PhD PROGRAM

STUDENT HANDBOOK

2019-2020
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Welcome to the community of scholars at the Columbia University School of Nursing Doctor of Philosophy (PhD) Program. This handbook is intended to aid doctoral students in planning coursework and proceeding through all phases of the curriculum.

The PhD degree in Nursing is conferred by the Graduate School of Arts and Sciences (GSAS) upon completion of both a Master of Philosophy degree (MPhil) and successful dissertation defense. The School of Nursing defines and administers the programmatic policies of the MPhil degree, including course requirements and Qualifying Examination procedures. Upon conferral of the MPhil degree, the eligible student is admitted to PhD candidacy in the Graduate School of Arts and Sciences according to the rules and regulations described in the GSAS Dissertation Office web pages. Details of each phase of the doctoral training experience are provided in the following sections of this handbook, with relevant forms included as appendices. The course plans and its requirements are subject to change.

The PhD Program Offices are located on the 6th floor of the School of Nursing, 560 W. 168th Street, New York, NY 10032.

Arlene Smaldone, PhD, CPNP, CDE  
PhD Program Director  
am130@columbia.edu  
(212) 342-3048  
Room 607

Judith Kelson, MSW  
Assistant Director  
jk3804@columbia.edu  
(212) 342-4172  
Room 609

The Dissertation Office is located at 107 Low Memorial Library, 535 West 116th Street, and is open Monday through Friday from 9:00 AM – 5:00 PM.  

Esmeralda McCormick  
Dissertation Secretary  
es183@columbia.edu  
(212) 854-2854

NOTE: This handbook is congruent with the School of Nursing Student Handbook, the GSAS website, and other Columbia University resources, and does not supplant any official policies of the School or the University. Information in this handbook is updated annually and was up to date at the time of publication. Note that changes may occur after distribution. Your advisor, the PhD Program Director, Assistant Director, and the Office of Student Affairs are all available to answer questions not covered in these documents. Please refer to the School of Nursing Student Handbook for general policies of the School of Nursing such as registration procedure and academic and professional policies and standards.  

Please refer to the Student Health Service website and the School of Nursing Student Handbook for details about medical services, mental health services, and the student health insurance plan.
DESCRIPTION, PURPOSE AND OBJECTIVE

The PhD program is a full-time, research-intensive curriculum that prepares nurse scholars to conduct research both independently and as part of interdisciplinary teams. The program provides students with research skills, knowledge of theoretical frameworks for the critical understanding of outcomes and policy questions, and mentored opportunities that move the student toward independent research. PhD students enroll three semesters per year (fall, spring summer).

Graduates of the PhD program have knowledge of health policy and the research skills necessary to make a major impact on national and global health care, to further clinical nursing knowledge, and to translate this knowledge into practice. Specifically, graduates are prepared to:

1. Design and conduct research studies. Analyze data and report the findings of research studies that increase knowledge about the outcomes of nursing and other clinical practice.

2. Provide leadership in improving the health care delivery system at local, national, and international levels.

3. Collaborate with other professionals to evaluate and develop policies for the organization and delivery of health services.

4. Translate evidence accumulated through research into practice and policy at multiple levels.

ADMISSION CRITERIA

All applicants must possess a New York state nursing license or be eligible to receive a license. Applicants entering the program will be required to take a minimum of 57 credits for completion of the Nursing PhD Degree in addition to any other credits that are needed based on their individual educational needs.

PREREQUISITES AND EXPECTED PROFICIENCIES AT THE TIME OF ENROLLMENT

It is expected that at the time of enrollment students will have successfully completed approved coursework in nursing theory, research, and health policy. Students not meeting these requirements may complete these credits at Columbia University or another university before beginning, or connected with, doctoral study; however, courses taken to meet prerequisite requirements do not count toward PhD degree credit requirements. Any prerequisite course requirements taken elsewhere in the University are the responsibility of the student, including assuring that all records from such courses reach the School of Nursing Office of Student Services in a timely fashion.

TRANSFER CREDITS

A maximum of 9 credits for applicable courses taken prior to enrollment may be transferred. Coursework essential to the student’s area of study and not offered within Columbia University
SURVIVAL SKILLS WORKSHOP

It is expected that students who are admitted to the program will be computer literate (able to use at least one word processing program), have fluency in using the electronic resources of the Columbia University library including literature searches, and fluency in use of one electronic citation manager such as Endnote. In addition, all incoming students will be expected to attend the “Survival Skills Workshop for Doctoral Students” offered before the start of classes as part of the new student orientation.

AVISMENT

Upon enrollment each student is assigned a faculty advisor who provides academic and professional guidance throughout their course of study. The advisor assists students to identify strengths and weaknesses and to establish short and long range goals. Assignment of a faculty advisor is based on the student's professional goals and the compatibility of clinical and research interests. A major role of the advisor is to monitor the student’s overall progression throughout the program and to ensure that the student identifies in elective courses that align with their research interest and career goals. Elective courses should support the student’s topic and method of dissertation research.

