candidacy formally establishes students' specific degree requirements. Students are eligible to advance to candidacy after they have met the following criteria as per the UAF and UAA candidacy requirements:

1. Completed the full time equivalent of two academic years of graduate study.
2. Completed at least 9 UAF or UAA credits.
3. Received approval of the Graduate Study Plan.
4. Obtained approval of the advisory committee for the title and synopsis of the dissertation.
5. Having passed the Research Portfolio qualifies the student for a conditional pass on the comprehensive exam, which is sufficient for the application for advancement to candidacy and is required to enroll in dissertation credit.

A finalized *Program Requirements Worksheet* should be used as a basis for completing the campus of residence *Application for Advancement to Candidacy* (see Research Competency & Advancement to Candidacy on [Program's Blackboard](#) for *Application for Advancement to Candidacy* form).

When submitting the *Application for Advancement to Candidacy* form students should indicate the **Research Portfolio**, **Clinical Portfolio**, and the **Community Portfolio** as the subject areas examined on comprehensive exam form.

Any and all changes subsequent to filing an official *Advancement to Candidacy* form for the student's program will require the student to submit a campus of residence *Graduate Student Petition* form to amend the *Advancement to Candidacy*. Work with the Program Coordinator to submit a petition, if necessary.

PART FOUR: DOCTORAL CANDIDATE

DOCTORAL DISSERTATION

The *Ph.D. Program in Clinical -Community Psychology* aspires to prepare students as scientist-practitioners with a depth of knowledge in cultural and rural psychology. We encourage students to articulate research questions that enhance knowledge about how culture and context affect individuals, groups, and communities. The program commits itself to teaching the skills necessary for students to articulate and carry out independent research.

The purpose of the dissertation is to demonstrate competence in performing independent research that is of sufficient quality and rigor to have the potential to contribute to the scientific or professional knowledge base. The dissertation is the culmination of doctoral studies and is the final demonstration of research competence. Consistent with these purposes, a dissertation represents a collaboration between a doctoral student, dissertation committee chair(s), and dissertation committee members. The ideal dissertation committee fosters the principle of psychological research as a collaborative endeavor, while supporting the student's development towards becoming an independent research scholar. In this spirit, the committee works cooperatively to maximize learning opportunities for the student and, ultimately, to optimize the student's work. Although the chair will take the lead on directing and facilitating the doctoral student's dissertation, all committee members have equal standing and committee functioning is conducted in a non-hierarchical manner. Input and contribution from all committee members are welcomed, encouraged, and considered in a respectful and professional manner. In addition to providing input, committee member(s) may have specialized expertise that will be essential for the completion of the dissertation. In such cases, this expertise is identified at the dissertation proposal meeting, and committee member planning and review work on the research is apportioned accordingly with the student at the meeting. The doctoral student, in consultation with the committee chair(s), and committee members, will produce a design, analysis, and final dissertation that the entire committee accepts by consensus.

Writing a quality document that is worthy of publication is an iterative process, with multiple drafts and revisions. A dissertation is likewise an iterative process, with a student producing an initial draft of the proposal or complete dissertation that is reviewed by the dissertation chair with feedback provided. Following revisions by the student, a subsequent draft is then reviewed by the chair. This iterative process continues until the chair approves the proposal or complete draft of the dissertation for full committee review and defense. How many drafts are required will depend on the quality of the work. Given that faculty may require up to one month to review and provide detailed feedback on each draft, it behooves students to refine their work prior to submitting drafts for their chair's review, as well as responding thoroughly to feedback. Depending on the committee and the role of committee members on a given dissertation, portions of the dissertation may also be reviewed by committee members for feedback prior to a defense. Through this intensive, mentored, and iterative process a student hones their research and writing skills.

A dissertation is required of every candidate for the Ph.D. degree and is expected to include work that represents the equivalent of at least one (1) academic year. The doctoral dissertation must

demonstrate the ability to perform independent research and must contribute to the body of knowledge in the student's area of interest, the substance of which is publishable in a professional journal or as a book (see [UAA Thesis/Dissertation Handbook](#) or the [UAF Thesis Format Handbook](#)).

General format of the dissertation will be consistent with the UAA and UAF Thesis/Dissertation Format Handbooks. The two graduate schools have worked hard to ensure that their requirements are the same; where there is a difference, use your campus of residence's handbook. As a general rule, dissertations for doctoral candidates in the Ph.D. Program Clinical-Community Psychology will follow the monograph format. In addition to the front matter required by the Thesis Format Handbooks, references, and relevant tables and/or figures, most dissertations will consist of at least the following four chapters: Introduction, Method, Results, and Discussion. Dissertations will follow APA Publication Manual standards for presentation, grammar (including verb tense), and punctuation.

Prior to embarking on the dissertation process, it is strongly recommended that students

- read the entire dissertation section of the Ph.D. Program Handbook AND
- attend a thesis formatting workshop or advising session, both of which are conducted regularly every semester on both campuses (check the [UAA Graduate School](#) or [UAF Graduate School](#) websites for dates)

ENROLLMENT IN DISSERTATION CREDITS

The following prerequisites must be met before a student may enroll in dissertation credits (i.e., to begin official work on their dissertations):

- admission to the Ph.D. Program in Clinical-Community Psychology,
- successful completion of the Research Portfolio,
- approved Advancement to Candidacy, and
- approval of a dissertation committee.

DISSERTATION PROGRESS

Students are also required to make adequate progress on their dissertation when enrolling in dissertation credits. The committee chair will delineate those expectations with each student based on the research being conducted. Each semester, substantial gains must be made towards dissertation completion in order to continue registering for credits.

If the student is not making adequate progress, the Failure to Make Adequate Progress Policy was implemented to help the student, see [Part Six: Relevant Program and University Policies, page 85](#).

APPROPRIATE CONTENT AREAS AND METHODOLOGIES

Content areas can vary widely, but must be related to clinical, community, or cross-cultural issues. Research methods can also vary widely and can make use of qualitative, quantitative, or mixed methods. The student may design studies that are field-based or lab-based, that focus on basic or applied questions, and that involve research methods from any branch of psychology (social, biological, organizational, etc.) or other disciplines (anthropology, biology, neuroscience, etc.) that best fit addressing the research question. The specific dissertation and research approach is to be determined by the dissertation advisee, dissertation committee chair, and dissertation committee members. However, as a general rule, the Ph.D. Program in Clinical-Community Psychology interprets the requirement that “the dissertation must demonstrate the ability to perform independent research” as requiring the dissertation advisee to collect at least a substantial portion of the data upon which the dissertation will be based. For example, students are welcomed to include in their dissertation existing data; however, any analyses conducted on that data must be new (i.e., not have been conducted with that particular dataset); and with few exceptions, additional data must be collected by the advisee to augment or complement the existing dataset. One example of this would be students analyzing an existing quantitative dataset and then collecting additional qualitative data (e.g., from focus groups, key informant interviews) to contextualize and interpret the findings from the quantitative dataset. Alternatively, the student could analyze an existing qualitative dataset and then develop and implement a survey based on the qualitative findings. In summary, each doctoral student is expected to plan and carry out the gathering of at least a substantial portion of the data that they will analyze. One exception to the requirement that additional data be collected for the dissertation would be in the case in which the advisee is developing or testing novel statistical techniques on existing datasets. Other exceptions can be determined on a case-by-case basis by the dissertation committee chair and committee members.

SUMMARY OF THE DISSERTATION PROCESS

The following table is a broad overview only. Where it seems incomplete or disagrees with the handbook or university policies, those supersede the table summary.

| Broad Steps | Responsible Parties |
|---|--|
| 1. select broad topic area | Student with advisor(s) as desired |
| 2. advance to candidacy | Student, chair, PD, Program Coordinator |
| 3. select chair | Student with potential chair(s) |
| 4. select rest of committee | Student with selected dissertation chair |
| 5. proposal drafts and revisions until the finalized proposal is approved by the chair for committee distribution Complete Dissertation Proposal Checklist (see Program's Blackboard for form) Complete <u>Thesis Formatting Checklist</u> | Student and chair with input from committee as desired by the chair and/or committee |
| 6. distribute proposal to committee Submit to committee at least 2 weeks prior to scheduled meeting | Student with approval from chair |
| 7. proposal defense | Student, chair, and committee |

| Broad Steps | Responsible Parties |
|--|--|
| 8. summary of defense findings Complete Report on Dissertation Proposal Defense (see Program's Blackboard for form) | Chair with input from committee |
| 9. proposal revisions until the proposal is fully approved | Student, chair, and committee |
| 10. draft and finalize IRB proposal | Student and chair |
| 11. submit IRB proposal | Student with signature from chair |
| 12. revise IRB proposal as needed | Student with chair input and approval |
| 13. re-meet with committee as needed to discuss and gain approval for IRB-requested changes | Student, chair, and committee |
| 14. receive IRB approval | Student and IRB |
| 15. document IRB approval | Student submits to chair and program coordinator |
| 16. collect data | Student, remaining in touch with chair |
| 17. analyze data | Student, remaining in touch with chair |
| 18. proposal drafts and revisions until the finalized complete dissertation is approved by the chair for committee distribution | Student and chair with input from committee as desired by the chair and/or committee; allow up to one month per review cycle |
| 19. distribute dissertation to committee for pre-defense review | Student with approval from chair |
| 20. dissertation draft review meeting with committee | Student, chair, and committee |
| 21. revisions to the dissertation until a final document is fully approved as ready for public presentation | Student, chair, and committee |
| 22. request an outside reader | Student with approval from chair and committee after defense meeting |
| 23. dissertation public presentation | Student, chair, committee, outside reader, and public |
| 24. final dissertation committee meeting to review all committee member, outsider reader, and public feedback | Student, chair, committee, and outside reader |
| 25. revisions to the dissertation until a final document is fully approved | Student, chair, committee, and outside reader |
| 26. submit final document to chair for signature | Student and chair |
| 27. submit final document to committee for signature | Student with approval from chair, committee |
| 28. route document to PD for review, revisions, and signature | Student with approval from the chair; allow at least three weeks |
| 29. route document to the CLA or CAS dean's office for review, revisions, and signature | Student with approval from chair, PD, and college dean; allow at least three weeks |
| 30. have formatting reviewed and approved by the graduate school | Student, graduate school staff; must submit no later than the published graduate school submission deadline |
| 31. revise as needed to obtain the graduate dean signature | Student, graduate school staff, dissertation chair, graduate dean |

STAGE ONE – DISSERTATION COMMITTEE

The scientific merit, rigor, and content of a dissertation must be approved by a dissertation committee, consisting of at least four members. Establishing a dissertation committee is an important step in the student's career in the Ph.D. Program and must be considered carefully. The process generally begins by identifying a dissertation topic and chair. Also, students need to note a few department policies about the composition of the dissertation committees.

FINDING A DISSERTATION CHAIR

Students are responsible for identifying and securing a dissertation chair. The most appropriate timing for finding such a faculty member is in the third year in the program. Dissertation chairs are best identified through searching for psychology faculty members from the Psychology Department with research programs that overlap students' interests and it is advised that students learn as much as possible about faculty members' research as possible during their early years in the program. Students should also select dissertation chairs based on compatibility with the faculty member – similar working styles and personality traits are helpful during the stressful periods of preparing a dissertation. Students and their dissertation advisors will spend a lot of time together and having compatible styles and interest will be crucial for both members of this team to maintain a relationship that is conducive to student success. Students can often learn much from other students about faculty working styles and it is helpful to listen to peer advice. Maximizing exposure to a large number of faculty members within the Ph.D. Program will also be helpful in assuring that the students approaches the best person given their preferred dissertation topic.

SELECTING A DISSERTATION COMMITTEE

Selecting a committee will be guided by the scientific methods and contents of the dissertation, with students striving to achieve a balance of expertise on their committee. For example, if a student's dissertation relies heavily on qualitative methods, at least one committee member should have special expertise in this area. Students should generally not approach faculty members about serving on their committee until after having chosen a dissertation chair and having discussed other members with the chair. Once a dissertation chair has been identified, students will select their remaining dissertation committee members. This selection process, while ultimately up to the student, is best accomplished in close collaboration with the dissertation chair. The composition of the dissertation committee must meet the policies outlined below. It is requested that students meet with potential members of their committee in person (live or via Skype) to discuss participation on the committee by the faculty member (after having cleared this with their dissertation chair, of course). Email contact to solicit committee membership is not encouraged (except, of course, to arrange the in-person meeting).

Once a committee has been selected, an *Appointment of Graduate Advisory Committee* form is filed appointing the student's dissertation committee (see [Program's Blackboard](#) under Research Competency & Advancement to Candidacy for *Appointment of Graduate Advisory Committee* form). Every time the student makes a change to the composition of the dissertation committee, this form must be revised and filed again. The student should always work with the Program

Coordinator when filing or revising this form, as a copy must be retained in the student's graduate file within the Ph.D. Program. Changes to the committee must be approved by the PD and by the Graduate Dean.

Policies about Dissertation Committee Composition and Function

Standard Composition of Dissertation Committee

The standard four-member composition of a student's dissertation committee includes the following:

1. A committee chair who is a member of the Ph.D. program's core faculty.
2. Two committee members who are tenured or hold tenure-track positions within the psychology departments at UAA or UAF. These members have research and service components in their workloads. One of these two must be a core faculty member with the Ph.D. program (from either campus).
3. A fourth committee member who is faculty, within the University of Alaska system, tenured or holding a tenure-track position with research and service workload components.

Provisions for Exceptions to the Standard Dissertation Committee Chair or Membership

If a student wishes to petition for an exception to have a proposed chair who does not meet criterion 1 above, the student must submit the petition to the PD. The PD (in consultation with the core faculty as needed) will consider and approve or deny the petition for an excepted chair. Requests and approvals for such a chair have to be obtained before work on the dissertation can begin.

Other exceptions to this standard composition are possible and can be pursued by the student working with his/her chair to develop a proposed committee composition plan that provides justification for each member's inclusion on the committee. This proposal should clearly explain each member's area of expertise and how it will serve the student's research efforts. With the proposed chair's approval, this plan should be submitted to the PD who will bring it to the core faculty for consideration, review, and feedback.

Approval Process for Non-Core Chair and Excepted Committee Member

Students who need to seek approval for a non-core chair or an excepted committee member must submit a memorandum, and appendices as needed, to their PD outlining the reasons for the request. The PD will notify the core faculty, who will review the students' request before approving the non-core chair or excepted committee member. Students minimally need to address the following points in the request:

- **Rationale for the request** – most likely the rationale will arise from an alignment between the requested individual and the topic or methodology of the student's dissertation
- **Demonstration of chair qualifications** – if the requested chair is not a core faculty member, appropriate credentials to serve in the role of the chair must be documented in all of the following realms:
 - A contribution to the committee that is not available from among core faculty

- Terminal doctoral degree from an accredited academic institution
 - Expertise in the central topic area *or* expertise in the methodology of the dissertation
 - Sufficiently comprehensive knowledge in the topic area *and* methodologies of the dissertation to be able to critique the student's work with confidence and competence
 - Proposed composition of the remaining members of the committee detailing each member's contribution to the dissertation
- **Demonstration of excepted member qualifications** – if the requested member does not meet above criteria for committee members, appropriate credentials to serve in the role of the member must be documented in all of the following realms:
 - Terminal doctoral degree from an accredited academic institution
 - Expertise in the central topic area *or* expertise in the methodology of the dissertation
 - Basic knowledge in the content and methodologies of the dissertation, sufficient for critique and comment

If the Non-Core Dissertation Chair is approved by the PD, the current Academic Advisor will remain as the advisor to help ensure that the student is properly advised in other program areas.

ROLES AND RESPONSIBILITIES OF THE STUDENT

The student has many responsibilities, including but not necessarily limited to:

- Responsible for defining and carrying out the study
- Establish their committee
- Seek guidance and support from the chair and committee members
- Respond to, and integrate feedback from the chair and committee members in a timely and constructive manner
- Submit well-written and thoroughly proofread APA-formatted drafts to the chair
- Complete *Dissertation Proposal Checklist* (see [Program's Blackboard](#) under Dissertation for form) and the [Dissertation Formatting Checklist](#).
- Actively inform and solicit feedback from the chair and committee members on progress
- Meet with their committee at least once per calendar year after defending the dissertation proposal. Meetings will provide an opportunity for an update on the students' progress and provide a formal opportunity for the student to consult with their committee members. Changes to the original proposal and proposed changes should be given to the committee prior to any scheduled update meeting.
- Encouraged to meet with committee members individually throughout the dissertation process and communicate any potential decision or outcome to the chair and remaining committee members

ROLES AND RESPONSIBILITIES OF THE DISSERTATION COMMITTEE CHAIRS AND MEMBERS

The dissertation chair has many roles and responsibilities, including but not necessarily limited to:

- Guidance in the process of establishing a committee, assuring that all needed areas of competency are represented, especially if the chair does not have adequate competence in all necessary areas herself or himself
- Apportionment of responsibility among committee members in terms of special expertise in content or methodology, including appointment of co-chair as needed at or before the proposal defense
- Support of the student in the development of a proposal that is ready for defense (i.e., complete, well written and in APA format, methodologically sound, and that has the potential to contribute to the scientific or professional knowledge base)
- Approval of a proposal before it is sent to committee
- Verify completion of the *Dissertation Proposal Checklist*
- Convening of a proposal defense
- Chairing of the proposal defense, summarizing its outcome on the *Report on Dissertation Proposal Defense* (see [Program's Blackboard](#) under Dissertation for form), and coordinating/supervising any necessary follow-up requirements posed by the committee during the defense
- Approval of all necessary IRB proposals and any subsequent revisions
- Decision-making about reconvening the committee if extensive revisions are required by the IRB
- Ongoing supervision of the student's dissertation work, including data collection, data analysis, data interpretation, writing activities, and similar central aspects of dissertation work
- Convening of the committee upon the request of the student *or* any committee member
- Approval of a final dissertation draft before it is sent to committee
- Convening of a dissertation committee meeting with the committee (before scheduling a public presentation)
- Chairing of the dissertation committee meeting, summarizing its outcome, completing required paperwork, and coordinating/supervising any necessary follow-up requirements posed by the committee during the defense
- Clearing the student, based on full committee approval, for the scheduling of a public presentation
- Chairing of the final dissertation defense with the committee following the public presentation, summarizing its outcome, completing required paperwork, and coordinating/supervising any necessary follow-up requirements posed by the committee or outside reader after the public presentation
- Coordination and supervision of any requested revisions from the committee after the public presentation
- Approval, with support from the committee, of the collection of committee signatures on the dissertation

- Clearance, with approval from the committee, of the dissertation for routing to the next level of review (i.e., the PD).

Dissertation committee members have many roles and responsibilities, including but not necessarily limited to:

- Thorough review of the dissertation proposal
- Attendance at all committee meetings
- Active participation in the dissertation proposal defense, providing written and verbal comments and critiques
- Approval of the dissertation chair's summaries of the proposal defense via signature on the *Report on Dissertation Proposal Defense*
- Support of the student in the process of dissertation implementation as coordinated with the dissertation chair
- Thorough review of the final draft of the dissertation
- Active participation in the dissertation committee meeting (prior to public presentation), providing written and verbal comments and critiques
- Approval of the dissertation chair's summaries of the dissertation committee meeting and signature on supporting documents
- Approval of the dissertation draft prior to and for public presentation
- Provision of final input and dissertation approval at a committee meeting following the public presentation
- Approval of the final edited draft of the dissertation before it moves to the next level of review (i.e., PD)

STAGE TWO – DOCTORAL DISSERTATION PROPOSAL

Once a committee has been selected, the student may begin to plan the dissertation in earnest (see student responsibilities outlined above). It should be noted that to begin enrolling in dissertation credits students must have passed the research competency portfolio. The initial steps in planning the dissertation are best accomplished with the dissertation chair only; once plans have advanced to a concrete project outline, the entire committee becomes involved.

Working closely with the dissertation chair, each student will develop a Dissertation Outline which must be completed and approved by the chair. This will be used as one indication of progress on the Student Application for Advancement to Internship form. The dissertation outline will provide a guide for the dissertation proposal that must be reviewed and approved by the dissertation committee prior to any data collection. Proposals need to be of publishable quality, that is, quality that is consistent with standards in the field as related to content, design, writing style, comprehensiveness, and accuracy. It also needs to comply with APA style and content guidelines and meet UAF and UAA Graduate School guidelines for theses and dissertations as outlined in the current [Thesis Formatting Checklist](#).

Each student completes an APA formatted dissertation proposal of at least 30 to 60 pages (not counting appendices and references) that demonstrates the student's mastery of all background

literature relevant to the dissertation topic, design issues, and analytic strategies and that includes all of the following sections:

- a. Abstract that provides a brief study overview that summarizes the research question, significance to the field, and methodology.
- b. Comprehensive review of the most relevant literature to demonstrate mastery of the literature pertaining to the topic of the dissertation and to ground the research question in the scientific literature.
- c. Description and rationale for the current study including proposed research question(s) or hypotheses.
- d. Detailed methodology including:
 - Overview of design
 - Detailed description and rationale for:
 - sample and recruitment plans,
 - measure and instruments
 - procedures, and
 - analytic plan with details about specific analyses that will be conducted.
- e. References in APA format.
- f. Appendices that include all measures and instruments to be used.

The *Dissertation Proposal Checklist* and the current [Thesis Formatting Checklist](#) must be completed by the student and dissertation chair before disseminating the completed proposal to the dissertation committee in order to schedule the proposal defense meeting (see [Program's Blackboard](#) under Dissertation for *Dissertation Proposal Checklist*). Once the proposal is completed, the student officially defends the project to the entire committee in a formal dissertation proposal defense meeting. Before scheduling a defense meeting, the student needs to have met with and talked to each committee member about the project and proposal. A copy of the proposal draft must be received by all committee members at least two weeks prior to the scheduled meeting. Proposal defense meetings are scheduled for a two-hour time period. Students should leave the room at the outset and end of meeting so that the committee can confer in private. Students present for 10-15 minutes on literature and study rationale, 20-25 minutes on methodology at the beginning of the meeting and the remaining time is reserved for Q&A and committee discussion of recommendations.

In the formal defense proposal meeting, the dissertation plan will be vetted by the committee as a group and a final decision is made about the proposal. The proposal defense is essentially a protection for the student in that it gives a formal hearing to and acceptance of the dissertation plan. The dissertation proposal is similar to a contract between the committee and the student (e.g. content of Chapters 1-3).