The advisor is expected to meet with the student on a regular basis although the frequency of meetings may vary by semester. As the student progresses through the program and his or her research interests are more fully understood, change in the advisor may be initiated by either the student or the advisor. Students are encouraged to become familiar with the expertise of other members of the faculty and to consult them as appropriate.

PhD students are expected to take the initiative to meet with their advisor(s)/dissertation sponsors at the beginning of each semester to discuss academic goals for the semester, opportunities to participate in ongoing research, and determine a schedule for meeting frequency. To facilitate productive meetings, prior to each meeting the student should create an agenda to assure that issues of importance are addressed. Mutually determined goals, expectations and deadlines should be set and reviewed during meetings.

In the event a student wishes to change their advisor/sponsor, the student should initiate the request with the current advisor. If this is not possible, the student should request the change with the PhD Program Director or the Associate Dean of Research.

When ready for dissertation work, the student selects an approved sponsor for dissertation in consultation with the advisor. The list of approved Dissertation sponsors can be found here.

INDIVIDUAL DEVELOPMENT PLAN (IDP) / TRAINEE SKILLS INVENTORY FOR PHD STUDENTS

PhD students are strongly encouraged to complete an Individual Development Plan (IDP) for PhD Students / Trainee Skills Inventory. The purpose of the inventory is to provide predoctoral students with a roadmap to the skills that they may wish to accomplish throughout the program. The template for the IDP will be provided to incoming students at the beginning of fall semester. It is expected that PhD students will update their inventory every semester in conjunction with a...
progress meeting with their primary advisor. Incoming and continuing students are encouraged to complete the IDP/Trainee Skills Inventory, review it with their advisor, and email it to Judith Kelson by September 15.

POLICY STATEMENT REGARDING PHD FINANCIAL AID

Columbia University School of Nursing offers a generous financial aid package for PhD students during their first two years of study. This financial support covers required credits for the first two years of study (5 semesters) for students entering fall 2014 and subsequent years. This includes the majority of the credit load required for the degree and an annual living expense stipend. Currently, half of the annual stipend is disbursed in September and the remaining half is disbursed in January. To be eligible for this financial aid package, students must be a U.S. citizen or have permanent resident status. After the first two years (5 semesters), PhD students are expected to cover the cost for the remaining portion of coursework and provide for their own living expenses during this time. Completion of the PhD program (coursework and dissertation research) takes an average of three to four years.

This financial package is intended for PhD students who are able to make a full-time commitment to PhD study and who are able to work with an advisor in non-compensated, research-related activities weekly. As per PhD departmental policy, a recipient of the financial aid package may not engage in outside work activities that exceed 10 hours/week. This is consistent with current NIH funding guidelines.

Students with NIH funding (e.g., T32, F31) who are nearing graduation must coordinate with the Grants Management Office to discuss whether their graduation will result in early termination of their appointment. Students who terminate their appointments early are required to pay back a portion of their stipend; date of dissertation deposit determines graduation date. Students are encouraged to pay attention to their appointment start and end dates so that they can anticipate any required payback upon graduation.

INTERNATIONAL STUDENTS

The PhD program at Columbia University School of Nursing welcomes international student applicants. However, the school is not able to provide tuition or stipend support. Therefore, international PhD students must have financial resources to cover tuition and living expenses. For more details, visit the International Students and Scholars Office web page.

CHILDCARE SUBSIDY AND PARENTAL LEAVE

During their first two years (5 semesters) of study, PhD students who are federal-aid eligible may apply to receive one $2,000 childcare subsidy for each child who is under the age of five and not attending kindergarten. If you have questions about the subsidy, please contact the Columbia Nursing Financial Aid Office. Students who give birth, adopt, or become legal guardians or foster parents, as well as students whose spouse or partner gives birth, can have responsibilities associated with their doctoral program suspended for twelve calendar weeks without loss of funding. In addition, students may elect to take a semester of unpaid leave after their paid leave concludes. For more information, contact the PhD program Assistant Director.

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SATISFACTORY ACADEMIC PROGRESS

PhD students must complete a minimum of 57 credits. The maximum timeframe allowed to complete the PhD is seven years (21 terms). Students are expected to maintain a cumulative B average (3.0 GPA). Failure to do so will result in the student being placed on probation. Doctoral students with a C in any course will be reviewed by the PhD program director and the School’s Committee on Admissions. Student academic progress is evaluated each term. Being placed on probation may have consequences regarding support during the first two years of study as well as the ability to secure other sources of financial aid and federal loans. For more information, please refer to the “Satisfactory Academic Progress,” “Grading and Required Standards” and “Academic Review and Probation” sections of the Columbia Nursing Student Handbook.

All PhD courses use letter grades with the exception of the zero-credit N9901 Research Residency. Columbia Nursing Grading and Required Standards can be found in the Columbia University School of Nursing Student Handbook.

Students are required to maintain full-time enrollment each semester (fall/spring/summer) from the time of initial enrollment until successful defense of the dissertation prospectus. Full-time enrollment is defined as 9 credits or more during MPhil coursework. Full-time student status can be maintained by registering for N9901 Research Residency. Contact the PhD program Assistant Director if you have any questions about maintaining full-time status.

Full-time status during dissertation phase (after successfully passing the Qualifying Exam) requires registering for 4 credits of N9840 Dissertation Research and the zero-credit N9901 Research Residency each semester (fall/spring/summer). Students may choose to take additional courses in addition to this requirement. Courses and electives not required for the degree are typically not covered by any funding package.

PROCEDURE FOR STUDENT COMPLAINT AGAINST FACULTY

In fulfilling their instructional responsibilities, faculty are expected to treat their students with civility and respect. They should “make every effort to be accurate and objective and should show respect for the rights of others to hold opinions differing from their own. They should confine their classes to the subject matter covered by the course and not use them to advocate any cause” (2000 Faculty Handbook). Students who feel that members of the School of Nursing faculty have not met those obligations may take advantage of informal mechanisms the School has created to provide them with help.

Detailed information about Informal Conflict Resolution and Formal Grievance Procedures can be found in the Columbia University School of Nursing Student Handbook.

STUDENT ACADEMIC GRIEVANCE PROCEDURE

Any student has the right to present a grievance on an academic question if the student believes that they have been unfairly treated in the grading of a didactic or clinical course.

Detailed information about the Student Academic Grievance Procedure can be found in the Columbia University School of Nursing Student Handbook. Note that a student who believes
they have a grievable academic issue must meet with the involved faculty member within ten (10) working days after the student is informed of the grade in question.

PHD CURRICULUM

The PhD curriculum builds upon the foundation of nursing science and provides the basis for graduates to expand the horizons of nursing by bringing together clinical practice, health policy, research, and leadership. The development and enhancement of research, leadership and policy analysis skills are the primary foci of the program and are based on two tenets:

1) Well prepared nurse scientists can bring a unique and important perspective to the improvement of health, health care and health care delivery through research.

2) Nursing practice takes place within and is influenced by a complex array of policies and systems of care delivery.

An important focus is the development of skills to employ knowledge gleaned from nursing research to effect change at the local, national, and international level.

PROGRAM OVERVIEW

PhD courses are offered in four major groups:

1. Theoretical foundations of nursing science;
2. Analytical foundations of nursing science;
3. Elective and application courses through which the student develops additional expertise in their area of interest;
4. Human subjects training.

• Upon completion of core coursework, the student must successfully complete a Qualifying Examination with written and oral components.

• Upon successful completion of required course work and Qualifying Examination, the student is awarded a master’s Master of Philosophy (MPhil) degree. The PhD Program Director’s Office in the School of Nursing applies on behalf of the student to GSAS for the MPhil degree.

• Dissertation work requires registering for a minimum of 4 credits of N9840 (Dissertation Research) each consecutive semester (fall/spring/summer), generally for 4 semesters (16 credits). Nursing PhD students must complete a minimum of 47-48 credits (37 credits pre-dissertation and dissertation credits each semester until completion).

• The program culminates with a dissertation research project in which the student develops, conducts, writes and defends an original research study.

SCHOLARSHIP EXPECTATIONS OF STUDENTS

In addition to the specific requirements of courses, qualifying examination and dissertation, the faculty of the PhD program have the following expectations of each student in the program:

1. **Publication:** At least one manuscript submitted for publication in an appropriate peer-reviewed journal.

2. **Grant:** At least one grant application submitted to an appropriate funding agency or organization.

3. **Presentation:** At least one paper or project submitted for presentation as a poster or oral presentation at an appropriate professional meeting.
4. **Networking**: Attending at least one regional or national research meeting (such as, but not limited to, those sponsored by the ENRS, AHSR, AHRQ, NCHS, NINR, and CDC). Limited travel reimbursement may be available. Please see the “Funding for Student Travel to Present Scholarly Work” section in this document for more information.

If you have any questions about these expectations, please consult with your advisor. Meetings with PhD students are scheduled as needed by the Director for discussion of questions and issues related to the doctoral program.