Based on the proposal defense, the dissertation chair and committee will complete the *Report on Dissertation Proposal Defense* indicating, Pass without Revisions, Conditional Pass with

Revisions to be approved by dissertation chair only, Conditional Pass with revisions to be approved by full dissertation committee, or Fail (see [Program's Blackboard](#) under Dissertation for *Report on Dissertation Proposal Defense*). The report will clearly outline the outcome of the Dissertation Proposal Defense, and will list in detail any revisions required before passing the proposal defense. Once the proposal defense is passed (as outlined on the Report Form), the student may seek IRB approval. If revisions are required, they **must be submitted within three months, otherwise the Failure to Make Progress Policy will be invoked** (see [Part Six, p. 85](#)).

The *Dissertation Proposal Defense Checklist* and *Thesis formatting Checklist* will be attached to the *Report on Dissertation Proposal Defense* as backup documentation. Generally speaking, the first step after official acceptance of the dissertation plan will be for the student to seek approval for the research project from the local Institutional Review Board. Only after IRB approval has been received, is the student free to begin data collection. Specific information about how to conduct a dissertation and how to navigate the dissertation-related paperwork is provided in the dissertation workbook at [UAF](#) or at [UAA](#).

FEW RANDOM NOTES ABOUT THE DISSERTATION FORMATTING REQUIREMENTS

The directors of the UAA and UAF Graduate Schools regularly hold advising workshops related to dissertations. Students are encouraged to attend a workshop and seek guidance from the Graduate Schools regarding formatting questions. In the contexts of these workshops the following comments and recommendations have been made by these individuals:

- There is keen scrutiny of grammar and punctuation issues in dissertations. It is the responsibility of the candidate and the committee to produce a virtually error-free document (in terms of grammar and punctuation). It is very helpful to engage the services of an editor who reads the dissertation (for grammar and punctuation only) after the committee revisions and before submission for additional levels of review (i.e., PD, College Dean, Graduate School Dean). It should take no more than 10 hours at that point to proof the document (as these types of editors do not read for content or organization). Students are not required to secure the services of an editor, but need to be prepared for more review time after each subsequent level of review, should grammatical or punctuation changes be necessary at that time.
- Students are strongly encouraged to double-check references. Discrepancies between what is in the text and the list are common and quite annoying to the graduate schools. In fact, reviewers may stop reading after a certain number of discrepancies and will return the dissertation to the student for additional revisions before making a final review. It may thus be worthwhile to have another individual double-check references very carefully, verifying that each reference in the text is in the citation list and that each citation is used in the text. Reference lists must be in strict compliance with APA format.
- Common errors appear to occur with regard to tense choice in the various sections of the dissertation. The Graduate School reviewers use the verb tense guidelines in the APA manual. Students are encouraged to re-read these guidelines to make sure their documents abide by them.

SEEKING APPROVAL FROM THE INSTITUTIONAL REVIEW BOARD

All dissertations (or any other activity that is defined as “research” by the investigators) that involve interaction or intervention with living human beings are subject to review by the university’s Institutional Review Board. Principal Investigators must apply for and receive IRB approval before beginning to interact with human research subjects. This applies to all research involving people, including but not limited to clinical, social science, behavioral, historic, linguistic and marketing research projects. If in doubt, contact the Office of Research Integrity at UAF (474-7800 or fyirb@uaf.edu) or the Institutional Review Board Chair at UAA (786-1793 or rjboeckmann@alaska.edu).

The IRB process was outlined in detail above and will not be repeated here. It should be noted that the IRB reviews applications that are part of a dissertation *only* after the respective faculty committee has reviewed the proposed research, has approved it, and has cleared the student to advance the IRB paperwork. This process must be documented within the IRB paperwork that is formally submitted. The dissertation chair must sign off on the IRB proposal that is submitted and must vouch that she or he has read and supports the IRB proposal.

The goal of a dissertation IRB review is to facilitate a constructive review of research. The IRB process is intended to be an opportunity to ensure that the rights of the human research subjects are protected. Much like the student’s dissertation committee, the IRB requires information that documents the following issues, using the required formats at outlined elsewhere in this handbook:

1. Research design that is sound, given the proposed use of human subjects.
2. Equitable selection of subjects.
3. Careful consideration and representation of risks and benefits.
4. A thoughtful and comprehensive informed consent process.

If the IRB disapproves a research activity, the denial will include written notification that outlines the reasons for the decision and gives the investigator an opportunity to respond in person or in writing. The IRB has the authority to suspend or terminate previously approved research that is not being conducted in accordance with the established requirements or that has been associated with unexpected serious harm to research participants. Any suspension must include a statement in writing of the reason for the IRB’s action and will be reported promptly to the investigator, appropriate University officials, the research sponsor(s), and the Office of Research Integrity at UAF or to the Chair of the IRB at UAA. If the IRB denies approval of a dissertation, the student must take the proposal back to the dissertation committee and must work with the dissertation chair on any and all revision to the IRB document before resubmitting it.

One of the most critical aspects about dissertation IRB review is that both the faculty and students must keep in mind that IRB review is required and must be planned for from the earliest stages of dissertation preparation. Students need to build two months into their dissertation timeline for IRB review, especially if the project requires full review study; one month may be a reasonable expectation for expedited or exempt protocols. Regardless of how long it takes for IRB review, students should never begin data collection efforts prior to getting IRB approval. Faculty and students should speak with the IRB Chair or an IRB member from within the psychology

department ahead of time to determine what level of review is required (full, expedited or exempt), to assure that there are no surprises. Students and faculty absolutely need to know that their proposal is just one of many being reviewed, and that waiting until the last minute is a very poor strategy. Students need to remember that the IRB on-line training must be completed before they submit their dissertation IRB proposals, a reality that may also affect timing. Although supervising faculty members play a role in helping students plan for IRB review of their dissertation, the ultimate responsibility rests with the student.

IRB Documents to be Included in Dissertations

At a minimum, dissertations must include:

- the IRB approval letter;
- the annual IRB re-approval letter; and
- letters of support from community members/agencies (if applicable and required for the IRB submission).

Dissertations might also include:

- variations of research protocol,
- reports of adverse incidences sent to the IRB,
- final IRB report (if it is available at the time of dissertation submission; this report has to be submitted to the IRB when all work on the dissertation data is complete); and
- annual progress reports.

SPECIAL NOTE ABOUT DISSERTATIONS RELYING ON COMMUNITY-BASED PARTICIPATORY RESEARCH

The *Ph.D. Program in Clinical-Community Psychology* places strong priority on a community-based participatory research (CBPR) approach. In situations in which a community controls the research and/or expresses ownership over the data, graduate students may be placed in a potentially vulnerable position regarding dissertation completion. The requirements of dissertation completion for students can appear to create contingencies that are at cross-purposes with true community control. This dilemma can discourage precisely the types of innovative research design and research topics in student research that the program hopes to promote or may result in less than ethical decisions regarding the research project. For these reasons, the *Ph.D. Program in Clinical-Community Psychology* has special policies for dissertation research that uses a CBPR approach.

The most critical element is for continual communication between the student, dissertation chair and committee while negotiating the parameters of review and consent processes at the community or regional level. It is known that each geographic region varies a great deal within the state of Alaska in terms of how much control community members consider appropriate. It is also clear that the community at the village level may or may not want to review the work. However, in a CBPR approach the student will negotiate some form of participation of community members as co-researchers and, therefore, may have established an ad hoc method of

review. In the event a dissertation project is no longer acceptable to a community, as defined for the particular setting (e.g., school, village, regional entity), the following guidelines have been established.

Specifically, in the event that a community withdraws support for a dissertation project, students have several obligations and options. To begin the process of searching for alternatives, students must consult with their dissertation chair and committee. An array of flexible options can be considered in such cases, as long as students communicate effectively with their dissertation chairs. For example, communities may be willing to negotiate an alternative research design or analytic strategy to address the concern. If this is not the case, but the project has not yet proceeded to data collection, an alternative community site may show interest, or the scope or topic of the project may be changed to accommodate community concerns in the same or new community.

However, if data have already been collected, students are potentially faced with the task of starting over with an entirely new dissertation project. In this event, the program wishes to provide a set of contingencies that encourage students to honor community control and to return the original dissertation data to the community. In such cases (so as not to discourage CBPR dissertations), the program will accept a dissertation equivalence project. Two options are available: 1) a case study analysis of the project-community relations and the current impasse; or 2) use of an existing dataset to complete a new dissertation project.

To initiate a dissertation equivalence project of the first kind (case study), students must convene their dissertation committee to propose, in consultation with their chair, an analytic strategy to explore the challenges to the community partnership that led to the withdrawal of community support. In addition to an analysis of the history and the prehistory of the project, the case study dissertation equivalence project should include some form of IRB-approved original data collection and analysis. This data collection could consist of qualitative interviews to explore the source of conflict or community withdrawal of support with community co-researchers, community leaders, and community members, and/or researchers and other concerned or knowledgeable parties, or a quantitative analysis of survey data from such participant sources, or potentially even a lab-based experimental/analog study, for example, on some aspect of the acceptability/participant response to a problematic element of the original research protocol.

To initiate a dissertation equivalence project of the second kind (existing data set study), students must convene their dissertation committee to propose, in consultation with their chair, to develop a plan for such a project. Given that each circumstance will differ, considerable flexibility is granted students in devising a dissertation equivalence project. However, there are two firm program requirements for the dissertation equivalence project: (1) a new proposal must be prepared, representing a formal written secondary proposal that details the methods, analytic strategy, and format that is approved in a full committee meeting by the entire dissertation committee, and (2) submission of the new secondary proposal to the PD, who will be kept updated throughout the process of the development of a dissertation equivalence project.

STAGE THREE – THE DEFENSE & FINAL DISSERTATION REQUIREMENTS

DISSERTATION COMMITTEE DRAFT REVIEW MEETING

Once the dissertation is considered to be in final draft form by the committee chair, it will be routed for review and approval by the dissertation committee. After two weeks for review, the committee meets with the student to discuss the dissertation draft in preparation for the public presentation and defense. This meeting may result in concrete recommendations (and maybe a timeline) for making any necessary corrections and additions to the dissertation draft to prepare it and the student for public presentation and defense. Once the committee is satisfied with the dissertation draft and the candidate's ability to present the findings and field questions, the committee will formally approve the candidate to move forward with the public presentation and final defense of the dissertation.

DISSERTATION PRESENTATION AND FINAL DEFENSE

Once the final draft of the dissertation is completed and approved by the dissertation committee for presentation, the dissertation must be presented in a public presentation. The dissertation presentation must be made available to the public and for cohorts admitted prior to 2017 must be video-conferenced across the Anchorage and Fairbanks campuses. It is the students' responsibility to consult with their committee members on setting up a time for the defense presentation. The public presentation will be scheduled for two hours, the student will present for 45 minutes and will include approximately 15 minutes for questions and answers by anyone in the audience, the remaining time is for closed door committee meeting.

In addition to submitting the event to the above sites, students need to email their respective Graduate school. Please email the UAF Graduate School at UAF-Grad-School@alaska.edu or the UAA Graduate School at esmattison@alaska.edu so that they can add it to the graduate school calendar. A flyer announcing the dissertation presentation should also be sent to the Program Coordinator so that the flyers can be posted on each campus.

After the public dissertation presentation, students will meet privately with their committee, including the outside examiner (see below), and the final dissertation defense will take place. This meeting will result in a vote for final approval, conditional approval, or failure of the dissertation and completion of the *Report on Dissertation Defense* and the *Dissertation Approval Form* that will be submitted to the graduate school indicating the committee vote. Depending on decisions made by the committee during this meeting, additional work may need to be completed or the dissertation is approved as is. Once all committee members approve the dissertation in its final form, the committee will complete a *Report on Dissertation Defense* that indicates a PASS and the *Report on Dissertation Defense* will be signed by the committee members. The Program Coordinator will route the two forms for final signature and submit to the appropriate Graduate School.

OUTSIDE EXAMINER

In preparation for the formal dissertation presentation and defense, the student must request an Outside Examiner from the [UAF](#) or [UAA](#) Graduate School (depending on her/his own campus residency). The Outside Examiner will attend the dissertation presentation and final defense, and must be requested at least two weeks prior to the defense of the dissertation. The outside examiner must receive a copy of the dissertation no later than one week in advance of the presentation. The function of the outside examiner is to determine that a stringent, unbiased examination is given and that the dissertation and defense are fairly administered and evaluated. The student and advisor will both be notified of their outside examiner by the UAF or UAA Graduate School once an examiner has been identified. The examiner will be asked by the UAF or UAA Graduate School to complete and submit a *Report of Outside Examiner form* to the Graduate School within one week of the defense.

ACCEPTANCE OF DISSERTATIONS BY THE PROGRAM AND GRADUATE SCHOOL

Before the final dissertation acceptance, all committee members, the PD, the local College Dean, and the local Dean of the Graduate Schools must approve the dissertation. Any of these individuals can and may require changes or corrections to the dissertation that must be incorporated before that individual is willing to sign the *Dissertation Approval*. Signature on *Dissertation Approval Form* signifies final approval by the signer. This issue is discussed in more detail below.

Students should note that the deadlines published by the UAF and UAA Graduate School for paperwork submission only indicate when items need to be received by the Graduate School; these timelines do not take into account the review process by the committee, PD, or Deans. Students must plan ahead for all levels of review in planning their timeline for the dissertation presentation, defense, review, and revision.

DOCTORAL DISSERTATION ROUTING AND TIMELINES

Dissertation proposal drafts, dissertation drafts, and final versions of dissertations will be reviewed by committee members, including committee chairs, in a timely fashion. During the regular academic year (fall and spring semesters), committee members and chairs will review and respond to documents within no more than one month from receipt of the document. Students are advised that some faculty are off contract during the summer months and that the one-month review timeline cannot be relied upon during that time. Students are encouraged to discuss this issue with their committee members and to plan their timelines accordingly.

Students are also reminded that the final dissertation will be read by various other reviewers outside of the program and department (e.g., the college dean). These reviewers will also need time to conduct their review. Students are required to leave a lot of leeway for all levels of review in planning their graduation date; more specifically, the student must allow at least **three months** between the handing in of the final draft of the complete dissertation to the dissertation chair and the deadline for dissertation submission posted by the UAF and UAA graduate schools.

Policy for Routing and Approving Dissertations

The Ph.D. program has received approval from the UAF and UAA Graduate Schools for special routing and formatting of the dissertation title page. Once the final defense has taken place and the committee has approved the dissertation, both the *Report on Dissertation Defense* and the *Dissertation Approval Form* must be routed for signatures. To assure that both campuses are represented, the following routing and approval procedures are followed by the program:

Step 1: The dissertation advisor and committee sign the Dissertation Approval Form.

Step 2: The PD signs.

Step 3: The signed dissertation will be routed to the college dean of the campus at which the student is resident. The College Dean will sign on behalf of both the CAS and CLA colleges.

Step 4: Once the college dean has signed, the dissertation is routed to the other campus for signatures. The Graduate Dean will accept their opposite campus counterpart's signature as a voucher that the dissertation is in order and will simply co-sign the approval form. The Program Coordinator will coordinate obtaining the Graduate Dean of the other campus for co-signature.

Step 5: Once the Graduate Dean of the resident campus has signed and dated the *Dissertation Approval Form*, the regular UAF and UAA process is followed to finalize dissertation submission.

Dissertation Clearance Process for Students Admitted Prior to Fall 2017

1. The two campuses have different submission deadlines for graduation; please check the program's Google calendar and respective Graduate School website for submission deadlines for graduation. **This deadline is understood to be the deadline for receipt of the post defense dissertation (approved by the committee, advisor and College [CAS or CLA] dean) by the graduate school of the student's resident campus.**
2. The UAA and UAF graduate school are committed to matching each other's guidelines for dissertation formatting. If in reviewing dissertations, previously undetected formatting or other requirement differences between the two campuses emerge, contact your local graduate school for clarification.
3. Clearance for graduation is initiated by the graduate school of the resident campus and occurs once the first graduate dean signature has been obtained. As noted above, the other graduate dean will simply co-sign the approval form upon acceptance of the dissertation document by the resident graduate dean.
4. Once the document has been cleared by the graduate school of the resident campus, the student can submit the dissertation. Please check the respective Graduate School website for electronic submission guidelines.

[UAF students](#)

[UAA students](#)

Final grades for dissertations will be submitted once the dissertation has the **“Recommended”** signatures and has been received by the Ph.D. Program.

FINAL DISSERTATION PAPERWORK

See Dissertation Forms section in the Summary of Formal Procedures/Paperwork for Assuring Milestone for a complete list of documents needed when submitting the Final Dissertation Draft to the UAF and UAA Graduate Schools.

PROCESS FOR DISSERTATION CONFLICT RESOLUTION

From time to time, disagreements about decisions, deadlines, policies, procedures, and issues of academic judgment may arise between a student and member(s) of a dissertation committee. As in all such disputes, involved parties should, in the spirit of collegiality, attempt to resolve these issues internally and informally (i.e., within the dissertation committee or the program).

Following is an outline for the process that is in place to resolve disagreements, miscommunications, and similar issues on a dissertation committee. If this process does not lead to a satisfactory resolution, the formal university procedure for an Appeal of Academic Decision Other Than Grades can be initiated by the student.

Step 1 in Informal Dissertation Conflict Resolution

The initial step will be for the committee chair to call a meeting of the entire committee for the purpose of resolving the problem. As appropriate, this meeting may include the student.

Step 2 in Informal Dissertation Conflict Resolution

If the disagreement cannot be resolved through this process, or if the proposed solution is unacceptable to the student or one (or more) of the committee members, the disagreeing party or the committee chair may request that the PD review the situation and recommend a solution. This request is made, in writing, to the PD. The PD will make best efforts to render a decision within 30 days of being officially notified in writing of the situation. The decision will be provided, in writing, to the student, committee chairs and committee members.

If this PD is a member of the committee or otherwise presents a conflict of interest, the UAA Psychology Director or UAF Psychology Department Chair will review the situation and recommend a solution. In the review of the situation, the UAA Psychology Director or UAF Psychology Department Chair may request other non-involved faculty to review the situation and provide feedback to the Program Director. The UAA Psychology Director or UAF Psychology Department Chair will make best efforts to render a decision within 30 days of being officially notified in writing of the situation. The decision will be provided, in writing, to the student, committee chairs, and committee members.

Step 3 in Informal Dissertation Conflict Resolution

If the problem cannot be resolved at the program level, the disagreeing party or the committee chair may request that the Graduate Dean of the campus on which the student is resident review the problem and recommend a solution. This appeal must be made in writing within 14 days of the program's decision. The Graduate Dean will make best efforts to resolve the dispute to the

parties' satisfaction within 30 days. If the Graduate Dean is unable to resolve the dispute, the next recourse will be for the student to file a formal appeal using the Appeal of Academic Decision Other Than Grades procedure in accordance with the program's and university's policies and procedures.

PART FIVE: DOCTORAL INTERNS

DOCTORAL INTERNSHIP

For licensure as a clinical psychologist, individuals must complete a doctoral internship. This internship is a full-time, one-year training experience (or the equivalent of on a half-time basis) at a clinical site that meets certain minimum requirements for supervision and educational opportunities. Specific licensing requirements for internship hours and experiences may vary from state-to-state. It is in students' best interest to find internships that meet the local licensing requirements and the basic criteria laid out by the American Psychological Association (APA) for accredited internships. This is most easily accomplished by applying to APA-accredited internship programs listed through the [Association of Psychology Postdoctoral and Internship Centers](#) (APPIC).

Students seeking an APA-accredited internship are advised to thoroughly familiarize themselves with the APPIC website. This website outlines the application process for internships, detailing available sites and deadlines for application materials. The APPIC match process is outlined on the [National Matching Service website](#). The website also provides a good example of the match process and outlines the steps of how the algorithm handles each rank order list that is submitted.

The process of applying for an APA-accredited internship is highly regulated and should start very early in the academic year prior to the academic year when internship begins. Students need to begin planning for their internship application at least one year prior to the internship start date. Additionally, students must comply with the Advancement to Internship process for the *Ph.D. Program in Clinical-Community Psychology* (see below).

An internship does not have to be accredited by APA in order for graduates to be eligible to sit for licensure in Alaska. However, if students choose a non-accredited internship, they must be aware that different states have different licensing requirements for the doctoral and/or postdoctoral supervised experiences. For example, in November 2007, the Alaska State Licensing law listed the internship requirements summarized in the Alaska Licensing Requirements section below. Since these requirements are subject to change without notice, students are advised to review the [current licensing law](#) for criteria in effect when they wish to apply for licensure.

The program's *Internship Committee* provides review and support to students who seek non-accredited internships, reviewing proposed sites in terms of experiences that will be available to students, clinical populations, training and education opportunities, and similar issues as relevant to the Alaska licensing laws and the APA Standards of Accreditation. Such review is made on an ad hoc basis as requested by students considering such internship placements. Students can also seek input from the PD (who is the instructor of record for PSY 686).

Students are strongly encouraged to apply for doctoral internships that are accredited by the American Psychological Association. For non-accredited doctoral internships, the following criteria will be reviewed by the Internship Committee. If that committee finds that the internship

meets these criteria, they will forward the request and review findings to the PD, who will pass final judgment about whether to endorse a student's application to the site.

- Doctoral internships must be designed to provide a planned, programmed sequence of training experiences, the primary focus of which is to assure breadth and quality of training;
- The doctoral internship must have a clearly designated psychologist who is responsible for the integrity and quality of the training program and who is licensed or certified by a state or provincial board of psychology examiners;
- The doctoral internship must have two or more psychologists available as supervisors;
- The doctoral internship must have a written statement or brochure describing the goals and content of the internship, stating clear expectations and quality of an intern's work, and made available to prospective interns;
- Supervision must be provided by the person who is responsible for the cases being supervised;
- At least 80% of supervision must be provided by a psychologist;
- At least 25 percent of the intern's time (minimum 375 hours) must be spent in direct client contact providing assessment and intervention services;
- The internship must include at least two hours per week of regularly scheduled, formal, face-to-face individual supervision with the specific intent of dealing with the direct psychological services rendered by the intern;
- The internship must include at least two hours of other learning activities, such as case conferences, seminars on applied issues, cotherapy with a staff person, including discussion and group supervision;
- Supervision and training relating to ethics must be an ongoing aspect of the internship program;
- The intern must use a title such as "intern," "resident," "fellow," or other designation of trainee status; and
- The internship experience must consist of at least 1,500 hours and must be completed within 24 months.