**REQUIRED COURSEWORK**

**COURSEWORK IN THE THEORETICAL FOUNDATION OF NURSING SCIENCE**

The theoretical foundation component of the PhD program provides the scholarly framework for examining nursing care and delivery systems, and how systems of care—which include the nursing care of individuals, family, and community—can continue to improve the outcomes of health care and address the emerging health problems of the nation, especially those of vulnerable populations. This component broadly addresses the social, cultural, and political evolution of health care, the evolution of nursing as a part of the care delivery system, key public policies that have affected both nursing and the health care system at large, and the development and articulation of nursing knowledge.

**Two courses (6 credits) comprise this component of the program:**

1. **N9356: Intellectual and Conceptual Foundations of Nursing Science** (3 credits)
   This foundational course examines the philosophy of nursing knowledge including foundations of nursing theory, concept development and its application to research.

2. **N9357: Measurement in Nursing Research** (3 credits)
   This foundational course examines the links between theory and the psychosocial and biophysical measures used in nursing research. Students employ the principles of classical test theory and item response theory to evaluate the reliability and validity of measurement.

**COURSEWORK IN THE ANALYTIC FOUNDATION OF NURSING SCIENCE**

The PhD program provides the analytical skills necessary to design and conduct meaningful research. The core research courses provide the foundation which is individually refined through elective courses that support the proposed dissertation research.

**Nine courses (25 credits) comprise this component of the program**

1. **P6104: Introduction to Biostatistical Methods** (3 credits; cross-registered in the School of Public Health)
   This course is a basic introductory course in statistical tests and methods.

2. **N9352: Qualitative Research Design and Methods** (3 credits)
   This course provides an in-depth examination of qualitative study designs and methods through a combination of theoretical discussion and hands-on practical experience. Topics include paradigm distinctions, theoretical perspectives, designs and methods, critique of research reports, and ethical issues in qualitative research.
3. **N9910: Translation and Synthesis of Evidence for Optimal Outcomes** (3 credits)  
   This course is designed to provide the tools for the doctorally prepared nurse to evaluate, translate and integrate published research results into clinical practice. Students will learn how to conceptualize clinical practice problems and transform them into answerable clinical research questions, how to search for the best clinical evidence, and how to assess clinical evidence using basic epidemiological, biostatistical and scientific principles. The course will culminate in a systematic review or meta-analysis of a body of research relevant to advanced practice nursing.

4. **N9355: Quantitative Research and Design** (3 credits)  
   This course provides a foundation for quantitative research methods and design. Research process topics examined include appraisal of the quality of existing evidence; identification of gaps in the literature; formulation of researchable questions and testable hypotheses; types of research variables; sampling designs and power analyses; and the uses, strengths and weaknesses of various experimental and quasi-experimental research designs.

5. **P8100: Applied Regression** (3 credits)  
   This course will provide an introduction to the basics of regression analysis. The class proceeds systematically from the examination of the distributional qualities of the measures of interest, to assessing the appropriateness of the assumption of linearity, to issues related to variable inclusion, model fit, interpretation, and regression diagnostics.

6. **N9353: Advanced Methods in Health Services Research and Policy Analysis** (3 credits)  
   Building upon the foundations provided in the quantitative and qualitative research method courses, students examine advanced methods and frameworks frequently used in studying health policy, health services research problems and comparative effectiveness research. In addition to a critical review of the methods, the course examines the relationship among science, policy and healthcare delivery, and identifies critical questions shaping future policy research agenda.

7. **N9550: Research Synthesis Through Visualization of Health Data** (3 credits)  
   This course is intended to provide a hands-on introduction to delivering data visualizations to serve as a critical lens through which individual and population level health can be examined. The course will combine concepts and theory in data visualization and exploration, and practice to enable the student to gain the necessary knowledge to use graphics and statistics to explore the data, find and construct a narrative, and share findings in ways colleagues and decision-makers can readily understand and act upon.

8. **N9260: Building Interdisciplinary Research Models** (2 credits)  
   This course will introduce students to competencies in interdisciplinary research through a combination of readings and lectures in each necessary aspect, chosen from fields essential to successful interdisciplinary research. The course is co-taught by instructors from Nursing and other CU medical campus schools.
9. **N9505: Research Practicum (2 credits)**
   Two credits of this individualized practicum in research is required in the program. The student works with a faculty member or other scientist who is conducting a research project. The student and faculty member negotiate and agree upon the objectives, specific experiences and requirements for the practicum. The specific nature of the experience depends on the nature and stage of the research, and might include a search and review of relevant literature, data collection, data analysis and/or grant preparation. These are summarized in the Contract for Research Practicum (Appendix C) which is signed by both student and faculty member prior to beginning the experience.

**Coursework in Human Subjects Training**

**G4010: Responsible Conduct of Research (1 credit)**

This course explores a variety of ethical and policy issues that arise during the conduct of basic, translational, and clinical biomedical scientific research. Topics addressed include: research misconduct; “everyday” ethical issues faced by biomedical scientists; the use of laboratory animals in scientific research; human research participants and scientific research; authorship practices in scientific publications; conflicts of interest arising from scientists acting as policy consultants and experts; data sharing and data secrecy; mentoring; research with stem cells, and scientists as citizens. The course website can be found at [http://www.cumc.columbia.edu/dept/gsas/ac_programs/rcr-crse.htm](http://www.cumc.columbia.edu/dept/gsas/ac_programs/rcr-crse.htm)

RASCAL Training is required for all students. The following two (non-credit) courses can be taken online at the following website: [https://www.rascal.columbia.edu/](https://www.rascal.columbia.edu/)

- TC0087 Human Subjects Protection Training
- TC0019 Health Insurance Portability and Accountability Act (HIPAA)

Additionally, N9355 Quantitative Research Design and Methods, N9352 Qualitative Research Design and Methods, and N9353 Advanced Methods in Health Services Research and Policy Analysis all include an objective about Human Subjects.

**Dissertation Phase Courses**

**N9901: Research Residency (0 credit)**

Students must register for Research Residency in order to maintain full time status when credits drop below 9. This course is intended for PhD students who are engaged in relevant scholarly activities that are not associated with the required course sequence.

**N9840: Dissertation Research (4 credits/semester)**

All students must register for 4 dissertation credits each consecutive semester (fall/spring/summer) until the dissertation is complete (typically 4 semesters).
PLAN OF STUDY
All degree requirements (course work, Qualifying Examination, dissertation prospectus defense, dissertation defense) must be successfully completed within seven (7) years following matriculation.

A full-time plan is provided as a template and timeframe within which program requirements can be met. This plan is subject to change during a student’s course of study. Each student is expected, with assistance from their advisor, to work out an individual plan of study that meets all program requirements. The plan of study (Appendix A) contains the minimum number of dissertation research credits (4 per semester—fall, spring, summer) and non-nursing elective/cognate credits. Students typically take additional dissertation credits; however, students may enroll for additional specialty/cognate/elective credits as needed. Any additional tuition costs resulting from adding electives beyond the credit maximum will be the responsibility of the student.

ELECTIVE COURSES
This component includes a minimum of 9 credits of electives/cognates enabling the student to develop expertise in areas of scholarship that support the student’s selected focus area, dissertation topic, or personal scholarly interests. Electives should be tailored to the student’s specific research needs. The advisor helps the student identify relevant courses, generally outside of the School of Nursing. It may be necessary for a student to take additional credits to develop depth in content or methodology required to complete the planned dissertation. (Guided Study in Nursing Science, N9502 should be taken for this purpose.) The need for additional courses is determined by the advisor and/or dissertation committee. Examples of electives taken by prior PhD students can be found on the CourseWorks site (PhD Course Schedule-Current & Prior and Electives).

CROSS REGISTRATION PROCESS
Nursing PhD students must wait until the first day of classes to register for required and elective courses offered at Mailman School of Public Health. Please follow this procedure cross register for Mailman courses:

1. Download a “School of Nursing Add/Drop form” at this page: http://nursing.columbia.edu/sites/default/files/add_drop_form.pdf
2. Complete the “Add/Drop form” and return to the PhD program Assistant Director. The Assistant Director will obtain approval from the PhD Program Director.
3. Print out a “Cross Registration Application” from the Mailman School of Public Health website. Take your completed application to the Mailman School of Public Health Department offering the course (i.e., Health Policy and Management, Biostatistics), and obtain the signature of either the Department Course Coordinator or the instructor. (Locations of each department coordinator is provided on the second page of the Cross-Registration Form.)
4. Take the Cross-Registration form signed by the course coordinator or instructor to the Mailman Student Services office (Mailman Building, 722 West 168th St., 1st floor. Turn
right as you pass the security guards) and obtain the Dean’s signature.

5. Take the form signed by the Mailman Dean to the School of Nursing Office of Student Services for signature.

6. Finally, take both signed forms (‘Cross Registration Application’ and ‘Add/Drop Form’) to the Registrar’s office on the first floor of the Black Building.

A similar process is required to cross register for courses at Teachers College. Please contact the PhD program Assistant Director for information.
RESEARCH AND TEACHING EXPERIENCES

During the first two years of PhD study, students are expected to participate in experiential learning opportunities in teaching (1 semester) and research (all other semesters). Research assistant apprenticeships are part of the learning experience where students work with a faculty member. In some cases, this is formalized as a graduate research assistant (GRA) externally funded grant position. Student research experiences may occur with the student’s advisor or may be negotiated with other faculty members. These experiences may include activities such as subject recruitment, data collection, data entry, data analysis, literature review and preparing protocol submission and/or modification.