As state licensing boards will put the burden of proof on the licensing applicant to prove that an internship meets its criteria, students electing non-accredited internship need to take special care to document their experience by tracking very carefully at least all of the following information:

- training agreement
- goal statement and description of internship content
- name and contact information of designated psychologist in charge of the internship
- supervising psychologist credentials, name, and contact information (need at least two!)
- credentials of individuals involved in delivering educational activities
- client contact hours
- treatment modalities
- client characteristics
- therapy hours
- assessment hours
- all other activities (nature, type, number of hours)

- supervision contact hours
- educational activities
- when in doubt, document!

ADVANCEMENT TO INTERNSHIP

Before students are eligible to apply for a doctoral internship placement, they must receive approval from the core faculty. Students must **PASS** the Research and Clinical Portfolios and at least conditionally pass the dissertation proposal defense. Additionally, students must submit *Student Application for Advancement to Internship* form and apply with a formal memorandum to the Program Director (PD) by September 30 (the fall semester prior to the year during which the student seeks to complete the internship) stating their intent to Advance to Internship (see [Program's Blackboard](#) under Doctoral Internship for *Student Application for Advancement to Internship* form). For most students, the application must be submitted during the fall of their fourth year in the program. Upon receipt of the student's request, the PD will notify the core faculty of the student's intent to advance to internship and will schedule a faculty review of the request.

During the review meeting, the core faculty will review the students' performance in the program to date and progress toward completion of all milestones listed on the *Advancement to Internship Review Form* (e.g., Clinical Competency, Research Competency, Community Competency, Doctoral Dissertation proposal defense, and Advancement to Candidacy). Based on this discussion and review, an *Student Application for Advancement to Internship* will be reviewed and approved by the core faculty. This form will be presented to the student by the advisor or PD before the student is approved to apply for internships. This form documenting approval by the full core faculty is necessary for the PD to certify the student's candidacy for applying for internship (an APPIC requirement) and to write a letter of support for the student (typically required by all approved internship sites).

If the core faculty are satisfied that the student has either met the various milestones or has made satisfactory progress toward them, they will advance the student to internship unconditionally. If the advancement is unconditional, the student is approved to apply for internship *and* to start internship, if admitted to an internship program. Advancement to internship may be conditional, depending on the student's progress toward completing certain milestones, and expectations will be clearly noted on the form with expected deadlines. If the advancement is conditionally based on the status of the dissertation proposal, revisions must be submitted within three months ([as noted in Part Four: Doctoral Candidate page 60](#)). If revisions are not submitted within three months, the Failure to Make Progress Policy will be invoked ([See Part Six: Relevant Program and University Policies page 85](#)).

APPLYING FOR INTERNSHIP

Who is identified as the DCT on the APPIC Application for Psychology Internship (AAPI)? For all students (at both UAA and UAF) Dr. Vivian Gonzalez is the Director of Clinical Training (DCT) and will serve as such with respect to all matters related to applying for internship by means of the APPIC Application for Psychology Internship (AAPI).

Do I identify my DCT as one of my Letter of Reference Writers?

APPIC requires all letters of reference to be submitted on an APPIC-approved Standardized Reference Form. To do that, students identify the names and emails of their referees. Referees then receive an email from APPIC with the attached reference letter template and instructions and password for entering APPIC's Reference Portal to upload the letter directly into the students AAPI. The student's DCT also enters the DCT Portal to complete the DCT Certification, attesting that the student is internship-ready and approved to participate in the Match. The DCT Certification has a text field in which the DCT enters the equivalent of his or her own letter of recommendation. In prior years, the PD never completed a letter of reference because it would be redundant if not duplicative to what was already entered for the DCT certification. In so doing, this allows the student to solicit another letter of recommendation for meeting the number of letters that each internship site requires or allows. Nevertheless, the DCT can also serve as a referee and submit an APPIC-approved Standardized Reference Form (see explanation from APPIC below regarding this matter.)

Below is a response directly from APPIC that provides additional guidance on whether or not students should be asking their DCT to write a letter of recommendation:

“(The DCT) and each student need to decide whether or not (the DCT is) serving as a true letter-writer (for one of their three letters) or whether (the DCT is) providing information as their DCT. I'm sure that will have to do with the nature of (the DCT's) relationship with each student. Most DCTs, in their comments, aren't nearly as lengthy and comprehensive as the information that is provided in letters of recommendation. So, for those students whom the DCT knows very well (e.g., your advisees, supervisees, etc.), the student may want (the DCT) to be one of their three letter-writers (or not... it's up to them to decide). For other students, they are probably best served with you not serving as one of their three letter-writers, allowing those roles to be filled by others who know them better.”

How should the UAA MS Degree in Clinical Psychology be listed on the AAPI?

While (a) there are some shared course numbers between the UAA MS and Ph.D. programs, and (b) most Ph.D. students elect to earn the MS degree during their doctoral training, the UAA MS Degree in Clinical Psychology is NOT a part of the Ph.D. program. As such, students should list your MS degree program separately.

How do I answer the AAPI questions regarding “comprehensive/qualifying examination”?

Our program's clinical portfolio is the functional equivalent of the comprehensive/qualifying examination. So, students should check “Yes” for having fully passed the clinical portfolio. Students should also check “Yes” under “Required for participating in APPIC match?” and “Required to attend an Internship?” columns.

Note that the AAPI does not ask about whether or not students have met other milestones. Therefore, there is no way students can indicate having passed their community portfolio and research portfolio/project.

Position Statement Regarding “Counting” Self-Report Measures (OQ-45, etc.) on the AAPI
Based on consultation with an official (board member) from the Association of Psychology Postdoctoral Internship Centers (APPIC) about the issue of whether and in what way the OQ-45

(and other self-report measures) may be counted and listed on a student's APPIC Application for Psychology Internships (AAPI), the following positions have been established and approved for guiding students when completing their AAPIs:

- The time accrued by a student in reviewing, interpreting, and utilizing data collected from self-report measures, particularly the OQ-45 used in our training clinics, cannot be listed as assessment hours. (This is because the student has not administered these measures; only hours spent administering measures are considered face-to-face assessment hours.)
- However, the OQ-45 and the number of times a student has reviewed, interpreted, and utilized their data can be listed in the next section (assessment instruments).

Additional Information Sources:

Here are some useful YouTube videos about the AAPI and MATCH:

[Primer on writing internship essays for the AAPI](#)

[Primer on interviewing for psychology doctoral internships](#)

[Overview of the APPIC internship match process](#)

[Matching Algorithm](#)

And also APPIC information on [student resources](#)

ENROLLMENT IN INTERNSHIP

The *Ph.D. Program in Clinical-Community Psychology* requires students who are doing their internship to register for *PSY 686 Predoctoral Internship*. Only students who have received approval from the faculty to advance to internship unconditionally and who have been admitted to an internship program may register for internship credits. Students must register for PSY 686 Predoctoral Internship for three consecutive semesters, for a total of eighteen credits. Most students will have a one-year internship and will register for 6 credits per semester for three consecutive semesters; students can have no more than 24 months to complete their internship, registering for no fewer than 6 credits per semester and having to take 18 credits total in consecutive semesters.

Students will register for PSY 686 Predoctoral Internship within the traditional academic year semester dates for fall, spring and summer. The PD will assign a DF for the first semester, a grade (P/NP) for the second semester, a DF for the third semester and at the completion of the internship assign the final grade (P/NP) to the first and third semesters.

Enrollment in and passing PSY 686 does not guarantee that licensing boards will accept the internship as meeting licensing criteria, especially if the internship is not APA-accredited. However, enrollment in PSY 686 will require students to maintain records that should help them prepare documentation for licensing boards.

DOCUMENTATION OF EXPERIENCES

The instructor of record must receive the following documentations in order for students to receive

a passing grade in the internship:

Items to be submitted to the course instructor to receive a passing grade in the course:

- Two evaluations – one submitted at mid-point and one at the end of the internship year.
 - to be based on input from internship supervisors and submitted by the Internship Training Director
 - using the internship program's competency evaluation system

APPIC POST-MATCH SERVICE

The Association of Psychology Postdoctoral and Internship Centers (APPIC) Post-Match Service

allows eligible internship programs to post information about unfilled positions for students who remain unmatched including those who did not participate in the APPIC Phase I or Phase II Match. Students who did not match in Phases I or II, or who did not meet the program's September 30th deadline to advance to internship, may wish to participate in the Post-Match Service. It is important to note that this service may include internship sites that are not APA accredited. The program highly discourages students from completing non-accredited internships. Students considering such sites must petition the program's Internship Committee, providing detailed information about the site ([see pages 71-73 for more information](#)).

In order for students to be eligible to participate in the post-match, they must have:

1. been approved to advance to internship (see information above),
2. passed the Research and Clinical Portfolios,
3. at least conditionally passed the dissertation proposal defense, and
4. not have accepted or committed to any other internship position.

If a student has not already advanced to internship, they should submit their *Student Application for Advancement to Internship* form directly to the Program Coordinator who will forward the form to the PD. Upon review, the PD will notify the core faculty of the student's intent to participate in the post-match service and will schedule a faculty review of the request to advance to internship.

The form should indicate the dates when their Research and Clinical Portfolios were passed and the date in which their dissertation proposal defense was passed or at least conditionally passed as well as indicating progress towards completing, all other milestones listed on the form (e.g., Clinical Competency, Research Competency, Community Competency, Doctoral Dissertation proposal defense, and Advancement to Candidacy).

The core faculty will review the students' performance in the program to date and progress toward completion of all milestones. Based on this discussion and review, the student will either be approved to participate in the Post-Match Service or will be directed to apply to Advance to Internship during the regularly scheduled Advancement to Internship review date of September 30th (fall semester prior to the year during which the student seeks to complete internship). This form will be presented to the student by the advisor or PD before the student is approved to apply for unfilled internship positions. This form documenting approval by the full core faculty is necessary for the PD to certify the student's candidacy for applying for internship (an APPIC

requirement) and to write a letter of support for the student (typically required by all approved internship sites).

Students must review the application requirements provided on the Post-Match Service website to ensure that their application materials are complete before applying to sites.

PART SIX: RELEVANT PROGRAM AND UNIVERSITY POLICIES

ACADEMIC AND UNIVERSITY POLICY ISSUES RELEVANT TO THE PH.D. PROGRAM

WAIVING COURSES

Because the sequence and content of courses are considered to be so fundamental to the preparation of students who graduate from the Clinical-Community Psychology program, the faculty decided in Spring 2016 that no required course can be waived unless the exact course required by the Ph.D. Program has already been taken (i.e., student has already successfully completed the UAA MS course and deemed to be equivalent.) Courses that have the same name or may superficially appear to have the same content may differ from courses as taught in the Ph.D. Program. Thus, no Ph.D. course can be waived based on having taken that course at another institution.

PRACTICUM EXPERIENCES AND EMPLOYMENT AT PRACTICUM SITES

A practicum is viewed as a training experience that, unlike professional employment, has an emphasis on supervised student learning over provision of services. The purpose of the practicum placement series on the part of the student, agency, and clinical supervisor is to assess and facilitate improvements in student knowledge, skills, and abilities in a stepwise and more progressively complex manner. At its core, the goal of a practicum is not product or task completion, or the generation of income; rather, student learning is the aspiration of a practicum experience. A practicum experience, like other courses, requires course goals, student learning objectives, and specific learning experiences. The specific learning experiences in practicum include, but are not limited to weekly individual and group clinical supervision, careful tracking of experiences, evaluation/feedback, and supervisor completion of a Clinical Practicum Evaluation twice a semester.

Practicum experiences are seen as distinct from employment in which, by necessity, the emphasis is on work productivity and/or income generation. Although an employer may provide supervision, it is primarily to ensure quality of work rather than to provide an employee a learning experience. Employees are expected to deliver a product or outcomes for which he/she is already trained; whereas, practicum students are expected to gain training and enhance their skills.

A few other factors may help to discriminate between a practicum experience and a work experience.

- 1) Practicum experiences may include a stipend, travel reimbursement, or housing allowances. However, such financial arrangements are not pay for services, but rather intended to help facilitate the student being able to participate in the practicum.

Conversely, work experiences include a wage or salary, and may include health or other benefits.

- 2) Practicum experiences are generally available to all students in the program. That is, other doctoral students in the same program would have similar eligibility for a given practicum experience.
- 3) Although work experience will generally not count as a practicum and thus not count toward the required practicum hours, such experience can be reported in portfolios as additional evidence that a student has gained mastery of clinical and/or community skills.
- 4) Except under unusual circumstances, students may not do a practicum at a site in which they are currently or previously been employed.

PROTOCOL FOR COORDINATING ABSENCES FROM COURSES

Participating in and learning from clinical, community, cultural, rural experiences, practicum activities, and program committees are important to the mission of the Ph.D. Program; classroom attendance should be students' top priority.

A maximum of one excused class absence per course is allowed. If circumstances – deemed legitimate by the instructor – cause a student to be absent beyond one missed class, the possibility and nature of alternative arrangements will be determined by each course instructor and specified in their syllabi. If there is more than one class absence per course, the instructor may assign an incomplete grade (I).

When classroom absence is unavoidable due to emergencies or coordinating multiple responsibilities with conflicting time demands, open and timely communication among students, instructors, supervisors, and advisors is crucial and expected for respectfully and effectively addressing scheduling conflicts and anticipated absences. The following guidelines are offered to provide some general parameters to address classroom attendance.

- Generally speaking, non-course activities are scheduled around course times, including avoiding conflict with the beginning and ending of classes; students are expected to arrive to start class on time and remain for the entire class.
- In accordance with the UA Board of Regents Policy 09.05.00 students may not miss class in order to fulfill employment obligations.
- Generally speaking, rural research is scheduled around multiple requirements and priorities, including community activities, faculty responsibilities, and student obligations. Coursework requirements therefore, must be one of the factors considered when scheduling of such rural experiences. It is acknowledged that arrangements for rural experiences can change at the last minute (e.g., due to community events or weather delays).
- If an unavoidable conflict arises, students talk with their course instructor(s) as soon as they become aware of a schedule conflict, ideally at the beginning of the semester, but certainly with as much notice as possible. A discussion, not only an e-mail communication, is preferable to give both parties opportunity to brainstorm possible solutions. Issues to explore may include:
 - Scheduling the conflicting experience around important class requirements or around important class sessions that absolutely require the student's presence.

- Audio/video recordings of the missed class for later viewing by the student are not permissible under any circumstance.
- Clarifying how the student will turn in assignments, make up missed work, and whether there are changes in the deadlines (NOTE: if there are changes in deadlines, it may be preferable to change the deadline for the whole class rather than just one student).
- If scheduling conflicts become a chronic problem, the student, instructor, and faculty member supervising the conflicting activity will communicate with each other and coordinate scheduling to minimize conflicts and develop solutions.

CONTINUOUS ENROLLMENT POLICY

It is the preference of the Ph.D. Program that students be enrolled full-time at all times. Full-time enrollment requires a minimum of nine credits per fall and spring semester. There may be times when students need to go to a part-time schedule due to life circumstances. Students must request approval from their PD in writing to move to a part-time status in the program.

Further, students need to be aware of the university policy on continuous enrollment policy, shown below.

CONTINUOUS REGISTRATION REQUIREMENTS BY CAMPUS

UAA

Continuous registration is expected every semester as appropriate for the program, from admission through graduation, until all requirements for the degree are completed.

To make continuous progress in a graduate program, students have the following options: Register for at least 1 graduate-level credit applicable to their graduate degree, or pay the continuous registration fee to remain active in the graduate program although not registered in any courses. Students are also expected to register or pay the continuous registration fee for the summer if they use university facilities or consult with faculty during the summer.

The continuous registration deadline is the same as the deadline for registration for thesis, research and independent study courses, i.e., the end of the ninth week of fall and spring semesters or the end of the seventh week of the summer semester.

Failure to undertake continuous registration may result in previously deferred (DF) grades taken for thesis research becoming permanent grades. Students not making continuous progress or not on an approved leave of absence may be placed on academic probation or, in some cases, removed from graduate degree-seeking status.

UAF

Graduate students must be registered for at least 6 credits per year (fall, spring, summer), at the graduate or F400-level in courses relevant to the graduate degree, while actively working toward a degree. Those who wish to temporarily suspend their studies should obtain an approved leave of absence.

Additionally, students must be registered in both the semester that they defend and the semester in which they receive their degree as per the requirements under Graduation.

Graduation Responsibility

Students are responsible for meeting all requirements for graduation. Students must be registered for a minimum of 3 graduate credits within their discipline and maintain enrollment in the semester that they successfully defend their thesis, and must be registered for a minimum of 1 graduate credit within the discipline and maintain enrollment during the semester that they graduate. Students Advancement to Candidacy must be received by the Graduate School the semester before intending to graduate.

TIME LIMITATIONS ON THE PROGRAM

Students may elect to graduate under the degree requirements in effect in the first semester of their enrollment in the program or under the catalog in effect when they graduate. However, students who do not meet the continuous enrollment requirement waive the right to use the catalog in effect when they first entered into the program; in such circumstances, students must use either the catalog in effect during the semester of their reentry into the program or the catalog in effect when they graduate.

All non-academic policies and regulations listed in the *current* catalog apply, regardless of the catalog students are using for their degree requirements. All coursework listed on the advancement to candidacy form and all other degree requirements must be satisfactorily completed within **ten years** of entry in to the program.

LEAVES OF ABSENCE

On rare occasions, a student may need to request a leave from graduate studies for personal or professional reasons. A leave of absence petition requires the following steps:

1. The student initiates the process by discussing options with the academic advisor. The student and advisor can consider alternatives, such as reduced course loads or alternative sequencing of classes.
2. If the option to seek time off from the program is elected (no more than two semesters), the student submits a Temporary Leave of Absence form for approval.

The University's Continuous Enrollment Policy requires that graduate students enroll in 6 credits per year (fall, spring, summer), in graduate or 400-level courses relevant to the graduate degree. Students who fall below 6 credits in a given academic year must also apply

for a *Temporary Leave of Absence*. It is the student's responsibility to track and initiate paperwork required by the Graduate Schools.

It is important to note that students admitted prior to Fall 2017 and residing on the UAF campus who do not register for at least 6 graduate credits or obtain an official UAF Graduate School Leave of Absence are dropped from graduate study by the UAF Graduate School. According to UAF policy, once dropped from the UAF Graduate School, students must apply and be approved for reinstatement before being allowed to resume their program.

Leaves of absence are usually granted for no longer than one year. If a longer absence is required, students will need submit another Leave of Absence form and submit a formal memo through their advisor to their PD after their first year's leave. A leave of absence *does not* affect the ten-year completion rule; so even if students take a leave of absence, they must still complete the degree requirements within ten years of admission to the Ph.D. Program.

REINSTATEMENT TO GRADUATE DEGREE STATUS

Students who do not meet registration requirements and fail to file an approved leave of absence may request reinstatement to their graduate degree program. A "Reinstatement to Graduate Degree Status" form must be completed and signed by the appropriate PD and approved by the Dean of the Graduate School. There is a reinstatement fee that must be paid after one calendar year from the semester in which the student was removed. When re-applying for graduate studies, it is the student's responsibility to demonstrate ability to succeed in the graduate program. Readmission may be conditional on maintaining minimum academic standards within the first semester of study.

ACADEMIC STANDING

GOOD STANDING

Graduate students are in good standing when they have a cumulative GPA of 3.00 or higher and a semester GPA of 3.00 or higher for the most recently completed semester. Students are presumed to be in good standing during their first semester. Graduate students in their second year of study and beyond must also have an Annual Report of Student Progress on file with the Graduate School to be considered in good standing. Students in good standing are academically eligible to re-enroll at UAA.

A student with a GPA of less than 3.0 will be subject to academic action. Academic action may result in probation, continuing probation, or loss of degree-seeking status.

ACADEMIC PROBATION

Academic probation is the status assigned to those students not in good academic standing (i.e., whose semester and cumulative GPA falls below 3.00). It also applies to students who fail to undertake continuous registration or fail to make progress toward a graduate degree as indicated by the Annual Report of Student Progress.

CONTINUING PROBATION

Continuing probation is the status assigned to those students who begin a semester on probation and during that semester earn a semester GPA of 3.00 or higher without raising their cumulative GPA to 3.00. This status may be continued until the student raises their cumulative GPA to 3.00 or loses their degree-seeking status.

ACADEMIC DISQUALIFICATION

Academic disqualification is the status assigned to those students who begin a semester on probation or continuing probation and fail to earn a semester GPA of 3.00, fail to undertake continuous registration or fail to make progress toward the degree. Those students' admission status will be changed to non-degree-seeking. Students who have lost graduate degree-seeking status may continue to attend UAA as non-degree-seeking students. However, those students do not qualify for financial aid and international students will lose their immigration status. Students must apply for reinstatement to UAA.

When a student is placed on academic probation, the student will be informed in writing by her or his advisor of the requirements to return to good standing. Minimally the student will be required to raise her or his overall GPA to a minimum of 3.0; other requirements may also be imposed as determined by the local Dean of the Graduate School, the PD, and the student's advisor. If a student does not return to good academic standing by the end of the two semesters following placement on academic probation, the student may be dismissed from the program.

If a student receives a grade of C or lower in any doctoral class, this class must be repeated. If a student receives one C or lower grade, the faculty advisor will meet with the student to discuss issues that may have contributed to the low performance. The student and advisor will jointly prepare a plan to address any factors that may potentially impede the student's successful completion of the course. If a student receives 2 or more Cs or lower grades in any doctoral classes they will be automatically placed on academic probation. The procedures outlined above regarding academic action status apply.

Academic probation may result in the discontinuation of graduate assistantships. A student on academic probation status for one semester may petition to continue as a graduate assistant for the next semester. A maximum of one semester's exception will be allowed to the student. The petition by the student to continue with an assistantship must be approved by the student's advisor, the PD, and the local Graduate Dean.

Academic probation status may result in the student not being approved for practicum until the student returns to good academic standing. A student on academic probation status for one semester may petition to enroll in a practicum for the next semester. A maximum of one semester's exception will be allowed to the student. The petition by the student to enroll in a practicum must be approved by the student's advisor, the PD, and the local Graduate Dean.

Academic probation status will result in the student not being approved for doctoral internship until the student returns to good academic standing and meets all other requirements for internship application. No petition process for this circumstance is available.