Participation as a research assistant often leads to dissemination opportunities through participation in manuscript development or oral or poster presentations at scientific conferences. Other benefits include expanding your research “toolbox,” networking, and receiving ongoing feedback on the student’s research. Students should proactively discuss research opportunities with their advisors and set clear goals and expectations. Serving as a research assistant is separate and distinct from the Research Practicum, which is a credit-bearing, student led project. Research assistant projects vary in scope and time commitment.

TEACHING ASSISTANTSHIPS

During one semester, PhD students are required to serve as a teaching assistant (non-compensated). Teaching Assistant (TA) positions are assigned by the PhD program director in collaboration with the Office of Academic Affairs based on student expertise and interest. TA responsibilities vary by course and may include leading small group sessions, meeting with students to discuss course content, replying to student inquiries, administrative support, and assisting with teaching, course grading, and leading review sessions prior to exams.

After fulfilling the one-semester TA expectation, PhD students may serve as compensated TAs during subsequent semesters based on interest. These TA opportunities, in addition to providing additional learning opportunities in the faculty teaching role, offer partial tuition waiver. Any questions regarding this process may be sent to CUSON_Acad@cumc.columbia.edu.

As part of the TA assignment process, each semester students who are interested in being considered for a TA position will be asked to:
- Email a current CUSON transcript and CV
- Submit an online application
- Complete a mandatory online Title IX training prior to serving as a TA

Notification regarding the due date for submission of these documents will be sent to students each semester. Past TA positions do not ensure a future TA position.

Please note that TA compensation can only be applied during the semester you are teaching (compensation cannot be deferred to a later semester) and may affect your financial aid package. Teaching Assistantships are considered grants and will be considered as part of your financial aid package. Students who receive loans or other aid through the Financial Aid Office are responsible for contacting the Columbia Nursing Financial Aid Office to discuss any effects of the TA position on loan eligibility and to determine if portions of their loans need to be returned to the lender.
CASUAL (HOURLY) WORK AT COLUMBIA UNIVERSITY SCHOOL OF NURSING

Funded PhD students are eligible to work on a casual (hourly) basis at the School with the stipulation that grant-supported work must be in an area unrelated to the focus of the student’s area of research. If the work is not grant-supported, the work can be in any area. The maximum number of hours for either grant-funded or non-grant-funded work is ten (10) hours per week while enrolled as a PhD student.

COLUMBIA UNIVERSITY STUDENT RESOURCES

OFFICE OF SCHOLARSHIP AND RESEARCH DEVELOPMENT (OSR)

The Office of Scholarship and Research facilitates faculty and pre-/post-doctoral research to maximize the success of funding applications and promote scholarly productivity including research, publications, and other means of disseminating scholarly work. This includes:

- Support for professional development
- Support for grant and research preparation
- Statistical assistance
- Database management and analysis
- Support for dissemination of scholarly work including guidance for poster preparation
- Tracking of research progress, scholarly work, regulatory compliance, and communications
- Budget planning and monitoring

Please visit the Office of Scholarship and Research Development webpage for more information.

CONFERENCE AND OTHER PRESENTATION REHEARSALS

The PhD program hosts rehearsal sessions in advance of national conferences. In addition to these sessions, students may request an ad hoc review of their poster or oral presentation in preparation for a conference or other scholarly activity (for example, a presentation for employment, potential funding, or training program).

ADDITIONAL STUDENT RESOURCES

A portal to additional resources for Columbia University students can be found here. This portal links to a wide variety of resources, including:

- Finding my Community
- Student Financial Services
- Global Programs
- Libraries
- Academic Calendar
- Link to all Services for Graduate Students (alphabetical listing)

LYNDA.COM AND APA ONLINE TUTORIAL

Students may wish to expand their skills by taking non-credit, no fee, online tutorials. The Columbia Libraries subscribe to Lynda.com, an online service that provides video-based tutorials and resources on a variety of web and software technology including EndNote and Microsoft Word and Excel.
An online tutorial for APA style “APA Exposed: Everything you Always Wanted to Know about APA Format but were Afraid to Ask” by the Harvard Graduate School of Education can be found [here](#).

**COVIDENCE**

Columbia Nursing PhD students may sign up for a Columbia University account with Covidence, which makes systematic reviewing faster and easier. Covidence supports import and de-duplication of citations, title, abstract and full-text screening, risk-of-bias assessment and data extraction. For information about how to create an account, visit [this page](#).

**TURNITIN**

Turnitin is a web-based platform that allows instructors and their students to check written work for improper citation or misappropriated content. Turnitin checks submissions against internet sources, publications, and other student papers within the course, at Columbia University, and at other institutions. Turnitin is software used by Columbia Nursing as a Plagiarism Detector & Learning Tool. Students will be e-mailed login information. For more information about Turnitin, refer to the [Columbia Nursing Student Handbook](#) or contact the PhD program Assistant Director.

**CUMC CENTER FOR STUDENT WELLNESS**

The Center for Student Wellness (CSW) aims to create an environment that promotes a variety of activities and services to help students manage the challenges of graduate school life. Workshops and special events include “Transition to Graduate School,” “Financial Wellness.” CSW hosts the CUMC Queer & Ally Partnership and also offers wellness resources (navigating stress, balancing time, relationships, etc.). For information, click [here](#).

**STUDENT E-MAIL**

Students are required to have e-mail access, and to regularly access their individual Columbia University email.

**COLUMBIA NURSING MONTHLY ELECTRONIC NEWSLETTER**

Columbia Nursing publishes an electronic newsletter monthly with information about current research, publications, and events. To sign up for this newsletter, click [here](#).

**PHD STUDENT WORKSPACE**

PhD students share access to dedicated PhD student computer workspaces in the School of Nursing. The managed desktop includes, but is not limited to, Windows 7, MS Office Professional (Word, Excel, PowerPoint, Access), SPSS, and allows students to save their data to a HIPAA-compliant network drive. Scheduling of PhD workspaces is coordinated by the PhD program Assistant Director.

Wireless internet access is available throughout the School of Nursing for use on personal wireless devices.
SEMINARS
A variety of seminars are sponsored by the PhD program, the Office of Scholarship and Research Development and several departments throughout the medical center campus. PhD students are expected to participate in the wealth of activities both within the school and throughout the campus. The following are the list of monthly seminars that take place at Columbia Nursing:

- **Doctoral Research Seminar (Doctoral Brown Bag):** This seminar provides a venue for presentation, positive critique and scholarly interchange regarding ongoing cross-disciplinary research and related methodologies. Designed for nursing doctoral students, it is open to pre- and post-doctoral fellows, students, faculty and visiting scholars from other programs. PhD Students are expected to attend this seminar throughout their program. Doctoral Research Seminars are held on Tuesdays at noon during fall and spring semesters.

- **The Reach for Research Excellence (REX) Group** is a forum coordinated by the OSR to discuss a wide variety of scholarly activities and research-related topics for School of Nursing faculty and pre- and post-doctoral trainees. REX Group Sessions occur monthly and typically are held on the last Wednesday of the month at noon. Special REX Group Sessions occur periodically throughout the year. Notice of REX seminars are included in the PhD student email digest.

COURSEWORKS NURSING PHD STUDENT INFO RESOURCES

A CourseWorks project site “Nursing PhD Student Info Resources” serves as a one-stop location to find forms, templates, links to student handbooks, class and seminar schedules and other information. The goal of this site is to store essential resources needed by PhD students throughout their course of study. All PhD students and PhD faculty can login to CourseWorks, click on “My Projects” and choose the project site “Nursing PhD Student Info.” Click on “Files and Resources” to view the available resources. This site will be continually updated. If you are unable to access the site or have suggestions for additions or edits, please contact the PhD program Assistant Director.

FUNDING FOR STUDENT TRAVEL TO PRESENT SCHOLARLY WORK

**OSR: TRAVEL FUNDS TO PRESENT SCHOLARLY WORK**
PhD students who do not have funding from other sources and who have accepted abstracts (first author) may apply to OSR for a maximum of $500 in travel funding (an additional $150 is available for poster printing) per conference to offset the cost of travel and conference registration. To be considered for funding, submit the “Request for School Funding for Work-Related Travel” form at the time the abstract is accepted (prior to travel). The form is available on the CourseWorks site.

Students who have been approved for travel support from the School must complete and submit the Travel and Business Expense Report (TBER) form when they return from travel. Please remember to keep all receipts when you travel (for meals and hotels, please obtain itemized
Once completed and signed, the TBER must be submitted to the PhD program Assistant Director, who will then submit the form to the appropriate department. Contact the PhD program Assistant Director with any questions.

**OTHER FUNDING SOURCES**

**SIGMA THETA TAU (STT) INTERNATIONAL, ALPHA ZETA CHAPTER SMALL GRANT AWARDS**
Columbia Nursing PhD students who are STT-Alpha Zeta members may apply for up to $1,000 in research funding. The call for proposals is typically issued once per year. For detailed information, click [here](#).

**COLUMBIA UNIVERSITY GRADUATE STUDENT ADVISORY COUNCIL (GSAC) TRAVEL GRANT**
Eligible graduate students may apply for individual travel grants (up to $500) to defray the costs associated with presenting their work at academic conferences. GSAC applications deadlines and other information can be found [here](#).