FAILURE TO MAKE ADEQUATE PROGRESS POLICY

Faculty are committed to help students successfully complete the program in a timely manner. Likewise, students are expected to maintain full-time status and progress through the program.

Assuming a five-year plan, the program has a number of milestones to be met with the research portfolio being completed by the end of Year 2, the clinical portfolio and dissertation proposal defended by the end of Year 3, and community portfolio by the end of Year 4. Students are expected to apply for internship no later than fall of Year 4 in order to graduate in 5 years.

There may be times when students need to transition from full-time to part-time status due to life circumstances. Students must request approval from their PD in writing to change to part-time status in the program. Regardless of full or part-time status, students are still required to make adequate progress commensurate with their status.

The Annual Professional Development Reviews are used to track and document expected progress for degree completion. If milestones are not met within one year of expected timeline, the Failure to Make Adequate Policy will be implemented.

DISSERTATION PROGRESS

Students are also required to make adequate progress on their dissertation when enrolling in dissertation credits. The committee chair will delineate those expectations with each student based on the research being conducted. Each semester, substantial gains must be made towards dissertation completion in order to continue registering for credits.

If the student is not making adequate progress, the following steps will be implemented to help the student:

Step One: Preliminary Assessment & Plan

The PD, advisor, and student will develop a revised program of study timeline that will be placed in the student file. The advisor will track the student's progress and will keep the PD informed. If the timeline is not followed, a formal Failure to Make Progress Plan that includes a revised timeline will be developed.

Step Two: Notification of Full Faculty

If the preliminary plan was ineffective in helping the student make progress, the Ph.D. faculty will discuss the situation and will make an initial determination about whether the situation warrants further action under this policy. If the program faculty determines that formal action is not needed at this time, the PD, advisor, and student will develop an updated timeline to pursue. A copy of this revised timeline will be placed in the student file. The Annual Professional

Development Review will indicate that the student is on a revised timeline for degree completion, and this review will be forwarded to the Graduate School.

Step Three: Notification of the student

If the Ph.D. faculty deems further action is warranted, the student will be notified of the full faculty decision to invoke a formal action.

Step Four: Initiation of Formal Action

The program's Governance Committee, along with other relevant faculty members (i.e., student's advisor), will evaluate the nature of the problem and will decide on a formal course of academic action, i.e. academic probation.

Step Five: Determination of Remediation Plan or Need for Dismissal

If a student's progress is deemed inadequate in Step Four by the Governance Committee, the student will be informed in writing by their advisor and PD that they are on academic probation. At this point, the student must submit a formal Progress Plan that includes a timeline documenting a plan for achieving the relevant milestone(s) to the PD. This plan must be approved by the Governance Committee. Students may be dismissed from the program if they do not return to good academic standing (i.e., achieving the relevant milestone(s)) within two semesters of being placed on academic probation as determined by Governance Committee review.

If a student's progress indicates initiation of a dismissal action, the student will be informed in writing of this decision from the advisor and PD. Students may respond to the pending dismissal action by petitioning the Governance Committee, but they must do so before the end of the semester in which the dismissal action was initiated. If they appeal, students should submit to the PD a formal Progress Plan that includes a timeline, supported by their advisor, detailing dates by which they intend to meet any unachieved milestone(s).

If the appeal is granted, the student's timeline for meeting milestone(s) will be evaluated by the Governance Committee at the end of the next semester. If progress is being made and deemed adequate by the Governance Committee, the student will be allowed to continue working toward program completion. If progress is deemed inadequate, dismissal will be pursued.

If the student does not appeal or the appeal is not granted, the Governance Committee will move forward with the student's dismissal from the program.

STUDENT IMPAIRMENT AND INCOMPETENCE POLICY

The *Ph.D. Program in Clinical-Community Psychology* is committed to student success in the realms of academic competence and professional growth. The program is committed to assisting students with the integration of personal values, attitudes, and functioning by providing a learning environment that allows students to explore personal issues as they relate to professional functioning. As such, the program will assure that students have the necessary knowledge of issues that will support healthy academic and applied practical professional development. Specifically, the program will provide students with the following information:

1. relevant professional standards and guidelines, and appropriate avenues to discuss the implementations of such standards, with reminders to review this information regularly;
2. laws and regulations that govern the practice of psychology, and appropriate forums to discuss the implementations of such standards, with reminders to review this information regularly;
3. academic standards and policies of the program and universities, with reminders to review this information regularly;
4. regular evaluation of student progress and growth as professionals, including feedback about academic and applied practical performance; and
5. regular evaluation of student personal functioning as related to the delivery of professional services, including feedback about strengths and potential areas of concern.

Given the program's commitment to student success and growth, responsibility for upholding academic and professional standards, and responsibility to protect the public and university, a strong policy for detecting and remediating student impairment and incompetence is important. This policy is focused on assuring student growth and development and has as its purpose the assurance of student success.

DEFINITIONS OF IMPAIRMENT AND INCOMPETENCE

Managing student difficulties with regard to conduct or performance is of particular importance in applied psychology programs that prepare students for work with individuals, families, groups, and communities. Graduates from such programs must be capable of providing services at a high level of quality and without personal barriers. In fact, unimpaired and competent practice is a core aspect of the ethical guidelines for practice stipulated by the American Psychological Association (APA). Specifically, the APA Ethical Principles of Psychologists and Code of Conduct (2002) require that psychologists meet standards of competence and are free of personal impediments that could impair professional performance based on generally accepted standards of care. It further indicates that training programs have the obligation to apply these standards of performance to students, requiring programs to take remedial action or initiate dismissals of students who do not meet performance standards. Training programs must address student incompetence and student impairment, whether such issues arise in academic, clinical, research, or other components of the program. Student incompetence and impairment are defined below.

Incompetence

Given the program's requirement to assure high academic standards and to assure the protection of members of the public seeking services from program graduates, program officials must be rigorous in identifying and remedying inadequate student academic performance. Academic performance issues that may signal incompetence include, but are not limited to the following:

- failure to maintain minimum academic standards
- unsatisfactory performance in applied practice courses (e.g., practica, internship)

- unsatisfactory performance in assistantship (e.g., teaching, service or research)
- academic dishonesty or any other violation of the universities' student codes of conduct
- failure to maintain regular or solicited contact with advisors and the core team (PD and Program Coordinator)
- unethical practices and/or unprofessional conduct as specified in APA or state guidelines for ethical behavior

Impairment

Given the program's value of helping students integrate personal and professional values, attitudes, and functioning, it is not surprising that impairment may be detected in the personal realm (as opposed to strict academic performance) of a student's performance. Personal functioning and effectiveness are closely related to professional functioning and effectiveness, especially in the context of service delivery to individuals, families, groups, and communities. Personal difficulties that may result in impaired professional performance include, but are not limited to, the following:

- psychological adjustment problems and/or inappropriate emotional responses
- extreme personal/relationship difficulties
- emotional and mental disorders
- physical hardships, including substance abuse issues
- cognitive impairment due to injury or illness
- inappropriate management of personal stress or professional burnout
- inadequate level of self-directed professional development
- inappropriate use of and/or response to supervision or academic guidance
- problems with conduct in assistantship (e.g., teaching, service, or research)
- violations of civil rights or harassment violating federal, state, and program policies
- violations of any criminal laws

Incompetence or **impairment** may at times only reach the level of concern (as opposed to difficulty, which will be defined below). **Concern** refers to students' behaviors, attitudes, or characteristics that raise concern among faculty and may require remediation, but are perceived to be developmental in nature and likely to be resolved through ongoing education, mentoring, and professional growth. **Incompetence** or **impairment** reach the level of a student **difficulty** that requires more severe intervention if they manifest in one of the following ways:

- 1) Students demonstrate inability and/or unwillingness to acquire and integrate professional standards into their repertoire of professional behavior.
- 2) Students demonstrate inability and/or unwillingness to acquire professional skills necessary to reach an acceptable level of competence.
- 3) Students demonstrate inability to control personal stress, psychological dysfunctions, and/or excessive emotional reactions that interfere with professional functioning.

Student difficulties are likely to result in at least one or more of the following characteristics:

- 1) The student does not acknowledge, understand, own, or address the problem when it is identified.

- 2) The difficulty is not merely a reflection of a skill deficit that can be rectified through an academic, didactic remediation plan, or additional practical experience.
- 3) The quality of academic or applied work conducted by the student is documented by a skilled supervisor to be negatively affected.
- 4) The difficulty affects at least two areas of professional functioning.
- 5) A disproportionate amount of faculty attention is required.
- 6) The student's behavior does not change as a function of feedback, remediation efforts, and/or time.
- 7) The problematic behavior has potential ethical or legal ramifications if not addressed.
- 8) The student's behavior negatively affects the public view of the training program or university.
- 9) The problematic behavior negatively affects other students in the training program.

IDENTIFICATION OF IMPAIRMENT AND INCOMPETENCE

Management of student impairment or unacceptable academic performance must reflect awareness of and compliance with ethical and accreditation standards of the American Psychological Association and be consistent with other related program and university policies. Management of student impairment must also ensure due process for the student, including clear guidelines and procedures, as well as clearly articulated avenues of appeal for affected students (such as the ability to file grievances and dispute program decisions). Given these values, impairment and/or incompetence need to be identified and managed as early in a student's training program as possible. This process requires several steps:

- 1) Routine formative and summative assessment of each student's performance and conduct (i.e., Annual Reviews).
- 2) Feedback based on these assessment throughout the academic year that acknowledges both strengths and weaknesses, along with recommendations for remediating weaknesses.
- 3) Written documentation of feedback that is placed in the student's academic record at the time the student difficulty is discussed with the student and faculty.
- 4) Opportunity for the student to respond to feedback. The specifics of the ongoing assessment of students are provided elsewhere in the student handbook (refer to Annual Student Review, Advancement to Candidacy Review, Advancement to Internship Review, and the Research, Clinical, and Community Portfolios).

If the student assessment raises impairment or incompetence concerns, a supportive process of correction or remediation will be initiated. Throughout this process, the student will be treated with compassion, support, and dignity; further, the primary goal remains the desire to assist the student with completing program requirements successfully. Although it is preferable for impairment or incompetence to be dealt with through prevention or voluntary intervention; at times, the program may need to require a formal process of remediation. If remediation is not successful, student dismissal may be necessary. Given that remediation and dismissal are significant events for both the student and faculty, a formal process is necessary to assure that all parties are treated fairly, all procedures comply with ethical and policy guidelines relevant to the program, and students are accorded due process.

DEALING WITH IDENTIFIED INCOMPETENCE OR IMPAIRMENT

Once impairment or incompetence has been identified, a review process will be initiated that will protect students' due process rights as well as the rights of faculty to uphold the academic and professional standards of the program and universities. The specific steps that need to be followed as part of the remediation and dismissal review process are outlined below. All of these steps will be carried out in collaboration with the relevant College and Graduate School Deans of the campus at which the student is resident. This collaboration will be consistent with policies outlined elsewhere for following campus-specific rules in cases of academic appeals or grievances, as outlined in the Ph.D. Program Student Handbook.

Step One: Preliminary Assessment

Any member of the program or psychology department faculty, clinical supervisors, students, clients, or professionals and agents outside the program or university community may initiate a concern of impairment or incompetence. All concerns of impairment or incompetence will be brought to the attention of the PD for discussion. This preliminary discussion will include the individual making the allegations, the PD, and any other relevant program faculty (e.g., the student's academic advisor, student's practicum supervisor). This group will make an initial determination about whether the situation warrants further action under this policy.

Step Two: Preliminary Meeting of Student with Program Directors

If appropriate, the PD will meet with the student after the initial report of concern is made to allow the student an opportunity to provide input into the situation. This meeting could also potentially provide more information for the full faculty meeting, if that meeting is deemed necessary.

Step Three: Notification of Full Faculty

If the group convened in Step One deems further action is warranted, the PD will inform the full Ph.D. faculty of the situation in an executive session of the next-scheduled faculty meeting. If the situation arises during a time when no faculty meetings are scheduled, a special meeting will be called. The core faculty will discuss the situation and will make an initial determination about whether the situation warrants further action under this policy.

Step Four: Notification of the Student

The PD will initiate a meeting with the student, the student's advisor, the faculty member or other responsible party who (e.g. practicum supervisor) identified the concern, and any other relevant faculty person (e.g., research supervisor, practicum supervisor, dissertation committee members, as appropriate) to discuss the matter. This meeting will assess whether informal resolution is possible or whether formal action is required. During this meeting, the student will be informed of the concern that suggests impairment or incompetence. The student will also be informed of any proposed remedial or other action(s) deemed appropriate.

Informal Resolution: During this meeting, if appropriate, the PD may initially advise the student to seek an informal resolution of the concern with the reporting party. If informal resolution is desirable and deemed reasonable by all individuals present, the student will work with the reporting party and the concern will not be further addressed by the PD.

The student and the reporting party will each individually inform the PD of the outcome of this action within 30 days. If the situation is resolved to the satisfaction of the student and the reporting party, no further action will be taken. If the student or reporting party report lack of resolution or if either party fails to report back to the PD, formal action will be initiated.

Step Five: Initiation of Formal Action

If informal methods at problem resolution are deemed inappropriate or attempts at informal resolution were ineffective, the program's Governance Committee, along with other relevant faculty members (i.e., student's advisor, the individual who initiated the concern), will evaluate the nature of the problem and will decide on a formal course of action. Depending on the nature of the allegations, a student's status in the program may be in immediate jeopardy and the goal of the review would then be for the committee to decide whether to retain or dismiss the student from the program.

The Governance Committee may invite any persons deemed to have relevant information to submit such information in person, telephonically or in writing prior to the meeting. The student will be given copies of all written materials under consideration in advance of the meeting. The student will be invited to attend this meeting (in person or telephonically) and to present testimony. In addition, the student may invite other individuals who have relevant testimony to present material to the committee. The student will provide the PD with a list of these individuals at least two days in advance of the scheduled meeting. The student has no right of cross examination. A student may have counsel present but counsel may not speak or advocate on behalf of the student.

Step Six: Determination of Remedial Plan or Need for Dismissal

Following the presentation of testimony and evidence, the Governance Committee and student's advisor will convene to deliberate and arrive at a decision regarding the student's standing in the program. Other interested faculty may also be invited, based on their relationship with the student (e.g., ANCAP faculty, assistantship supervisor). This decision may result in either (a) retention of the student in good standing, (b) a judgment to allow the student to continue in the program on not-in-good-standing status until specified remedial conditions are met, or (c) immediate dismissal of the student from the program. The decision of the Governance Committee and student's advisor shall be a collegial decision through reason and judgment of the committee. The decision shall not be subject to civil or criminal standards of proof.

If it is determined necessary to refer the student for psychological assessment or psychotherapy, the referral will be made to a qualified psychologist who has no personal or professional connection with the Ph.D. Program in Clinical-Community Psychology. A list of at least three acceptable referral choices will be made available to the student who will be allowed to make the final choice. Any costs incurred as part of the remedial plan are the responsibility of the student. If the student documents financial constraints impeding the ability to bear the cost of the remediation plan, the parties may negotiate a compromise that is acceptable and meets the spirit of the original plan. All recommendations will be specified in writing.

Step Seven: Formal Notification of the Student

Following completion of the Governance Committee and the student's advisor's decision-making, the student will be notified in writing of the committee's decision. Written documentation will specify what, if any, conditions must be satisfied by the student to maintain good standing within the program. The Governance Committee may delegate responsibility for written documentation and notification of the student to the individual deemed best suited by the committee to provide this feedback to the student. However, the default is for the PD and the student's advisor to meet jointly with the student to deliver the written feedback.

If a student wishes to appeal the outcome of the committee's decision, he or she should refer to [Chapter 09.03 of Board of Regents' policy and regulations](#), and the official policy of the applicable major administrative unit ("MAU"). For [UAF's policy](#), see "Academic Decisions other than Grades" and for [UAA's policy](#) see "Procedures for Resolving Disputes Regarding Denial of Admission to or Dismissal from a Program of Study for Academic Reason" under for proper procedure for appeal of academic decisions. In the event that MAU policy and Board of Regents' policy or regulation conflict, Board of Regents' policy and regulation shall control.

Step Eight: Review of the Remediation Plan

In the event the Governance Committee recommends a remediation plan for a student, the Governance Committee and the student's advisor will meet at the end of the agreed-upon time for remediation to assess the success of the plan; the student will be notified in writing of the committee's assessment and decision. The Governance Committee will determine at this time whether the student should be retained in the program. To determine the student's fitness to remain in the program, the Governance Committee and student's advisor may require the student to authorize the Governance Committee and student's advisor to obtain any and all records relating to the alleged mental and/or physical condition, including that individual's personal medical, psychiatric and/or psychological records. If at any point during this process, the student fails to comply with any of the requirements of the evaluation, rehabilitation or remediation, the student may be dismissed from the program without regard to academic standing, status of research, or any other consideration.

STUDENT REFUSAL OF THE REMEDIATION PLAN

The student may elect to resign from the program without submitting to the specified remediation plan, psychological assessment, the leave of absence, or other recommendations. In such a case, the student will be informed in writing that re-admittance to the program at any future time is not guaranteed. A copy of that letter will be placed in the student's confidential file. The student will be designated as having resigned from the program while not in good standing.

POLICY FOR PERFORMANCE-BASED FEEDBACK

Faculty performance-based feedback to students regarding their coursework is essential for students' academic and professional development. This written feedback will be constructive and formative and be timely enough to allow students to receive ongoing feedback about their progress toward meeting course expectations and requirements. This feedback will be detailed enough for students to understand strengths and limitations of the coursework, as well as avenues for remediation in future coursework. The timeliness and comprehensiveness of the feedback should be commensurate with the nature and requirements of the coursework. Except under exceptional circumstances, feedback for all coursework should be provided to students no later than by the time final grades are submitted.

POLICY FOR ASSISTANTSHIP PERFORMANCE FEEDBACK

Supervisor performance-based feedback to students regarding their assistantship is essential for students' academic and professional development. This written feedback will be constructive and formative and be timely enough to allow students to receive ongoing feedback about their progress toward meeting assistantship expectations and requirements. This feedback will be detailed enough for students to understand strengths and limitations of the each area being evaluated, as well as avenues for remediation. The timeliness and comprehensiveness of the feedback should be commensurate with the nature and requirements of the assistantship. Except under exceptional circumstances, feedback for all assistantships should be provided to students no later than by the end of the assistantship term. A signed copy of each completed *Assistantship Performance Review Form* will be kept in each student's graduate file (see [Program's Blackboard](#) under Assistantship Performance Feedback Form for forms).

PROBLEMS OR CONCERNS WITH ASSISTANTSHIP PERFORMANCE

The student's assistantship supervisor serves as the initial point of contact for problems or concerns regarding the student. If the problem or concern pertains to student performance or conduct, the student would be provided with immediate written feedback via the Assistantship Evaluation Form. If necessary, a remediation plan will be developed and implemented by the supervisor, in consultation with the PD. Following the implementation of the remediation plan, the student will be provided written feedback on the extent to which corrective actions have or have not been successful. Should the problem or concern persist, the Dean(s) or appropriate University administrators will determine what university entities (e.g., HR, Dean of Students) will be involved for resolution.

ANNUAL PERFORMANCE REVIEW

Students are required to meet frequently with their advisor. At the end of each academic year, students will meet with their academic advisor to discuss and review their written *Annual Student Professional Development Review* (see [Program's Blackboard](#) under Annual Performance Review Forms for form). First year students will receive a *Mid-Year, First Year Student Professional Development Review* evaluations near the end of the Fall semester or beginning of Spring semester (see [Program's Blackboard](#) under Annual Performance Review Forms for form).

If concerns arise about a student's academic performance and professionalism, an *Event-Driven Student Evaluation* may occur to rectify the concerns (see [Program's Blackboard](#) under Annual Performance Review Forms for form). This feedback should be constructive and formative and be timely enough to allow students to receive ongoing feedback about their progress toward meeting program expectations and requirements. This feedback should be detailed enough for students to understand strengths and opportunities to improve within each area being evaluated, as well as avenues for remediation. The review will indicate whether students are making satisfactory progress towards their degree. A signed copy of each completed review will be kept in each student's graduate file.

SERIOUS MISCONDUCT OR DERELICTION OF DUTY

There could be rare circumstances in which a student's continued participation in coursework, practicum, and assistantships is impossible due to serious misconduct or dereliction of duty. Should the faculty, practicum supervisor, or assistantship supervisor believe that such circumstances exist, he or she will immediately notify the PD and together they will: (a) make any required reports to campus authorities, such as the Title IX Coordinator; (b) take any necessary steps to prevent further misconduct, which could for example require exclusion from specific areas, unless that is being undertaken by other responsible parties such as the Title IX Office; and (c) contact the Deans at both UAA and UAF (as appropriate) to explain the circumstances. Any decision to terminate the student's activities in these circumstances will be made by agreement of at least:

- For students admitted prior to Fall 2017: three of the four individuals (the supervisor, PD, and two Deans), or two of three individuals if the PD is the supervisor.
- For students admitted after Fall 2017: two of the three individuals (the supervisor, PD, and Dean)

In these circumstances, the appeals process beginning at the faculty level may be pursued by the student if he or she waives confidentiality rights. Otherwise, the student may pursue the appeal process beginning at the PD level. If the student is not withdrawn, dismissed or terminated, a remediation plan will be implemented as warranted by the outcome of the investigation. Nothing in this policy relieves the supervisor, PD, or Dean(s) from required institutional reporting of misconduct, such as situations pertaining to Title IX. In any case that is referred to the student discipline process at UAA or UAF, the responsible campus will pursue that process to conclusion unilaterally, and the student's rights of appeal to student discipline are limited to those specified in Board of Regents Policy and University Regulation. Student discipline policies and processes are defined in UA-wide Regents' Policy and University Regulation, and so apply uniformly to all UA students irrespective of location.

RETENTION AND REVIEW OF STUDENT FILES

Student advising records are maintained as active files until graduation, at which time they will be transferred to a separate but equally secure location and kept for five years. Students can see the full program policy on Student Records located in the [Policies & Procedure Manual](#).

Students have the right to review the contents of their own Student Advising File with the exception of individual faculty portfolio competency review rating forms and letters of recommendation. If a student wishes to review their student file, they can submit a written request to the Program Coordinator. The student will review the file in the presence of the Program Coordinator and may not remove any materials from the file.

PSYCHOLOGY PH.D. PROGRAM ALCOHOL POLICY

ALCOHOL USE DURING CULTURAL EXPERIENCE AND CULTURAL ORIENTATION

Because of the strong and mixed feelings about alcohol use within the Alaska Native community, all participants are expected to refrain from the use of alcohol or illicit drugs for the duration of a cultural experience or cultural orientation. This includes the entire period of time from the beginning of the event until the conclusion of the event, even if there are times when the event is not formally in session.

ALCOHOL USE DURING DEPARTMENT –SPONSORED EVENTS

All participants are expected to refrain from the use of alcohol or illicit drugs during department-sponsored events. This expectation does not include social events. One way to distinguish department-sponsored events from social events is to determine whether the group is working from an agenda and taking minutes. If there is an agenda and minutes, the meeting is clearly a department-sponsored event.

GRIEVANCES AND ACADEMIC APPEALS

Up to this point, the handbook has dealt primarily with dissatisfaction on the part of the faculty with a student's ethics, academic or professional behavior; however, it may also be the case that students will have a concern about these issues with a faculty or staff member. If so, there are steps that students can take to deal with the problem. Specifically, students may file an academic complaint or a grievance. These processes require a certain protocol to be followed, and they are outlined below.

All students have the right to appeal academic actions, such as grades or dismissals from the program. Because we hope any concerns can be addressed to the student's satisfaction at the most informal level possible, we encourage the student to first to seek out the faculty member and try to gain some resolution to the problem. If this step is not satisfactory, we encourage the student to contact the PD as your next step. Whenever possible, the PD will attempt to resolve the situation between the student and the faculty member. If resolution is not possible at this level, we encourage the student to make a formal appeal as outlined in the appeals policies. It is important to note, however, that students have the right to make a direct appeal to the Graduate School Dean at any time, without first discussing matters with the faculty member or the PD.

Grievances and appeals start at the campus of residence of the faculty member named in the grievance or appeal or at the campus of residence of the student if the grievance or appeal does not pertain to a particular faculty member. The university has established procedures for

reviewing various types of student complaints, grievances, and appeals. For a complete guide to these procedures, students should refer to [Regents policy and regulation](#).

COMPLAINTS AND GRIEVANCES ABOUT DOCTORAL STUDENTS

Reports (by faculty, staff, or peers) of students exhibiting unprofessional behavior will be brought to the attention of their advisor or PD and a meeting will be arranged. If the issue cannot be resolved at that level, the advisor or PD will review the Student Impairment and Incompetence Policy in the Student Handbook with the student and follow the procedures contained therein.

DOCTORAL STUDENT COMPLAINTS AND GRIEVANCES INVOLVING DOCTORAL FACULTY*

Student reports of faculty exhibiting unprofessional behavior will be brought to the attention of that faculty member in order to resolve the concern at the lowest level possible first. This step may be taken by the student directly addressing it with the faculty member or, if necessary, the student's PD may do so. If this matter cannot be resolved informally the University's formal policy will be invoked. UAA students should visit the [UAA Dean of Students, Student Complaint Dispute Procedures and Resources](#) website and UAF students should visit the [UAF Dean of Students](#) website.

* See P&P for faculty designations (core, associated, other contributors)

Both UAF and UAA policies require that Department Heads (Director or Chair) must be involved in formal conflict resolution with students. Therefore, for teach-out students (regardless of campus of residence), the UAF Department Chair will be involved in all conflict resolutions. The doctoral program will follow local grievance and conflict resolution procedures, which dictate that Department Heads on the relevant campus deal with such situations. When doctoral students and doctoral faculty are involved in a grievable or conflict situation, the Department Head will seek the input and assistance of the Ph.D. Governance Committee. The Ph.D. Governance Committee consists of the PD, Department Head (both for students admitted prior to Fall 2017), and one faculty member. The PD will collaborate with the Department Head(s) to seek resolution. All formal paperwork will be completed by the Department Head and will be copied to the PD.

GRIEVANCES AND ACADEMIC APPEALS AT UAF

See "[Appeal of Academic Decisions](#)" section of the UAF Catalog. Formal appeals must be made in writing. The University Registrar, Dean of Enrollment Management, Dean of Student Affairs or Dean of the Graduate School can give advice and answers to questions about the process. In a written statement, students should explain what they wish to appeal, why they are appealing and how they have attempted to resolve the issue. If possible, propose solutions and compromises.

UAA STUDENT COMPLAINT & DISPUTE PROCEDURES AND RESOURCES

The University of Alaska Anchorage is committed to providing a quality educational experience for all students. This includes ensuring that students have access to the appropriate resources for registering formal complaints. For further information go to the [UAA Dean of Students](#) website.

NOTICE OF NONDISCRIMINATION

The University of Alaska does not discriminate on the basis of race, religion, color, national origin, citizenship, age, sex, physical or mental disability, status as a protected veteran, marital status, changes in marital status, pregnancy, childbirth or related medical conditions, parenthood, sexual orientation, gender identity, political affiliation or belief, genetic information, or other legally protected status.

When implementing this commitment, the University is guided by Title VI and VII of the Civil Rights Act of 1964 and Civil Rights Act of 1991; Title IX of the Education Amendments of 1972; Executive Order 11246, and Executive Order 11375, as amended; Equal Pay Act of 1963; Age Discrimination in Employment Act of 1967 and Age Discrimination Act of 1975; Vietnam Era Veterans Readjustment Assistance Act of 1974; Americans with Disabilities Act (ADA) of 1990; the Americans with Disabilities Act Amendments Act of 2008; Genetic Information Nondiscrimination Act of 2008; Pregnancy Discrimination Act; Immigration Reform & Control Act; Vocational Rehabilitation Act of 1973 and other federal laws or Alaska Statutes which guarantee equal opportunity to individuals and protected classes within our society.

The University's commitment to nondiscrimination, including against sex discrimination, applies to students, employees, and applicants for admission and employment.

This policy therefore affects employment policies and actions, as well as the delivery of educational services at all levels and facilities of the University. Further, the University's objective of ensuring equal opportunity will be met by taking affirmative action: i.e., making intensified, goal-oriented efforts to substantially increase the participation of groups where their representation is less than proportionate to their availability; providing reasonable accommodations to employees and students with disabilities; and ensuring that employment opportunities are widely disseminated to agencies and organizations that serve underrepresented protected classes.

The following person has been designated to handle inquiries regarding the nondiscrimination policies:

University of Alaska Anchorage

Director, Office of Equity and Compliance
3211 Providence Drive
Anchorage, AK 99508
Phone: 907-786-4680
E-mail: uaa_oec@alaska.edu
Website: <https://www.uaa.alaska.edu/about/equity-and-compliance/>

University of Alaska Southeast

Director of Human Resources
11066 Auke Lake Way
Juneau, Alaska 99801
Phone: 907-796-6473
E-mail: gcheney@alaska.edu
Website: <http://uas.alaska.edu/hr>

University of Alaska Fairbanks

Director of Diversity and Equal Opportunity
739 Columbia Circle
PO Box 756910
Fairbanks, AK 99775-6910
Phone: 907-474-7300
E-mail: uaf-deo@alaska.edu
Website: <http://www.uaf.edu/oeo/>

For sex discrimination claims or other inquiries concerning the application of Title IX of the Education Amendments of 1972 and its implementing regulations, individuals may contact the University's Title IX Coordinator or the Assistant Secretary in the U.S. Department of Education Office of Civil Rights

UAA Title IX Coordinator

3890 University Lake Drive, Suite 108, Anchorage, AK 99508
Phone: 907-786-4680
E-Mail: uaa_titleix@uaa.alaska.edu
Website: www.uaa.alaska.edu/about/equity-and-compliance/

UAF Title IX Coordinator

739 Columbia Cr., Fairbanks, AK 99775
Phone: 907-474-7300
E-Mail: uaf-tix@alaska.edu
<http://www.uaf.edu/titleix/>

UAS Title IX Coordinator

11066 Auke Lake Way, Juneau, AK 99801
Phone: 907-796-6036
E-Mail: uas_jytitle9@alaska.edu
<http://www.uas.alaska.edu/policies/titleix.html>

Office for Civil Rights, Seattle Office

U.S. Department of Education
915 Second Ave., Room 3310
Seattle, WA 98174-1099
Phone: 206-607-1600
TDD: 800-877-8339
E-mail: OCR.Seattle@ed.gov
Website: <http://www2.ed.gov/about/offices/list/ocr/docs/howto.html>

For employment or educational discrimination, students, parents, employees and applicants for employment may file a complaint with the U.S. Department of Education within 180 calendar days of the alleged discriminatory act.

Office for Civil Rights, Seattle Office

U.S. Department of Education
915 Second Ave., Room 3310
Seattle, WA 98174-1099
Phone: 206-607-1600
TDD: 800-877-8339
E-mail: OCR.Seattle@ed.gov
Website: <http://www2.ed.gov/about/offices/list/ocr/docs/howto.html>

For employment discrimination, employees and applicants for employment may file a complaint with the Equal Employment Opportunity Commission at the below addresses within 180 calendar days of the alleged discriminatory act.

Equal Employment Opportunity Commission

Federal Office Building
909 First Avenue
Suite 400
Seattle, WA 98104-1061
Phone: 800-669-4000
Fax: 206-220-6911
TTY: 800-669-6820
Website: <http://www.eeoc.gov/employees/charge.cfm>

For educational discrimination, individuals may file a complaint with the U. S. Department of Justice

U.S. Department of Justice Civil Rights Division

950 Pennsylvania Avenue, N.W.
Educational Opportunities Section, PHB
Washington, D.C. 20530
Phone: 202-514-4092 or 1-877-292-3804 (toll-free)
Fax: 202-514-8337

University of Alaska Anchorage

Director, Office of Equity and Compliance
3211 Providence Drive
Anchorage, AK 99508
Phone: 907-786-4680
E-mail: uaa_oeo@alaska.edu
Website: <https://www.uaa.alaska.edu/about/equity-and-compliance/>

University of Alaska Fairbanks

Director of Diversity and Equal Opportunity
739 Columbia Circle
PO Box 756910
Fairbanks, AK 99775-6910
Phone: 907-474-7300
E-mail: uaf-deo@alaska.edu
Website: <http://www.uaf.edu/oeo/>
E-mail: education@usdoj.gov
Website: <http://www.justice.gov/crt/how-file-complaint#three>

For employment or educational discrimination, individuals may file a complaint with the State of Alaska:

Alaska State Human Rights Commission

800 A Street, Suite 204
Anchorage, AK 99501-3669
Anchorage Area: 907-274-4692
Anchorage Area TTY/TDD: 907-276-3177
Toll-Free Complaint Hot Line (in-state only): 800-478-4692
TTY/TDD Toll-Free Complaint Hot Line (in-state only): 800-478-3177
Website: www.humanrights.alaska.gov

For discrimination related to a Department of Labor funded grant, individuals may file a complaint with the U. S. Department of Labor within 180 calendar days of the alleged discriminatory act.

U.S. Department of Labor

ATTENTION: Office of External Enforcement
Director, Civil Rights Center
200 Constitution Avenue, NW
Room N-4123
Washington, DC 20210
Fax: 202-693-6505, ATTENTION: Office of External Enforcement (limit of 15 pages)
E-mail: CRCEXternalComplaints@dol.gov
Website: <http://www.dol.gov/oasam/programs/crc/index.htm>

For discrimination related to a National Science Foundation funded grant, individuals may file a complaint with the National Science Foundation within 180 calendar days of the alleged discriminatory act.

National Science Foundation

Complaints Adjudication & Compliance Manager
Office of Diversity & Inclusion (ODI)
4201 Wilson Blvd., Rm. 255
Arlington, VA 22230
Phone: 703-292-8020
E-mail: tsisley@nsf.gov
Website: <http://www.nsf.gov/od/odi/>

PART SEVEN: APPENDICES

OPTION TO PURSUE THE M.S. DEGREE IN CLINICAL PSYCHOLOGY

The option to pursue the UAA [MS degree in Clinical Psychology](#) is completely voluntary for doctoral students. Through the MS degree option, doctoral students can work toward receiving this master's degree as early as by the end of their third year in the doctoral program. Students opting to pursue this additional degree will need to:

- work with the Program Coordinator in submitting a Graduate Academic Petition for the equivalent courses taken as part of the Ph.D. program that will count towards the MS Degree.
- apply for graduation by submitting the Application for Graduation via UAOnline, following the UAA graduation application deadlines, and successfully complete the following courses:

| Course Number | Course Title | Credits |
|---------------|---|---------|
| PSY A602 | Native Ways of Knowing | 3 |
| PSY A604 | Biological Bases of Behavior | 3 |
| PSY A611 | Ethics & Professional Practice | 3 |
| PSY A612 | Human Development in a Cultural Context | 3 |
| PSY A622 | Multicultural Psychopathology | 3 |
| PSY A623 | Intervention I | 3 |
| PSY A629 | Intervention II | 3 |
| PSY A632 | Community Psychology Across Cultures | 3 |
| PSY A639 | Research Methods | 3 |
| PSY A652 | Practicum Placement: Clinical I | 6 |
| PSY A653 | Practicum Placement: Clinical II | 6 |
| PSY A679 | Multicultural Psychological Assessment I | 3 |
| PSY A640 | Substance Abuse: Etiology, Treatment and Assessment | 3 |

APA ETHICAL GUIDELINES & STATE OF ALASKA PSYCHOLOGIST STATUTES

The American Psychological Association has formulated a set of [ethical guidelines](#) for its members, and all students enrolled in the Ph.D. program must adhere to these principles. It is your responsibility to ensure you are quite familiar with these guidelines. The Ethical Principles of Psychologists address professional responsibility, competence, moral and legal standards, public statements, confidentiality, welfare of the consumer, professional relationships, assessment techniques, and research with human and animal participants. A complete copy of the guidelines can be found at the end of this Appendix 7 of the handbook.

In addition to the Ethical Principles of Psychologists and Code of Conduct, students need to ensure familiarity with relevant [State of Alaska statutes and regulations for psychologists](#).

STUDENT ORGANIZATIONS

Students can foster their own professional development via several routes, including joining professional organizations that interface with the psychological community, joining associations that focus on academic curricula, or choosing to run for an elected office within a representative student body that influences local policies.

STUDENT ASSOCIATIONS AND HONOR SOCIETIES

AMERICAN PSYCHOLOGICAL ASSOCIATION OF GRADUATE STUDENTS (APAGS)

APAGS is designed to: 1) promote high standards in the teaching, training, and practice of psychology in order to further the education and development of all students involved in the study of psychology; 2) represent, as well as facilitate the exchange of information and ideas among students from all specialties of psychology; 3) promote graduate student leadership by offering opportunities to participate in a national organization; and 4) establish and maintain channels of communication between APAGS and schools, universities, training centers, and other members of the psychological community. Membership is available to those who are currently graduate students or post-doctoral fellows in psychology. As long as you are a member of APA, you are automatically a member of APAGS. Members must pay an annual fee and agree to conform to the APA Code of Ethics.

PSI CHI NATIONAL HONOR SOCIETY IN PSYCHOLOGY

Psi Chi is a prestigious organization that offers membership in the national organization through the local University of Alaska Anchorage chapter. The purpose of Psi Chi is to encourage, stimulate, and maintain scholarship in psychology and to advance the science of psychology. To achieve these goals, Psi Chi offers a wide range of programs locally, regionally, and nationally. The local chapter programs are designed to augment and enhance the regular curriculum, afford opportunities for members to use their talents in roles that are meaningful, and promote interaction among fellow members, faculty, and other psychologists.

Membership is available to students and faculty whose academic concentration is in the field of psychology. Students who have attained and maintained a GPA of 3.0 overall are eligible to join. Because Psi Chi is an honor society it does not have open membership. Rather, membership depends upon invitation.

PROFESSIONAL ORGANIZATIONS THAT OFFER STUDENT MEMBERSHIPS

There are a number of professional organizations that accept student members, which can serve as an excellent introduction to the professional psychology field. Student members usually receive an organizational newsletter, discounts for journal subscriptions and books, and reduced rates for convention attendance.

AMERICAN PSYCHOLOGICAL ASSOCIATION (APA)

Based in Washington, DC, the American Psychological Association (APA) is a scientific and professional organization that represents psychology in the United States. With 150,000 members, APA is the largest association of psychologists worldwide. Student affiliates get many benefits of full membership, including the [Monitor on Psychology](#), [gradPSYCH](#) — the magazine for graduate students, special services, and substantial discounts on APA products, including APA's premiere line of electronic products. In addition to general membership, APA has 56 divisions that focus on specialty areas that may be of particular interest to students.

AMERICAN PSYCHOLOGICAL ASSOCIATION OF GRADUATE STUDENTS (APAGS) (ALSO LISTED ABOVE)

APAGS is the voice of student concerns within the APA. Graduate students who join APA, automatically become members of APAGS. APAGS offers all its members enormous opportunities to enhance their development towards a career in psychology and to shape the future of the discipline. From at home access to research tools like PsycINFO, to opportunities to present your work at APA's annual conventions, membership in APA/APAGS will help you succeed in graduate school and develop as a member of the psychological community.

ALASKA PSYCHOLOGICAL ASSOCIATION (AK-PA)

The mission of AK-PA is to advance psychology as a science, a profession, and a means for promoting human welfare in Alaska. AK-PA offers all its members an opportunity to be involved in how the field of psychology develops and is represented in Alaska, legislative lobbying to protect your interests as a Psychological Professional in Alaska, discounts for AK-PA sponsored Continuing Education events in Alaska

AMERICAN PSYCHOLOGICAL ASSOCIATION (APA)

Benefits: Free subscriptions to *APA Monitor* and *American Psychologist*, reduced rates for books and journals, membership in American Psychological Association of Graduate Students (APAGS)

AMERICAN PSYCHOLOGICAL SOCIETY (APS)

Benefits: Free subscriptions to *APS Observer*, *Psychological Science*

ASSOCIATION FOR BEHAVIORAL AND COGNITIVE THERAPIES (ABCT)

Benefits: Free subscription to *The Behavior Therapist*, student resources (e.g. getting an internship, postdoc, job graduate mentorship directory, student award program, and graduate student research grant)

SOCIETY OF BEHAVIORAL MEDICINE

Benefits: Subscriptions to *Annals of Behavioral Medicine* and *Translational Behavioral Medicine: Practice, Policy, Research*, *Journal of Behavioral Medicine*, *International Journal of Behavioral Medicine*, and *Journal of Behavioral Health Services and Research*; Discount registration rate at SBM Annual Meeting; Eligibility for SBM Achievement Awards; Membership in the International Society of Behavioral Medicine; special interest groups and listservs; Expert

Consultation Service; Searchable Membership Directory; and Opportunities to interact with leading specialists in behavioral medicine.

[SOCIETY FOR PERSONALITY ASSESSMENT](#)

Benefits: Free subscription to the *Journal of Personality Assessment* and SPA's quarterly newsletter, the *SPA Exchange*

[SOCIETY FOR COMMUNITY RESEARCH AND ACTION](#) (SCRA)

Benefits: Free subscription to the *Community Psychologist*, *American Journal of Community Psychology*, an reduced rate to the *Journal of Prevention and Intervention in the Community*.

[SOCIETY FOR PSYCHOTHERAPY RESEARCH](#) (SPR)

Benefits: Free subscription to the *Journal Psychotherapy Research*

[WESTERN PSYCHOLOGICAL ASSOCIATION](#) (WPA)

Benefits: Quarterly newsletter

SUMMARY OF FORMAL PROCEDURES/PAPERWORK FOR ASSURING MILESTONES

DISCLOSURES AND CRIMINAL BACKGROUND CHECK

Applicants must complete a criminal background check during the application process to the Ph.D. Program. The Identify History Summary must be submitted by students invited to a personal interview at least two weeks prior to the interview. Failure to submit the required first background check will result in non-admission to the program.

This criminal background check requirement has been established because agencies where students will complete clinical learning experiences (such as practica and internships) routinely require such documentation for all students placed with them. Having the Identity History Summary on file with the Ph.D. Program will prevent practicum placement delays or other problems.

The required national-level criminal background check must be initiated and completed by the applicant through the Federal Bureau of Investigation. The Ph.D. Program will not accept a copy of a background check performed by another agency. Questions or concerns regarding the criminal background check requirements can be taken to the Program Coordinator or PD.

In addition to completing the criminal background check, students must complete annual *disclosure statements*. The first disclosure statement must accompany the student's application to the Ph.D. program; all subsequent disclosure statements must be filed with the Program Coordinator by the first day of classes during each fall semester in the program.

PROGRAM REQUIREMENTS WORKSHEET

Students should work with their advisors each year to ensure that they are taking the correct courses and to plan a sequence of program milestones. The Ph.D. Program has a *Program Requirements Worksheet* that should be completed initially by the Program Coordinator and student (see [Program's Blackboard](#) under Additional Student Forms for *Program Requirements Worksheet*). The student and the faculty advisor will review and update during advising sessions. A copy should be retained by the student and in the student's graduate file.

The program also has a *Program Requirements Worksheet* for students entering the program who graduated from the UAA MS in Clinical Psychology Program. While the worksheet has courses removed as requirements for the doctoral program, this is not guaranteed and is made on a case-by-case basis.

The Program Requirement Worksheet is a working document and subject to revision as students' progress thru the Ph.D. Program. The Program Requirement Worksheet be used as a basis for completing the *Application for Advancement to Candidacy* (see below for further information).

Students pursuing the MS degree will have to work with Program Coordinator to submit the required paperwork to Enrollment Services for processing. When the student is ready, the UAA Application for Graduation (via [UAOnline](#)) for the MS degree should be submitted following the UAA graduation application deadline. If students do indeed graduate with the master's degree from UAA, the *Application for Advancement to Candidacy* will then outline only the remaining Ph.D. credits (i.e., courses taken beyond the master's degree) that are required and submitted to the Graduate School.

POLICY FOR PERFORMANCE-BASED FEEDBACK

Faculty performance-based feedback to students regarding their coursework is essential for students' academic and professional development. This feedback should be constructive and formative and be timely enough to allow students to receive ongoing feedback about their progress toward meeting course expectations and requirements. This feedback should be detailed enough for students to understand strengths and limitations of the coursework, as well as avenues for remediation in future coursework. The timeliness and comprehensiveness of the feedback should be commensurate with the nature and requirements of the coursework. Except under exceptional circumstances, feedback for all coursework should be provided to students no later than by the time final grades are submitted.

POLICY FOR ASSISTANTSHIP PERFORMANCE FEEDBACK

Supervisor performance-based feedback to students regarding their assistantship is essential for students' academic and professional development. This feedback will be constructive and formative and be timely enough to allow students to receive ongoing feedback about their progress toward meeting assistantship expectations and requirements. This feedback will be detailed enough for students to understand strengths and limitations of each area being evaluated, as well as avenues for remediation. The timeliness and comprehensiveness of the feedback should be commensurate with the nature and requirements of the assistantship. Except under exceptional circumstances, feedback for all assistantships should be provided to students no later than by the end of the assistantship term. A signed copy of each completed Assistantship Performance Review Form will be kept in each student's graduate file (see [Program's Blackboard](#) under Assistantship Performance Feedback Forms for forms).

PROBLEMS OR CONCERNS WITH ASSISTANTSHIP PERFORMANCE

The student's assistantship supervisor serves as the initial point of contact for problems or concerns regarding the student. If the problem or concern pertains to student performance or conduct, the student would be provided with immediate written feedback via the Assistantship Evaluation Form. If necessary, a remediation plan will be developed and implemented by the supervisor, in consultation with the PD. Following the implementation of the remediation plan, the student will be provided written feedback on the extent to which corrective actions have or have not been successful. Should the problem or concern persist, the Dean(s) or appropriate University administrators will determine what university entities (e.g., HR, Dean of Students) will be involved for resolution.

ANNUAL PERFORMANCE REVIEW

Students are required to meet frequently with their advisor. At the end of each academic year, students will meet with their academic advisor to discuss and review their written *Annual Student Professional Development Review* (see [Program's Blackboard](#) under Annual Performance Review Forms for form). First year students will receive a *Mid-Year, First Year Student Professional Development Review* evaluations near the end of the Fall semester or beginning of Spring semester (see [Program's Blackboard](#) under Annual Performance Review Forms for form). If concerns arise about a student's academic performance and professionalism, an *Event-Driven Student Evaluation* may occur to rectify the concerns (see [Program's Blackboard](#) under Annual Performance Review Forms for form). This feedback should be constructive and formative and be timely enough to allow students to receive ongoing feedback about their progress toward meeting program expectations and requirements. This feedback should be detailed enough for students to understand strengths and opportunities to improve within each area being evaluated, as well as avenues for remediation. The review will indicate whether students are making satisfactory progress towards their degree. A signed copy of each completed review will be kept in each student's graduate file.

FERPA RELEASE FOR PRACTICUM PLACEMENT INFORMATION EXCHANGE

To conform to the Family Educational Rights and Privacy Act (FERPA), students placed at a community setting for practicum might be asked to furnish education records, including criminal background check, immunization records, first aid/CPR certification and any other personally identifiable information. A copy of the *FERPA Release* form may be completed by the student and submitted to the Program Coordinator to release the required information to the specified clinical site (see [Program's Blackboard](#) under Additional Student forms for *FERPA Release*).

CLINICAL PRACTICUM EVALUATION

The Clinical Practicum Evaluation was designed to show step-wise progress toward the clinical portfolio; as such, students are required to get their supervisors evaluations twice a semester (mid-semester and end-of-semester). The evaluation will be based on the current level of progress and competence in the practicum site. A signed copy of each completed *Clinical Practicum Evaluation Form* will be kept in each student's graduate file (see [Program's Blackboard](#) under Clinical Competency for form).

COMMUNITY PRACTICUM EVALUATION

The Community Practicum Evaluation was designed to show progress toward the community portfolio; as such, students are required to get their supervisors evaluations twice a semester (mid-semester and end-of-semester). The evaluation will be based on the current level of progress and competence in the practicum site. A signed copy of each completed *Community Practicum Evaluation Form* will be kept in each student's graduate file (see [Program's Blackboard](#) under Community Competency for form).

COMPREHENSIVE EXAMS/COMPETENCY PORTFOLIOS

The university and the program require that students pass a comprehensive exam before being able to advance to candidacy. The program defines the comprehensive exam as being met through passing the required competency portfolios. **All portfolios** must be met for the comprehensive exam to be fully passed. Passing one portfolio qualifies the student for a conditional pass on the comprehensive exam, which is sufficient for advancement to candidacy. As soon as one portfolio is passed or conditionally passed, the paperwork is filed to indicate a conditional pass on the comprehensive exam (listing the non-completed portfolios and any remaining requirements on a conditionally passed portfolio as the conditions for a full pass). Once all three portfolios have been fully passed, the comprehensive exam paperwork is filed indicated a full pass. Students can only graduate after the comprehensive exam paperwork for a full pass has been filed with the resident graduate school.

Students must submit three competency portfolios, a [Research Portfolio](#), a [Clinical Portfolio](#), and a [Community Portfolio](#). Students are required to complete and submit their Research Portfolio prior to enrolling in dissertation credits. The guidelines for the competency portfolios are specified Part 3: Doctoral Student of this handbook.

The rating forms (which will be used by faculty rating the portfolio) for the competency portfolios can all be found on the [Program's Blackboard](#). Portfolios must be submitted electronically to the Program Coordinator.

ADVANCEMENT TO CANDIDACY

Advancement to candidacy formally establishes students' specific degree requirements. Students are eligible to advance to candidacy after they have met the following criteria as per the UAF and UAA candidacy requirements:

1. Completed the full time equivalent of two academic years of graduate study.
2. Completed at least 9 UAA or UAF credits.
3. Received approval of the Graduate Study Plan.
4. Obtained approval of the advisory committee for the title and synopsis of the thesis.
5. Having passed the Research Portfolio qualifies the student for a conditional pass on the comprehensive exam, which is sufficient for the application for advancement to candidacy and is required to enroll in dissertation credits.

A finalized *Program Requirements Worksheet* should be used as a basis for completing the campus of residence *Application for Advancement to Candidacy* (see [Program's Blackboard](#) under Research Competency & Advancement to Candidacy for form).

When submitting the Application for Advancement to Candidacy form students should indicate the **Research Portfolio**, **Clinical Portfolio**, and the **Community Portfolio** as the subject areas examined on comprehensive exam form.

Any and all changes subsequent to filing an official *Advancement to Candidacy* form for the student's program will require the student to submit a campus of residence *Graduate Student Petition* form to amend the *Advancement to Candidacy*.

DISSERTATION FORMS

An excellent dissertation workbook is available at the [UAF Graduate School](#) website or at the [UAA Graduate School](#) website.

Once students have selected their committee members, they must file the campus of residence *Appointment of Graduate Advisory Committee* to officially appoint their committee (see [Program's Blackboard](#) under Research Competency & Advancement to Candidacy for form). Every time the student makes a change to the composition of the dissertation committee, this form must be revised and refilled. The student should always work with the Program Coordinator when filing this form as a copy must be retained in the student's graduate file.

A *Dissertation Proposal Checklist* and *Thesis Formatting Checklist* must be completed by the student and dissertation chair before disseminating the completed proposal to the dissertation committee in order to schedule the proposal defense meeting (see [Program's Blackboard](#) under Dissertation for forms). After defending the dissertation proposal, the dissertation chair in consultation with the committee will submit a *Report on Dissertation Proposal Defense*, outlining the committee's decision and the approval of initiation of IRB process (see [Program's Blackboard](#) under Dissertation for form). If revisions are required, the report will list in detail all the revisions required in order to pass the proposal defense. ***Revisions must be submitted within three months.*** If the proposal did not Pass Without Revisions, additional Proposal Defense Forms need to be completed and signed by all committee members once revisions have been made until such time that a Pass without Revision is achieved by the student.

The Ph.D. program has approval from the Graduate Schools on the FERPA of the title page; see program website for sample.

Before presenting and defending the final dissertation draft, the student must submit a *Request for an Outside Examiner form* from the [UAF](#) or [UAA](#) Graduate School at least two weeks before the presentation.

After presenting and defending the final dissertation draft, the student must submit their campus of residence *Report on Dissertation Defense* and a *Dissertation Approval Form*.

The [UAF](#) and [UAA](#) Graduate Schools have additional documents that need to be submitted in with the final draft of the dissertation, please visit your home campus website for up-to-date information on submission requirements.

- Complete the Electronic Dissertation Submittal Process
- Copy of UAF Publishing Agreement Form (UAF students only)
- 50-word version of abstract (sent via e-mail)
- Survey of Earned Doctorates (SED)

- .pdf copy of dissertation (final draft version)
- UAF students must complete the [online exit survey](#). Be sure to follow the directions on the last page.

All of the above documents must be submitted at the same time as the final draft of the dissertation. Documents that must be emailed should be sent to their respective graduate schools.

After receiving the corrections required by the Graduate School, students must submit:

- Final, corrected version the dissertation (.pdf).
- Any additional materials (up to 1,000MB total).
- Once submitted, the Graduate School approve the dissertation for publishing.

For further information on the Dissertation Requirements or help with writing and formatting the dissertation visit the [UAA](#) or [UAF](#) Graduate School website.

ADVANCEMENT TO INTERNSHIP

Students must pass the research portfolio and clinical portfolio and at least conditionally pass their dissertation proposal defense before applying to advance to PSY 686 Predoctoral Internship. In addition to passing the research portfolio and clinical portfolio and conditionally passing the dissertation proposal defense, students must submit an *Student Application for Advancement to Internship* and apply with a formal memorandum to the PD by September of the fall semester prior to the year during which the student seeks to complete the internship stating their intent to advance to internship (see [Program's Blackboard](#) under Doctoral Internship for form). For most students, this will mean that the application needs to be made in the fall of the fourth year in the program. The PD will notify the core faculty committee, who will review each student's coursework, ensure that adequate progress has been made toward all prior milestones (i.e., clinical competency, community competency, research competency, doctoral dissertation proposal defense, and advancement to candidacy) before approving the student for internship and before writing a letter of support for the student. For more information on Doctoral Internship, see [Part Five: Doctoral Interns](#) in the Student Handbook.

GRADUATION

Once students have completed their coursework, dissertation, and doctoral internship, assuming all Competency Portfolios have been passed (i.e. Research Portfolio, Clinical Portfolio, and Community Portfolio), they are ready to apply for graduation. Students **MUST** be registered for three (3) credits in the semester in which they plan to graduate. The Application for Graduation needs to be submitted electronically, [UAF Graduates](#) and [UAA Graduates](#).

Students receiving the UAA MS in Clinical Psychology must also apply for [graduation](#).

ALASKA STATE LICENSING REQUIREMENTS

The following July 2014 criteria are established under Alaska Statute for programs of graduate study in Psychology are in effect at the time the version of this handbook was reviewed and are set forth below. The requirements are subject to change without notice. Visit the State of Alaska [Board of Psychologists](#) website for the current version.

Program Requirements

- publically identified as a program in psychology
- regionally accredited
- 3 full time academic years (2 years classes/1 year of residency)
 - Required courses:
 - History and systems
 - Psychological measurement
 - Research methodology
 - Techniques of data analysis
 - Biological bases of behavior (physiological psychology, comparative psychology, neuropsychology, and psychopharmacology)
 - Cognition and affect (learning, memory, perception, cognition, thinking, motivation, and emotion)
 - Social bases of behavior (social psychology, cultural, ethnic, sex roles, and organizational behavior)
 - Individual differences (personality, human development, individual differences, abnormal, disability, women, minority)
 - Knowledge and use of ethics
- Supervised practicum in the area of practice in psychology
- Predoctoral internship (see below for further explanation)
- 1 full time year of residency
 - Requirements:
 - 324 hour of student-faculty contact face-to-face individual or group educational meetings
- Educational meetings include
 - Faculty and peer interaction
 - Conducted by faculty 90% of the time
 - Fully documented by student and institution
 - Performance must be documented
- supervised practicum
- pre-doctoral internship

Pre-doctoral Internship Requirements

- designed to provide a planned, programmed sequence of training experiences, the primary focus of which is to assure breadth and quality of training
- designated licensed psychologist responsible for integrity and quality of training program
- 2 or more psychologists available as supervisors
- written statement or brochure describing the goals and content of the internship, stating clear expectations and quality of an intern's work, and made available to prospective interns

- supervision must be provided by the person who is responsible for the cases being supervised; at least 80% of the supervision must be by a licensed psychologist
- 25% of intern's time (minimum 375 hours) must be spent in direct client contact providing assessment and intervention services
- 2 hours per week of face-to-face supervision
- 2 hours of other learning activities per week
- supervision and training must relate to ethics
- intern must use a title such as "intern", "resident", "fellow" or other designation to trainee status
- minimum of 1500 hours completed within 24 months

Post-Doctoral Experience Requirements - Must submit plan for approval prior to starting

- temporary license available during this time
- 1500 clock hours (to be done in a period between 10 and 24 months)
- 20 minimum and 40 maximum hours per week
- one hour of supervision per week
- supervision-80% licensed psychologist/20% psychiatrist, LPA, LCSW, LMFT, LPC
- 50% of supervised time needs to be direct care; 50% of direct care needs to be face-to-face
- supervisor needs to complete documentation

Testing

- EPPP exam 70% passing
- Alaska state ethics exam 70% passing



AMERICAN PSYCHOLOGICAL ASSOCIATION

ETHICAL PRINCIPLES OF PSYCHOLOGISTS AND CODE OF CONDUCT

Adopted August 21, 2002

Effective June 1, 2003

(With the 2010 Amendments
to Introduction and Applicability
and Standards 1.02 and 1.03,
Effective June 1, 2010)

With the 2016 Amendment
to Standard 3.04

Adopted August 3, 2016

Effective January 1, 2017

ETHICAL PRINCIPLES OF PSYCHOLOGISTS AND CODE OF CONDUCT

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 - 10.04 Providing Therapy to Those Served by Others
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 - 10.06 Sexual Intimacies With Relatives or Significant Others of Current Therapy Clients/Patients
 - 10.07 Therapy With Former Sexual Partners
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 - 10.10 Terminating Therapy

AMENDMENTS TO THE 2002 "ETHICAL PRINCIPLES OF PSYCHOLOGISTS AND CODE OF CONDUCT" IN 2010 AND 2016

INTRODUCTION AND APPLICABILITY

The American Psychological Association's (APA's) Ethical Principles of Psychologists and Code of Conduct (hereinafter referred to as the Ethics Code) consists of an Introduction, a Preamble, five General Principles (A-E), and specific Ethical Standards. The Introduction discusses the intent, organization, procedural considerations, and scope of application of the Ethics Code. The Preamble and General Principles are aspirational goals to guide psychologists toward the highest ideals of psychology. Although the Preamble and General Principles are not themselves enforceable rules, they should be considered by psychologists in arriving at an ethical course of action. The Ethical Standards set forth enforceable rules for conduct as psychologists. Most of the Ethical Standards are written broadly, in order to apply to psychologists in varied roles, although the application of an Ethical Standard may vary depending on the context. The Ethical Standards are not exhaustive. The fact that a given conduct is not specifically addressed by an Ethical Standard does not mean that it is necessarily either ethical or unethical.

This Ethics Code applies only to psychologists' activities that are part of their scientific, educational, or professional roles as psychologists. Areas covered include but are not limited to the clinical, counseling, and school practice of psychology; research; teaching; supervision of trainees; public service; policy development; social intervention; development of assessment instruments; conducting assessments; educational counseling; organizational consulting; forensic activities; program design and evaluation; and administration. This Ethics Code applies to these activities across a variety of contexts, such as in person, postal, telephone, Internet, and other electronic transmissions. These activities shall be distinguished from the purely private conduct of psychologists, which is not within the purview of the Ethics Code.

Membership in the APA commits members and student affiliates to comply with the standards of the APA Ethics Code and to the rules and procedures used to enforce them. Lack of awareness or misunderstanding of an Ethical Standard is not itself a defense to a charge of unethical conduct.

The procedures for filing, investigating, and resolving complaints of unethical conduct are described in the current Rules and Procedures of the APA Ethics Committee. APA may impose sanctions on its members for violations of the standards of the Ethics Code, including termination of APA membership, and may notify other bodies and individuals of its actions. Actions that violate the standards of the Ethics Code may also lead to the imposition of sanctions on psychologists or students whether or not they are APA members by bodies other than APA, including state psychological associations, other professional groups, psychology boards, other state or federal agencies, and payors for health services.

In addition, APA may take action against a member after his or her conviction of a felony, expulsion or suspension from an affiliated state psychological association, or suspension or loss of licensure. When the sanction to be imposed by APA is less than expulsion, the 2001 Rules and Procedures do not guarantee an opportunity for an in-person hearing, but generally provide that complaints will be resolved only on the basis of a submitted record.

The Ethics Code is intended to provide guidance for psychologists and standards of professional conduct that can be applied by the APA and by other bodies that choose to adopt them. The Ethics Code is not intended to be a basis of civil liability. Whether a psychologist has violated the Ethics Code standards does not by itself determine whether the psychologist is legally liable in a court action, whether a contract is enforceable, or whether other legal consequences occur.

The American Psychological Association's Council of Representatives adopted this version of the APA Ethics Code during its meeting on August 21, 2002. The Code became effective on June 1, 2003. The Council of Representatives amended this version of the Ethics Code on February 20, 2010, effective June 1, 2010, and on August 3, 2016, effective January 1, 2017. (see p. 16 of this pamphlet). Inquiries concerning the substance or interpretation of the APA Ethics Code should be addressed to the Office of Ethics, American Psychological Association, 750 First St. NE, Washington, DC 20002-4242. This Ethics Code and information regarding the Code can be found on the APA website, <http://www.apa.org/ethics>. The standards in this Ethics Code will be used to adjudicate complaints brought concerning alleged conduct occurring on or after the effective date. Complaints will be adjudicated on the basis of the version of the Ethics Code that was in effect at the time the conduct occurred.

The APA has previously published its Ethics Code, or amendments thereto, as follows:

- American Psychological Association. (1953). *Ethical standards of psychologists*. Washington, DC: Author.
- American Psychological Association. (1959). Ethical standards of psychologists. *American Psychologist*, 14, 279-282.
- American Psychological Association. (1963). Ethical standards of psychologists. *American Psychologist*, 18, 56-60.
- American Psychological Association. (1968). Ethical standards of psychologists. *American Psychologist*, 23, 357-361.
- American Psychological Association. (1977, March). Ethical standards of psychologists. *APA Monitor*, 22-23.
- American Psychological Association. (1979). *Ethical standards of psychologists*. Washington, DC: Author.
- American Psychological Association. (1981). Ethical principles of psychologists. *American Psychologist*, 36, 633-638.
- American Psychological Association. (1990). Ethical principles of psychologists (Amended June 2, 1989). *American Psychologist*, 45, 390-395.
- American Psychological Association. (1992). Ethical principles of psychologists and code of conduct. *American Psychologist*, 47, 1597-1611.
- American Psychological Association. (2002). Ethical principles of psychologists and code of conduct. *American Psychologist*, 57, 1060-1073.
- American Psychological Association. (2010). 2010 amendments to the 2002 "Ethical Principles of Psychologists and Code of Conduct." *American Psychologist*, 65, 493.
- American Psychological Association. (2016). Revision of ethical standard 3.04 of the "Ethical Principles of Psychologists and Code of Conduct" (2002, as amended 2010). *American Psychologist*, 71, 900.

Request copies of the APA's Ethical Principles of Psychologists and Code of Conduct from the APA Order Department, 750 First St. NE, Washington, DC 20002-4242, or phone (202) 336-5510.

The modifiers used in some of the standards of this Ethics Code (e.g., *reasonably*, *appropriate*, *potentially*) are included in the standards when they would (1) allow professional judgment on the part of psychologists, (2) eliminate injustice or inequality that would occur without the modifier, (3) ensure applicability across the broad range of activities conducted by psychologists, or (4) guard against a set of rigid rules that might be quickly outdated. As used in this Ethics Code, the term *reasonable* means the prevailing professional judgment of psychologists engaged in similar activities in similar circumstances, given the knowledge the psychologist had or should have had at the time.

In the process of making decisions regarding their professional behavior, psychologists must consider this Ethics Code in addition to applicable laws and psychology board regulations. In applying the Ethics Code to their professional work, psychologists may consider other materials and guidelines that have been adopted or endorsed by scientific and professional psychological organizations and the dictates of their own conscience, as well as consult with others within the field. If this Ethics Code establishes a higher standard of conduct than is required by law, psychologists must meet the higher ethical standard. If psychologists' ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to this Ethics Code and take steps to resolve the conflict in a responsible manner in keeping with basic principles of human rights.

PREAMBLE

Psychologists are committed to increasing scientific and professional knowledge of behavior and people's understanding of themselves and others and to the use of such knowledge to improve the condition of individuals, organizations, and society. Psychologists respect and protect civil and human rights and the central importance of freedom of inquiry and expression in research, teaching, and publication. They strive to help the public in developing informed judgments and choices concerning human behavior. In doing so, they perform many roles, such as researcher, educator, diagnostician, therapist, supervisor, consultant, administrator, social interventionist, and expert witness. This Ethics Code provides a common set of principles and standards upon which psychologists build their professional and scientific work.

This Ethics Code is intended to provide specific standards to cover most situations encountered by psychologists. It has as its goals the welfare and protection of the individuals and groups with whom psychologists work and the education of members, students, and the public regarding ethical standards of the discipline.

The development of a dynamic set of ethical standards for psychologists' work-related conduct requires a

personal commitment and lifelong effort to act ethically; to encourage ethical behavior by students, supervisees, employees, and colleagues; and to consult with others concerning ethical problems.

GENERAL PRINCIPLES

This section consists of General Principles. General Principles, as opposed to Ethical Standards, are aspirational in nature. Their intent is to guide and inspire psychologists toward the very highest ethical ideals of the profession. General Principles, in contrast to Ethical Standards, do not represent obligations and should not form the basis for imposing sanctions. Relying upon General Principles for either of these reasons distorts both their meaning and purpose.

Principle A: Beneficence and Nonmaleficence

Psychologists strive to benefit those with whom they work and take care to do no harm. In their professional actions, psychologists seek to safeguard the welfare and rights of those with whom they interact professionally and other affected persons, and the welfare of animal subjects of research. When conflicts occur among psychologists' obligations or concerns, they attempt to resolve these conflicts in a responsible fashion that avoids or minimizes harm. Because psychologists' scientific and professional judgments and actions may affect the lives of others, they are alert to and guard against personal, financial, social, organizational, or political factors that might lead to misuse of their influence. Psychologists strive to be aware of the possible effect of their own physical and mental health on their ability to help those with whom they work.

Principle B: Fidelity and Responsibility

Psychologists establish relationships of trust with those with whom they work. They are aware of their professional and scientific responsibilities to society and to the specific communities in which they work. Psychologists uphold professional standards of conduct, clarify their professional roles and obligations, accept appropriate responsibility for their behavior, and seek to manage conflicts of interest that could lead to exploitation or harm. Psychologists consult with, refer to, or cooperate with other professionals and institutions to the extent needed to serve the best interests of those with whom they work. They are concerned about the ethical compliance of their colleagues' scientific and professional conduct. Psychologists strive to contribute a portion of their professional time for little or no compensation or personal advantage.

Principle C: Integrity

Psychologists seek to promote accuracy, honesty, and truthfulness in the science, teaching, and practice of

psychology. In these activities psychologists do not steal, cheat, or engage in fraud, subterfuge, or intentional misrepresentation of fact. Psychologists strive to keep their promises and to avoid unwise or unclear commitments. In situations in which deception may be ethically justifiable to maximize benefits and minimize harm, psychologists have a serious obligation to consider the need for, the possible consequences of, and their responsibility to correct any resulting mistrust or other harmful effects that arise from the use of such techniques.

Principle D: Justice

Psychologists recognize that fairness and justice entitle all persons to access to and benefit from the contributions of psychology and to equal quality in the processes, procedures, and services being conducted by psychologists. Psychologists exercise reasonable judgment and take precautions to ensure that their potential biases, the boundaries of their competence, and the limitations of their expertise do not lead to or condone unjust practices.

Principle E: Respect for People's Rights and Dignity

Psychologists respect the dignity and worth of all people, and the rights of individuals to privacy, confidentiality, and self-determination. Psychologists are aware that special safeguards may be necessary to protect the rights and welfare of persons or communities whose vulnerabilities impair autonomous decision making. Psychologists are aware of and respect cultural, individual, and role differences, including those based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status, and consider these factors when working with members of such groups. Psychologists try to eliminate the effect on their work of biases based on those factors, and they do not knowingly participate in or condone activities of others based upon such prejudices.

ETHICAL STANDARDS

1. Resolving Ethical Issues

1.01 Misuse of Psychologists' Work

If psychologists learn of misuse or misrepresentation of their work, they take reasonable steps to correct or minimize the misuse or misrepresentation.

1.02 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority

If psychologists' ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and take reasonable

steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. Under no circumstances may this standard be used to justify or defend violating human rights.

1.03 Conflicts Between Ethics and Organizational Demands

If the demands of an organization with which psychologists are affiliated or for whom they are working are in conflict with this Ethics Code, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and take reasonable steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. Under no circumstances may this standard be used to justify or defend violating human rights.

1.04 Informal Resolution of Ethical Violations

When psychologists believe that there may have been an ethical violation by another psychologist, they attempt to resolve the issue by bringing it to the attention of that individual, if an informal resolution appears appropriate and the intervention does not violate any confidentiality rights that may be involved. (See also Standards 1.02, Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority, and 1.03, Conflicts Between Ethics and Organizational Demands.)

1.05 Reporting Ethical Violations

If an apparent ethical violation has substantially harmed or is likely to substantially harm a person or organization and is not appropriate for informal resolution under Standard 1.04, Informal Resolution of Ethical Violations, or is not resolved properly in that fashion, psychologists take further action appropriate to the situation. Such action might include referral to state or national committees on professional ethics, to state licensing boards, or to the appropriate institutional authorities. This standard does not apply when an intervention would violate confidentiality rights or when psychologists have been retained to review the work of another psychologist whose professional conduct is in question. (See also Standard 1.02, Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority.)

1.06 Cooperating with Ethics Committees

Psychologists cooperate in ethics investigations, proceedings, and resulting requirements of the APA or any affiliated state psychological association to which they belong. In doing so, they address any confidentiality issues. Failure to cooperate is itself an ethics violation. However, making a request for deferment of adjudication of an ethics complaint pending the outcome of litigation does not alone constitute noncooperation.

1.07 Improper Complaints

Psychologists do not file or encourage the filing of ethics complaints that are made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

1.08 Unfair Discrimination Against Complainants and Respondents

Psychologists do not deny persons employment, advancement, admissions to academic or other programs, tenure, or promotion, based solely upon their having made or their being the subject of an ethics complaint. This does not preclude taking action based upon the outcome of such proceedings or considering other appropriate information.

2. Competence

2.01 Boundaries of Competence

(a) Psychologists provide services, teach, and conduct research with populations and in areas only within the boundaries of their competence, based on their education, training, supervised experience, consultation, study, or professional experience.

(b) Where scientific or professional knowledge in the discipline of psychology establishes that an understanding of factors associated with age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, or socioeconomic status is essential for effective implementation of their services or research, psychologists have or obtain the training, experience, consultation, or supervision necessary to ensure the competence of their services, or they make appropriate referrals, except as provided in Standard 2.02, Providing Services in Emergencies.

(c) Psychologists planning to provide services, teach, or conduct research involving populations, areas, techniques, or technologies new to them undertake relevant education, training, supervised experience, consultation, or study.

(d) When psychologists are asked to provide services to individuals for whom appropriate mental health services are not available and for which psychologists have not obtained the competence necessary, psychologists with closely related prior training or experience may provide such services in order to ensure that services are not denied if they make a reasonable effort to obtain the competence required by using relevant research, training, consultation, or study.

(e) In those emerging areas in which generally recognized standards for preparatory training do not yet exist, psychologists nevertheless take reasonable steps to ensure the competence of their work and to protect clients/patients, students, supervisees, research participants, organizational clients, and others from harm.

(f) When assuming forensic roles, psychologists are

or become reasonably familiar with the judicial or administrative rules governing their roles.

2.02 Providing Services in Emergencies

In emergencies, when psychologists provide services to individuals for whom other mental health services are not available and for which psychologists have not obtained the necessary training, psychologists may provide such services in order to ensure that services are not denied. The services are discontinued as soon as the emergency has ended or appropriate services are available.

2.03 Maintaining Competence

Psychologists undertake ongoing efforts to develop and maintain their competence.

2.04 Bases for Scientific and Professional Judgments

Psychologists' work is based upon established scientific and professional knowledge of the discipline. (See also Standards 2.01e, Boundaries of Competence, and 10.01b, Informed Consent to Therapy.)

2.05 Delegation of Work to Others

Psychologists who delegate work to employees, supervisees, or research or teaching assistants or who use the services of others, such as interpreters, take reasonable steps to (1) avoid delegating such work to persons who have a multiple relationship with those being served that would likely lead to exploitation or loss of objectivity; (2) authorize only those responsibilities that such persons can be expected to perform competently on the basis of their education, training, or experience, either independently or with the level of supervision being provided; and (3) see that such persons perform these services competently. (See also Standards 2.02, Providing Services in Emergencies; 3.05, Multiple Relationships; 4.01, Maintaining Confidentiality; 9.01, Bases for Assessments; 9.02, Use of Assessments; 9.03, Informed Consent in Assessments; and 9.07, Assessment by Unqualified Persons.)

2.06 Personal Problems and Conflicts

(a) Psychologists refrain from initiating an activity when they know or should know that there is a substantial likelihood that their personal problems will prevent them from performing their work-related activities in a competent manner.

(b) When psychologists become aware of personal problems that may interfere with their performing work-related duties adequately, they take appropriate measures, such as obtaining professional consultation or assistance, and determine whether they should limit, suspend, or terminate their work-related duties. (See also Standard 10.10, Terminating Therapy.)

3. Human Relations

3.01 Unfair Discrimination

In their work-related activities, psychologists do not engage in unfair discrimination based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, socioeconomic status, or any basis proscribed by law.

3.02 Sexual Harassment

Psychologists do not engage in sexual harassment. Sexual harassment is sexual solicitation, physical advances, or verbal or nonverbal conduct that is sexual in nature, that occurs in connection with the psychologist's activities or roles as a psychologist, and that either (1) is unwelcome, is offensive, or creates a hostile workplace or educational environment, and the psychologist knows or is told this or (2) is sufficiently severe or intense to be abusive to a reasonable person in the context. Sexual harassment can consist of a single intense or severe act or of multiple persistent or pervasive acts. (See also Standard 1.08, Unfair Discrimination Against Complainants and Respondents.)

3.03 Other Harassment

Psychologists do not knowingly engage in behavior that is harassing or demeaning to persons with whom they interact in their work based on factors such as those persons' age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, or socioeconomic status.

3.04 Avoiding Harm

(a) Psychologists take reasonable steps to avoid harming their clients/patients, students, supervisees, research participants, organizational clients, and others with whom they work, and to minimize harm where it is foreseeable and unavoidable.

(b) Psychologists do not participate in, facilitate, assist, or otherwise engage in torture, defined as any act by which severe pain or suffering, whether physical or mental, is intentionally inflicted on a person, or in any other cruel, inhuman, or degrading behavior that violates 3.04a.

3.05 Multiple Relationships

(a) A multiple relationship occurs when a psychologist is in a professional role with a person and (1) at the same time is in another role with the same person, (2) at the same time is in a relationship with a person closely associated with or related to the person with whom the psychologist has the professional relationship, or (3) promises to enter into another relationship in the future with the person or a person closely associated with or related to the person.

A psychologist refrains from entering into a multiple relationship if the multiple relationship could reasonably be expected to impair the psychologist's objectivity, competence, or effectiveness in performing his or her functions as a psychologist, or otherwise risks exploitation or harm to the person with whom the professional relationship exists.

Multiple relationships that would not reasonably be expected to cause impairment or risk exploitation or harm are not unethical.

(b) If a psychologist finds that, due to unforeseen factors, a potentially harmful multiple relationship has arisen, the psychologist takes reasonable steps to resolve it with due regard for the best interests of the affected person and maximal compliance with the Ethics Code.

(c) When psychologists are required by law, institutional policy, or extraordinary circumstances to serve in more than one role in judicial or administrative proceedings, at the outset they clarify role expectations and the extent of confidentiality and thereafter as changes occur. (See also Standards 3.04, Avoiding Harm, and 3.07, Third-Party Requests for Services.)

3.06 Conflict of Interest

Psychologists refrain from taking on a professional role when personal, scientific, professional, legal, financial, or other interests or relationships could reasonably be expected to (1) impair their objectivity, competence, or effectiveness in performing their functions as psychologists or (2) expose the person or organization with whom the professional relationship exists to harm or exploitation.

3.07 Third-Party Requests for Services

When psychologists agree to provide services to a person or entity at the request of a third party, psychologists attempt to clarify at the outset of the service the nature of the relationship with all individuals or organizations involved. This clarification includes the role of the psychologist (e.g., therapist, consultant, diagnostician, or expert witness), an identification of who is the client, the probable uses of the services provided or the information obtained, and the fact that there may be limits to confidentiality. (See also Standards 3.05, Multiple relationships, and 4.02, Discussing the Limits of Confidentiality.)

3.08 Exploitative Relationships

Psychologists do not exploit persons over whom they have supervisory, evaluative or other authority such as clients/patients, students, supervisees, research participants, and employees. (See also Standards 3.05, Multiple Relationships; 6.04, Fees and Financial Arrangements; 6.05, Barter with Clients/Patients; 7.07, Sexual Relationships with Students and Supervisees; 10.05, Sexual Intima-

cies with Current Therapy Clients/Patients; 10.06, Sexual Intimacies with Relatives or Significant Others of Current Therapy Clients/Patients; 10.07, Therapy with Former Sexual Partners; and 10.08, Sexual Intimacies with Former Therapy Clients/Patients.)

3.09 Cooperation with Other Professionals

When indicated and professionally appropriate, psychologists cooperate with other professionals in order to serve their clients/patients effectively and appropriately. (See also Standard 4.05, Disclosures.)

3.10 Informed Consent

(a) When psychologists conduct research or provide assessment, therapy, counseling, or consulting services in person or via electronic transmission or other forms of communication, they obtain the informed consent of the individual or individuals using language that is reasonably understandable to that person or persons except when conducting such activities without consent is mandated by law or governmental regulation or as otherwise provided in this Ethics Code. (See also Standards 8.02, Informed Consent to Research; 9.03, Informed Consent in Assessments; and 10.01, Informed Consent to Therapy.)

(b) For persons who are legally incapable of giving informed consent, psychologists nevertheless (1) provide an appropriate explanation, (2) seek the individual's assent, (3) consider such persons' preferences and best interests, and (4) obtain appropriate permission from a legally authorized person, if such substitute consent is permitted or required by law. When consent by a legally authorized person is not permitted or required by law, psychologists take reasonable steps to protect the individual's rights and welfare.

(c) When psychological services are court ordered or otherwise mandated, psychologists inform the individual of the nature of the anticipated services, including whether the services are court ordered or mandated and any limits of confidentiality, before proceeding.

(d) Psychologists appropriately document written or oral consent, permission, and assent. (See also Standards 8.02, Informed Consent to Research; 9.03, Informed Consent in Assessments; and 10.01, Informed Consent to Therapy.)

3.11 Psychological Services Delivered to or Through Organizations

(a) Psychologists delivering services to or through organizations provide information beforehand to clients and when appropriate those directly affected by the services about (1) the nature and objectives of the services, (2) the intended recipients, (3) which of the individuals are clients, (4) the relationship the psychologist will have with each person and the organization, (5) the probable uses of services

provided and information obtained, (6) who will have access to the information, and (7) limits of confidentiality. As soon as feasible, they provide information about the results and conclusions of such services to appropriate persons.

(b) If psychologists will be precluded by law or by organizational roles from providing such information to particular individuals or groups, they so inform those individuals or groups at the outset of the service.

3.12 Interruption of Psychological Services

Unless otherwise covered by contract, psychologists make reasonable efforts to plan for facilitating services in the event that psychological services are interrupted by factors such as the psychologist's illness, death, unavailability, relocation, or retirement or by the client's/patient's relocation or financial limitations. (See also Standard 6.02c, Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work.)

4. Privacy and Confidentiality

4.01 Maintaining Confidentiality

Psychologists have a primary obligation and take reasonable precautions to protect confidential information obtained through or stored in any medium, recognizing that the extent and limits of confidentiality may be regulated by law or established by institutional rules or professional or scientific relationship. (See also Standard 2.05, Delegation of Work to Others.)

4.02 Discussing the Limits of Confidentiality

(a) Psychologists discuss with persons (including, to the extent feasible, persons who are legally incapable of giving informed consent and their legal representatives) and organizations with whom they establish a scientific or professional relationship (1) the relevant limits of confidentiality and (2) the foreseeable uses of the information generated through their psychological activities. (See also Standard 3.10, Informed Consent.)

(b) Unless it is not feasible or is contraindicated, the discussion of confidentiality occurs at the outset of the relationship and thereafter as new circumstances may warrant.

(c) Psychologists who offer services, products, or information via electronic transmission inform clients/patients of the risks to privacy and limits of confidentiality.

4.03 Recording

Before recording the voices or images of individuals to whom they provide services, psychologists obtain permission from all such persons or their legal representatives. (See also Standards 8.03, Informed Consent for Recording Voices and Images in Research; 8.05, Dispensing with Informed Consent for Research; and 8.07, Deception in Research.)

4.04 Minimizing Intrusions on Privacy

(a) Psychologists include in written and oral reports and consultations, only information germane to the purpose for which the communication is made.

(b) Psychologists discuss confidential information obtained in their work only for appropriate scientific or professional purposes and only with persons clearly concerned with such matters.

4.05 Disclosures

(a) Psychologists may disclose confidential information with the appropriate consent of the organizational client, the individual client/patient, or another legally authorized person on behalf of the client/patient unless prohibited by law.

(b) Psychologists disclose confidential information without the consent of the individual only as mandated by law, or where permitted by law for a valid purpose such as to (1) provide needed professional services; (2) obtain appropriate professional consultations; (3) protect the client/patient, psychologist, or others from harm; or (4) obtain payment for services from a client/patient, in which instance disclosure is limited to the minimum that is necessary to achieve the purpose. (See also Standard 6.04e, Fees and Financial Arrangements.)

4.06 Consultations

When consulting with colleagues, (1) psychologists do not disclose confidential information that reasonably could lead to the identification of a client/patient, research participant, or other person or organization with whom they have a confidential relationship unless they have obtained the prior consent of the person or organization or the disclosure cannot be avoided, and (2) they disclose information only to the extent necessary to achieve the purposes of the consultation. (See also Standard 4.01, Maintaining Confidentiality.)

4.07 Use of Confidential Information for Didactic or Other Purposes

Psychologists do not disclose in their writings, lectures, or other public media, confidential, personally identifiable information concerning their clients/patients, students, research participants, organizational clients, or other recipients of their services that they obtained during the course of their work, unless (1) they take reasonable steps to disguise the person or organization, (2) the person or organization has consented in writing, or (3) there is legal authorization for doing so.

5. Advertising and Other Public Statements

5.01 Avoidance of False or Deceptive Statements

(a) Public statements include but are not limited to paid or unpaid advertising, product endorsements, grant applications, licensing applications, other credentialing applications, brochures, printed matter, directory listings, personal resumes or curricula vitae, or comments for use in media such as print or electronic transmission, statements in legal proceedings, lectures and public oral presentations, and published materials. Psychologists do not knowingly make public statements that are false, deceptive, or fraudulent concerning their research, practice, or other work activities or those of persons or organizations with which they are affiliated.

(b) Psychologists do not make false, deceptive, or fraudulent statements concerning (1) their training, experience, or competence; (2) their academic degrees; (3) their credentials; (4) their institutional or association affiliations; (5) their services; (6) the scientific or clinical basis for, or results or degree of success of, their services; (7) their fees; or (8) their publications or research findings.

(c) Psychologists claim degrees as credentials for their health services only if those degrees (1) were earned from a regionally accredited educational institution or (2) were the basis for psychology licensure by the state in which they practice.

5.02 Statements by Others

(a) Psychologists who engage others to create or place public statements that promote their professional practice, products, or activities retain professional responsibility for such statements.

(b) Psychologists do not compensate employees of press, radio, television, or other communication media in return for publicity in a news item. (See also Standard 1.01, Misuse of Psychologists' Work.)

(c) A paid advertisement relating to psychologists' activities must be identified or clearly recognizable as such.

5.03 Descriptions of Workshops and Non-Degree-Granting Educational Programs

To the degree to which they exercise control, psychologists responsible for announcements, catalogs, brochures, or advertisements describing workshops, seminars, or other non-degree-granting educational programs ensure that they accurately describe the audience for which the program is intended, the educational objectives, the presenters, and the fees involved.

5.04 Media Presentations

When psychologists provide public advice or comment via print, Internet, or other electronic transmission,

they take precautions to ensure that statements (1) are based on their professional knowledge, training, or experience in accord with appropriate psychological literature and practice; (2) are otherwise consistent with this Ethics Code; and (3) do not indicate that a professional relationship has been established with the recipient. (See also Standard 2.04, Bases for Scientific and Professional Judgments.)

5.05 Testimonials

Psychologists do not solicit testimonials from current therapy clients/patients or other persons who because of their particular circumstances are vulnerable to undue influence.

5.06 In-Person Solicitation

Psychologists do not engage, directly or through agents, in uninvited in-person solicitation of business from actual or potential therapy clients/patients or other persons who because of their particular circumstances are vulnerable to undue influence. However, this prohibition does not preclude (1) attempting to implement appropriate collateral contacts for the purpose of benefiting an already engaged therapy client/patient or (2) providing disaster or community outreach services.

6. Record Keeping and Fees

6.01 Documentation of Professional and Scientific Work and Maintenance of Records

Psychologists create, and to the extent the records are under their control, maintain, disseminate, store, retain, and dispose of records and data relating to their professional and scientific work in order to (1) facilitate provision of services later by them or by other professionals, (2) allow for replication of research design and analyses, (3) meet institutional requirements, (4) ensure accuracy of billing and payments, and (5) ensure compliance with law. (See also Standard 4.01, Maintaining Confidentiality.)

6.02 Maintenance, Dissemination, and Disposal of Confidential Records of Professional and Scientific Work

(a) Psychologists maintain confidentiality in creating, storing, accessing, transferring, and disposing of records under their control, whether these are written, automated, or in any other medium. (See also Standards 4.01, Maintaining Confidentiality, and 6.01, Documentation of Professional and Scientific Work and Maintenance of Records.)

(b) If confidential information concerning recipients of psychological services is entered into databases or systems of records available to persons whose access has not been consented to by the recipient, psychologists use coding or other techniques to avoid the inclusion of personal identifiers.

(c) Psychologists make plans in advance to facilitate the appropriate transfer and to protect the confidentiality of records and data in the event of psychologists' withdrawal from positions or practice. (See also Standards 3.12, Interruption of Psychological Services, and 10.09, Interruption of Therapy.)

6.03 Withholding Records for Nonpayment

Psychologists may not withhold records under their control that are requested and needed for a client's/patient's emergency treatment solely because payment has not been received.

6.04 Fees and Financial Arrangements

(a) As early as is feasible in a professional or scientific relationship, psychologists and recipients of psychological services reach an agreement specifying compensation and billing arrangements.

(b) Psychologists' fee practices are consistent with law.

(c) Psychologists do not misrepresent their fees.

(d) If limitations to services can be anticipated because of limitations in financing, this is discussed with the recipient of services as early as is feasible. (See also Standards 10.09, Interruption of Therapy, and 10.10, Terminating Therapy.)

(e) If the recipient of services does not pay for services as agreed, and if psychologists intend to use collection agencies or legal measures to collect the fees, psychologists first inform the person that such measures will be taken and provide that person an opportunity to make prompt payment. (See also Standards 4.05, Disclosures; 6.03, Withholding Records for Nonpayment; and 10.01, Informed Consent to Therapy.)

6.05 Barter with Clients/Patients

Barter is the acceptance of goods, services, or other nonmonetary remuneration from clients/patients in return for psychological services. Psychologists may barter only if (1) it is not clinically contraindicated, and (2) the resulting arrangement is not exploitative. (See also Standards 3.05, Multiple Relationships, and 6.04, Fees and Financial Arrangements.)

6.06 Accuracy in Reports to Payors and Funding Sources

In their reports to payors for services or sources of research funding, psychologists take reasonable steps to ensure the accurate reporting of the nature of the service provided or research conducted, the fees, charges, or payments, and where applicable, the identity of the provider, the findings, and the diagnosis. (See also Standards 4.01, Maintaining Confidentiality; 4.04, Minimizing Intrusions on Privacy; and 4.05, Disclosures.)

6.07 Referrals and Fees

When psychologists pay, receive payment from, or divide fees with another professional, other than in an employer-employee relationship, the payment to each is based on the services provided (clinical, consultative, administrative, or other) and is not based on the referral itself. (See also Standard 3.09, Cooperation with Other Professionals.)

7. Education and Training

7.01 Design of Education and Training Programs

Psychologists responsible for education and training programs take reasonable steps to ensure that the programs are designed to provide the appropriate knowledge and proper experiences, and to meet the requirements for licensure, certification, or other goals for which claims are made by the program. (See also Standard 5.03, Descriptions of Workshops and Non-Degree-Granting Educational Programs.)

7.02 Descriptions of Education and Training Programs

Psychologists responsible for education and training programs take reasonable steps to ensure that there is a current and accurate description of the program content (including participation in required course- or program-related counseling, psychotherapy, experiential groups, consulting projects, or community service), training goals and objectives, stipends and benefits, and requirements that must be met for satisfactory completion of the program. This information must be made readily available to all interested parties.

7.03 Accuracy in Teaching

(a) Psychologists take reasonable steps to ensure that course syllabi are accurate regarding the subject matter to be covered, bases for evaluating progress, and the nature of course experiences. This standard does not preclude an instructor from modifying course content or requirements when the instructor considers it pedagogically necessary or desirable, so long as students are made aware of these modifications in a manner that enables them to fulfill course requirements. (See also Standard 5.01, Avoidance of False or Deceptive Statements.)

(b) When engaged in teaching or training, psychologists present psychological information accurately. (See also Standard 2.03, Maintaining Competence.)

7.04 Student Disclosure of Personal Information

Psychologists do not require students or supervisees to disclose personal information in course- or program-related activities, either orally or in writing, regarding

sexual history, history of abuse and neglect, psychological treatment, and relationships with parents, peers, and spouses or significant others except if (1) the program or training facility has clearly identified this requirement in its admissions and program materials or (2) the information is necessary to evaluate or obtain assistance for students whose personal problems could reasonably be judged to be preventing them from performing their training- or professionally related activities in a competent manner or posing a threat to the students or others.

7.05 Mandatory Individual or Group Therapy

(a) When individual or group therapy is a program or course requirement, psychologists responsible for that program allow students in undergraduate and graduate programs the option of selecting such therapy from practitioners unaffiliated with the program. (See also Standard 7.02, Descriptions of Education and Training Programs.)

(b) Faculty who are or are likely to be responsible for evaluating students' academic performance do not themselves provide that therapy. (See also Standard 3.05, Multiple Relationships.)

7.06 Assessing Student and Supervisee Performance

(a) In academic and supervisory relationships, psychologists establish a timely and specific process for providing feedback to students and supervisees. Information regarding the process is provided to the student at the beginning of supervision.

(b) Psychologists evaluate students and supervisees on the basis of their actual performance on relevant and established program requirements.

7.07 Sexual Relationships with Students and Supervisees

Psychologists do not engage in sexual relationships with students or supervisees who are in their department, agency, or training center or over whom psychologists have or are likely to have evaluative authority. (See also Standard 3.05, Multiple Relationships.)

8. Research and Publication

8.01 Institutional Approval

When institutional approval is required, psychologists provide accurate information about their research proposals and obtain approval prior to conducting the research. They conduct the research in accordance with the approved research protocol.

8.02 Informed Consent to Research

(a) When obtaining informed consent as required in Standard 3.10, Informed Consent, psychologists inform participants about (1) the purpose of the research, expect-

ed duration, and procedures; (2) their right to decline to participate and to withdraw from the research once participation has begun; (3) the foreseeable consequences of declining or withdrawing; (4) reasonably foreseeable factors that may be expected to influence their willingness to participate such as potential risks, discomfort, or adverse effects; (5) any prospective research benefits; (6) limits of confidentiality; (7) incentives for participation; and (8) whom to contact for questions about the research and research participants' rights. They provide opportunity for the prospective participants to ask questions and receive answers. (See also Standards 8.03, Informed Consent for Recording Voices and Images in Research; 8.05, Dispensing with Informed Consent for Research; and 8.07, Deception in Research.)

(b) Psychologists conducting intervention research involving the use of experimental treatments clarify to participants at the outset of the research (1) the experimental nature of the treatment; (2) the services that will or will not be available to the control group(s) if appropriate; (3) the means by which assignment to treatment and control groups will be made; (4) available treatment alternatives if an individual does not wish to participate in the research or wishes to withdraw once a study has begun; and (5) compensation for or monetary costs of participating including, if appropriate, whether reimbursement from the participant or a third-party payor will be sought. (See also Standard 8.02a, Informed Consent to Research.)

8.03 Informed Consent for Recording Voices and Images in Research

Psychologists obtain informed consent from research participants prior to recording their voices or images for data collection unless (1) the research consists solely of naturalistic observations in public places, and it is not anticipated that the recording will be used in a manner that could cause personal identification or harm, or (2) the research design includes deception, and consent for the use of the recording is obtained during debriefing. (See also Standard 8.07, Deception in Research.)

8.04 Client/Patient, Student, and Subordinate Research Participants

(a) When psychologists conduct research with clients/patients, students, or subordinates as participants, psychologists take steps to protect the prospective participants from adverse consequences of declining or withdrawing from participation.

(b) When research participation is a course requirement or an opportunity for extra credit, the prospective participant is given the choice of equitable alternative activities.

8.05 Dispensing with Informed Consent for Research

Psychologists may dispense with informed consent only (1) where research would not reasonably be assumed to create distress or harm and involves (a) the study of normal educational practices, curricula, or classroom management methods conducted in educational settings; (b) only anonymous questionnaires, naturalistic observations, or archival research for which disclosure of responses would not place participants at risk of criminal or civil liability or damage their financial standing, employability, or reputation, and confidentiality is protected; or (c) the study of factors related to job or organization effectiveness conducted in organizational settings for which there is no risk to participants' employability, and confidentiality is protected or (2) where otherwise permitted by law or federal or institutional regulations.

8.06 Offering Inducements for Research Participation

(a) Psychologists make reasonable efforts to avoid offering excessive or inappropriate financial or other inducements for research participation when such inducements are likely to coerce participation.

(b) When offering professional services as an inducement for research participation, psychologists clarify the nature of the services, as well as the risks, obligations, and limitations. (See also Standard 6.05, Barter with Clients/Patients.)

8.07 Deception in Research

(a) Psychologists do not conduct a study involving deception unless they have determined that the use of deceptive techniques is justified by the study's significant prospective scientific, educational, or applied value and that effective nondeceptive alternative procedures are not feasible.

(b) Psychologists do not deceive prospective participants about research that is reasonably expected to cause physical pain or severe emotional distress.

(c) Psychologists explain any deception that is an integral feature of the design and conduct of an experiment to participants as early as is feasible, preferably at the conclusion of their participation, but no later than at the conclusion of the data collection, and permit participants to withdraw their data. (See also Standard 8.08, Debriefing.)

8.08 Debriefing

(a) Psychologists provide a prompt opportunity for participants to obtain appropriate information about the nature, results, and conclusions of the research, and they take reasonable steps to correct any misconceptions that participants may have of which the psychologists are aware.

(b) If scientific or humane values justify delaying or withholding this information, psychologists take reasonable measures to reduce the risk of harm.

(c) When psychologists become aware that research procedures have harmed a participant, they take reasonable steps to minimize the harm.

8.09 Humane Care and Use of Animals in Research

(a) Psychologists acquire, care for, use, and dispose of animals in compliance with current federal, state, and local laws and regulations, and with professional standards.

(b) Psychologists trained in research methods and experienced in the care of laboratory animals supervise all procedures involving animals and are responsible for ensuring appropriate consideration of their comfort, health, and humane treatment.

(c) Psychologists ensure that all individuals under their supervision who are using animals have received instruction in research methods and in the care, maintenance, and handling of the species being used, to the extent appropriate to their role. (See also Standard 2.05, Delegation of Work to Others.)

(d) Psychologists make reasonable efforts to minimize the discomfort, infection, illness, and pain of animal subjects.

(e) Psychologists use a procedure subjecting animals to pain, stress, or privation only when an alternative procedure is unavailable and the goal is justified by its prospective scientific, educational, or applied value.

(f) Psychologists perform surgical procedures under appropriate anesthesia and follow techniques to avoid infection and minimize pain during and after surgery.

(g) When it is appropriate that an animal's life be terminated, psychologists proceed rapidly, with an effort to minimize pain and in accordance with accepted procedures.

8.10 Reporting Research Results

(a) Psychologists do not fabricate data. (See also Standard 5.01a, Avoidance of False or Deceptive Statements.)

(b) If psychologists discover significant errors in their published data, they take reasonable steps to correct such errors in a correction, retraction, erratum, or other appropriate publication means.

8.11 Plagiarism

Psychologists do not present portions of another's work or data as their own, even if the other work or data source is cited occasionally.

8.12 Publication Credit

(a) Psychologists take responsibility and credit, in-

cluding authorship credit, only for work they have actually performed or to which they have substantially contributed. (See also Standard 8.12b, Publication Credit.)

(b) Principal authorship and other publication credits accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their relative status. Mere possession of an institutional position, such as department chair, does not justify authorship credit. Minor contributions to the research or to the writing for publications are acknowledged appropriately, such as in footnotes or in an introductory statement.

(c) Except under exceptional circumstances, a student is listed as principal author on any multiple-authored article that is substantially based on the student's doctoral dissertation. Faculty advisors discuss publication credit with students as early as feasible and throughout the research and publication process as appropriate. (See also Standard 8.12b, Publication Credit.)

8.13 Duplicate Publication of Data

Psychologists do not publish, as original data, data that have been previously published. This does not preclude republishing data when they are accompanied by proper acknowledgment.

8.14 Sharing Research Data for Verification

(a) After research results are published, psychologists do not withhold the data on which their conclusions are based from other competent professionals who seek to verify the substantive claims through reanalysis and who intend to use such data only for that purpose, provided that the confidentiality of the participants can be protected and unless legal rights concerning proprietary data preclude their release. This does not preclude psychologists from requiring that such individuals or groups be responsible for costs associated with the provision of such information.

(b) Psychologists who request data from other psychologists to verify the substantive claims through reanalysis may use shared data only for the declared purpose. Requesting psychologists obtain prior written agreement for all other uses of the data.

8.15 Reviewers

Psychologists who review material submitted for presentation, publication, grant, or research proposal review respect the confidentiality of and the proprietary rights in such information of those who submitted it.

9. Assessment

9.01 Bases for Assessments

(a) Psychologists base the opinions contained in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, on informa-

tion and techniques sufficient to substantiate their findings. (See also Standard 2.04, Bases for Scientific and Professional Judgments.)

(b) Except as noted in 9.01c, psychologists provide opinions of the psychological characteristics of individuals only after they have conducted an examination of the individuals adequate to support their statements or conclusions. When, despite reasonable efforts, such an examination is not practical, psychologists document the efforts they made and the result of those efforts, clarify the probable impact of their limited information on the reliability and validity of their opinions, and appropriately limit the nature and extent of their conclusions or recommendations. (See also Standards 2.01, Boundaries of Competence, and 9.06, Interpreting Assessment Results.)

(c) When psychologists conduct a record review or provide consultation or supervision and an individual examination is not warranted or necessary for the opinion, psychologists explain this and the sources of information on which they based their conclusions and recommendations.

9.02 Use of Assessments

(a) Psychologists administer, adapt, score, interpret, or use assessment techniques, interviews, tests, or instruments in a manner and for purposes that are appropriate in light of the research on or evidence of the usefulness and proper application of the techniques.

(b) Psychologists use assessment instruments whose validity and reliability have been established for use with members of the population tested. When such validity or reliability has not been established, psychologists describe the strengths and limitations of test results and interpretation.

(c) Psychologists use assessment methods that are appropriate to an individual's language preference and competence, unless the use of an alternative language is relevant to the assessment issues.

9.03 Informed Consent in Assessments

(a) Psychologists obtain informed consent for assessments, evaluations, or diagnostic services, as described in Standard 3.10, Informed Consent, except when (1) testing is mandated by law or governmental regulations; (2) informed consent is implied because testing is conducted as a routine educational, institutional, or organizational activity (e.g., when participants voluntarily agree to assessment when applying for a job); or (3) one purpose of the testing is to evaluate decisional capacity. Informed consent includes an explanation of the nature and purpose of the assessment, fees, involvement of third parties, and limits of confidentiality and sufficient opportunity for the client/patient to ask questions and receive answers.

(b) Psychologists inform persons with questionable

capacity to consent or for whom testing is mandated by law or governmental regulations about the nature and purpose of the proposed assessment services, using language that is reasonably understandable to the person being assessed.

(c) Psychologists using the services of an interpreter obtain informed consent from the client/patient to use that interpreter, ensure that confidentiality of test results and test security are maintained, and include in their recommendations, reports, and diagnostic or evaluative statements, including forensic testimony, discussion of any limitations on the data obtained. (See also Standards 2.05, Delegation of Work to Others; 4.01, Maintaining Confidentiality; 9.01, Bases for Assessments; 9.06, Interpreting Assessment Results; and 9.07, Assessment by Unqualified Persons.)

9.04 Release of Test Data

(a) The term *test data* refers to raw and scaled scores, client/patient responses to test questions or stimuli, and psychologists' notes and recordings concerning client/patient statements and behavior during an examination. Those portions of test materials that include client/patient responses are included in the definition of *test data*. Pursuant to a client/patient release, psychologists provide test data to the client/patient or other persons identified in the release. Psychologists may refrain from releasing test data to protect a client/patient or others from substantial harm or misuse or misrepresentation of the data or the test, recognizing that in many instances release of confidential information under these circumstances is regulated by law. (See also Standard 9.11, Maintaining Test Security.)

(b) In the absence of a client/patient release, psychologists provide test data only as required by law or court order.

9.05 Test Construction

Psychologists who develop tests and other assessment techniques use appropriate psychometric procedures and current scientific or professional knowledge for test design, standardization, validation, reduction or elimination of bias, and recommendations for use.

9.06 Interpreting Assessment Results

When interpreting assessment results, including automated interpretations, psychologists take into account the purpose of the assessment as well as the various test factors, test-taking abilities, and other characteristics of the person being assessed, such as situational, personal, linguistic, and cultural differences, that might affect psychologists' judgments or reduce the accuracy of their interpretations. They indicate any significant limitations of their interpretations. (See also Standards 2.01b and c, Boundaries of Competence, and 3.01, Unfair Discrimination.)

9.07 Assessment by Unqualified Persons

Psychologists do not promote the use of psychological assessment techniques by unqualified persons, except when such use is conducted for training purposes with appropriate supervision. (See also Standard 2.05, Delegation of Work to Others.)

9.08 Obsolete Tests and Outdated Test Results

(a) Psychologists do not base their assessment or intervention decisions or recommendations on data or test results that are outdated for the current purpose.

(b) Psychologists do not base such decisions or recommendations on tests and measures that are obsolete and not useful for the current purpose.

9.09 Test Scoring and Interpretation Services

(a) Psychologists who offer assessment or scoring services to other professionals accurately describe the purpose, norms, validity, reliability, and applications of the procedures and any special qualifications applicable to their use.

(b) Psychologists select scoring and interpretation services (including automated services) on the basis of evidence of the validity of the program and procedures as well as on other appropriate considerations. (See also Standard 2.01b and c, Boundaries of Competence.)

(c) Psychologists retain responsibility for the appropriate application, interpretation, and use of assessment instruments, whether they score and interpret such tests themselves or use automated or other services.

9.10 Explaining Assessment Results

Regardless of whether the scoring and interpretation are done by psychologists, by employees or assistants, or by automated or other outside services, psychologists take reasonable steps to ensure that explanations of results are given to the individual or designated representative unless the nature of the relationship precludes provision of an explanation of results (such as in some organizational consulting, preemployment or security screenings, and forensic evaluations), and this fact has been clearly explained to the person being assessed in advance.

9.11 Maintaining Test Security

The term *test materials* refers to manuals, instruments, protocols, and test questions or stimuli and does not include *test data* as defined in Standard 9.04, Release of Test Data. Psychologists make reasonable efforts to maintain the integrity and security of test materials and other assessment techniques consistent with law and contractual obligations, and in a manner that permits adherence to this Ethics Code.

10. Therapy

10.01 Informed Consent to Therapy

(a) When obtaining informed consent to therapy as required in Standard 3.10, Informed Consent, psychologists inform clients/patients as early as is feasible in the therapeutic relationship about the nature and anticipated course of therapy, fees, involvement of third parties, and limits of confidentiality and provide sufficient opportunity for the client/patient to ask questions and receive answers. (See also Standards 4.02, Discussing the Limits of Confidentiality, and 6.04, Fees and Financial Arrangements.)

(b) When obtaining informed consent for treatment for which generally recognized techniques and procedures have not been established, psychologists inform their clients/patients of the developing nature of the treatment, the potential risks involved, alternative treatments that may be available, and the voluntary nature of their participation. (See also Standards 2.01e, Boundaries of Competence, and 3.10, Informed Consent.)

(c) When the therapist is a trainee and the legal responsibility for the treatment provided resides with the supervisor, the client/patient, as part of the informed consent procedure, is informed that the therapist is in training and is being supervised and is given the name of the supervisor.

10.02 Therapy Involving Couples or Families

(a) When psychologists agree to provide services to several persons who have a relationship (such as spouses, significant others, or parents and children), they take reasonable steps to clarify at the outset (1) which of the individuals are clients/patients and (2) the relationship the psychologist will have with each person. This clarification includes the psychologist's role and the probable uses of the services provided or the information obtained. (See also Standard 4.02, Discussing the Limits of Confidentiality.)

(b) If it becomes apparent that psychologists may be called on to perform potentially conflicting roles (such as family therapist and then witness for one party in divorce proceedings), psychologists take reasonable steps to clarify and modify, or withdraw from, roles appropriately. (See also Standard 3.05c, Multiple Relationships.)

10.03 Group Therapy

When psychologists provide services to several persons in a group setting, they describe at the outset the roles and responsibilities of all parties and the limits of confidentiality.

10.04 Providing Therapy to Those Served by Others

In deciding whether to offer or provide services to those already receiving mental health services elsewhere, psychologists carefully consider the treatment issues and the potential client's/patient's welfare. Psychologists discuss these issues with the client/patient or another legally authorized person on behalf of the client/patient in order to minimize the risk of confusion and conflict, consult with the other service providers when appropriate, and proceed with caution and sensitivity to the therapeutic issues.

10.05 Sexual Intimacies with Current Therapy Clients/Patients

Psychologists do not engage in sexual intimacies with current therapy clients/patients.

10.06 Sexual Intimacies with Relatives or Significant Others of Current Therapy Clients/Patients

Psychologists do not engage in sexual intimacies with individuals they know to be close relatives, guardians, or significant others of current clients/patients. Psychologists do not terminate therapy to circumvent this standard.

10.07 Therapy with Former Sexual Partners

Psychologists do not accept as therapy clients/patients persons with whom they have engaged in sexual intimacies.

10.08 Sexual Intimacies with Former Therapy Clients/Patients

(a) Psychologists do not engage in sexual intimacies with former clients/patients for at least two years after cessation or termination of therapy.

(b) Psychologists do not engage in sexual intimacies with former clients/patients even after a two-year interval except in the most unusual circumstances. Psychologists who engage in such activity after the two years following cessation or termination of therapy and of having no sexual contact with the former client/patient bear the burden of demonstrating that there has been no exploitation, in light of all relevant factors, including (1) the amount of time that has passed since therapy terminated; (2) the nature, duration, and intensity of the therapy; (3) the circumstances of termination; (4) the client's/patient's personal history; (5) the client's/patient's current mental status; (6) the likelihood of adverse impact on the client/patient; and (7) any statements or actions made by the therapist during the course of therapy suggesting or inviting the possibility of a posttermination sexual or romantic relationship with the client/patient. (See also Standard 3.05, Multiple Relationships.)

10.09 Interruption of Therapy

When entering into employment or contractual relationships, psychologists make reasonable efforts to provide for orderly and appropriate resolution of responsibility for client/patient care in the event that the employment or contractual relationship ends, with paramount consideration given to the welfare of the client/patient. (See also Standard 3.12, Interruption of Psychological Services.)

10.10 Terminating Therapy

(a) Psychologists terminate therapy when it becomes reasonably clear that the client/patient no longer needs the service, is not likely to benefit, or is being harmed by continued service.

(b) Psychologists may terminate therapy when threatened or otherwise endangered by the client/patient or another person with whom the client/patient has a relationship.

(c) Except where precluded by the actions of clients/patients or third-party payors, prior to termination psychologists provide pretermination counseling and suggest alternative service providers as appropriate.

AMENDMENTS TO THE 2002 “ETHICAL PRINCIPLES OF PSYCHOLOGISTS AND CODE OF CONDUCT” IN 2010 AND 2016

2010 Amendments

Introduction and Applicability

If psychologists’ ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists make known their commitment to this Ethics Code and take steps to resolve the conflict in a responsible manner. ~~If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing authority in keeping with basic principles of human rights.~~

1.02 Conflicts Between Ethics and Law, Regulations, or Other Governing Legal Authority

If psychologists’ ethical responsibilities conflict with law, regulations, or other governing legal authority, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and take reasonable steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. ~~If the conflict is unresolvable via such means, psychologists may adhere to the requirements of the law, regulations, or other governing legal authority, Under no circumstances may this standard be used to justify or defend violating human rights.~~

1.03 Conflicts Between Ethics and Organizational Demands

If the demands of an organization with which psychologists are affiliated or for whom they are working are in conflict with this Ethics Code, psychologists clarify the nature of the conflict, make known their commitment to the Ethics Code, and to the extent feasible, resolve the conflict in a way that permits adherence to the Ethics Code; take reasonable steps to resolve the conflict consistent with the General Principles and Ethical Standards of the Ethics Code. Under no circumstances may this standard be used to justify or defend violating human rights.

2016 Amendment

3.04 Avoiding Harm

(a) Psychologists take reasonable steps to avoid harming their clients/patients, students, supervisees, research participants, organizational clients, and others with whom they work, and to minimize harm where it is foreseeable and unavoidable.

(b) Psychologists do not participate in, facilitate, assist, or otherwise engage in torture, defined as any act by which severe pain or suffering, whether physical or mental, is intentionally inflicted on a person, or in any other cruel, inhuman, or degrading behavior that violates 3.04a.



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