**GRADUATE PARTNERSHIP PROGRAM (GPP)**
The Graduate Partnerships Program (GPP) is designed to bring PhD graduate students to the NIH Intramural Research Program for dissertation research. Participants enjoy the academic environment of a university, the extensive research resources of the NIH, and the breadth and depth of the research programs of both the host university and the NIH Intramural Research Program (IRP). The goal is to create a different kind of graduate experience, one that focuses on training the next generation of scientific leaders by emphasizing communication and collaboration skills, integration of information, and interdisciplinary investigation. Graduate students work in a highly collaborative research environment with leading scientists and clinicians. They share the NIH campus with the largest translational research hospital in the nation. They explore areas such as bioinformatics, biophysics, epidemiology, immunology, cell and molecular biology, neuroscience, health sciences, structural biology, sensory and communication neuroscience, molecular pathology, biobehavioral research, and developmental biology.

**GRANTS MANAGEMENT OFFICE (GMO)/OFFICE OF SCHOLARSHIP AND RESEARCH (OSR) DEVELOPMENT POLICIES & PROCEDURES**
GMO and OSR provide policies and procedures to assist students in grant pre-award and post-award procedures. GMO and OSR guide students (in collaboration with a faculty mentor) through the grant submission process. OSR coordinates a two-part internal review process for planned grant and sponsored projects applications consisting of (1) a Specific Objectives and Aims Review (SOAR) Session followed by (2) a formal Mock Review. The SOAR is scheduled 2-3 months prior to grant submission. To request a SOAR, complete the OSR Service Request: SOAR Session form, which can be found on the CourseWorks site under the “GMO & OSR forms” folder.
CENTERS AT THE SCHOOL OF NURSING

The following Centers, established within or closely aligned with the School of Nursing, represent priorities of the institution, as well as focal areas of faculty expertise and research. These centers represent potential substantive specialty areas in which Columbia University School of Nursing doctoral students can receive particularly rich experiences.

**Center for Health Policy**
**Director:** Patricia Stone, PhD, RN, FAAN
The Center for Health Policy (CHP) is dedicated to the training of nurses in health policy research methods as well as developing and disseminating knowledge that informs policymakers at the local, state, and national levels. Faculty members work with interdisciplinary partners at the local, state, and national levels to develop and evaluate policies aimed at improving public health. Dr. Stone co-leads the Center for Improving Palliative Care for Vulnerable Adults with MCC (CIPC), an interdisciplinary collaboration at Columbia University School of Nursing that is supported by a 5-year National Institute of Nursing Research (NINR) grant (P20NR018072-01), which will build infrastructure and interdisciplinary research teams led by nurse scientists, to address these gaps. This Exploratory Center is led by Patricia Stone, PhD, RN, FAAN and Jingjing Shang, PhD, RN (Multiple Principal Investigators) and is being conducted in partnership with the Center for Home Care Policy and Research of the Visiting Nurse Service of New York.

**Precision in Symptom Self-Management (PriSSM) Center**
**Director:** Suzanne Bakken, PhD, RN, FAAN
The NINR-funded Precision in Symptom Self-Management (PriSSM) Center advances the science of symptom self-management for Latinos, considering variables such as genetics, environmental factors, health behaviors, and interpersonal relationships. The PriSSM Center is an interdisciplinary collaboration at Columbia University School of Nursing that is supported by a five-year National Institute of Nursing Research (NINR) grant (P30 NR016587). PriSSM research advances the science of symptom self-management for Latinos through a social ecological lens that takes into account variability in individual, interpersonal, organizational, and environmental factors across the life course.

**OTHER INSTITUTES AND CENTERS**
Columbia University is privileged to sponsor a number of institutes and centers that engage in funded, interdisciplinary research and program development, sponsor workshops and courses, and act as a clearinghouse for information related to their specific focus. Faculty from the School of Nursing are members of many of these centers and institutes. The institutes and centers listed below may be of particular interest:

- Alzheimer's Disease Research Center (ADRC)
- Center for the Study of Society and Medicine
- Institute for the Study of Human Rights
- Institute of Human Nutrition
QUALIFYING EXAMINATION

The Qualifying Examination is a significant step in the progression of the PhD student from the coursework phase of study to dissertation phase. The exam is an integrative assignment that assesses the student’s ability to process and utilize information regarding relevant content, concepts, framework and research methods learned in coursework and independent study, and to analyze and synthesize this material within the context of the student’s individual research interest and planned dissertation topic.

QUALIFYING EXAMINATION COMMITTEE (QEC)

The required Qualifying Examination process is overseen by the Qualifying Examination Committee (QEC), which consists of three members of the PhD faculty who are each appointed for a three-year term (on a rotating basis) by the Director of the PhD Program. The members of the QEC supervise the examination process and grade the exam for candidates in that academic year.

ELIGIBILITY FOR EXAM

With approval of their advisor, students may prepare to submit the completed Qualifying Examination assignment after successful completion of or current enrollment in the following required courses as listed below and approval of the Program Director:

- G4010 Responsible Conduct of Research
- P6104 Introduction to Biostatistics
- P8100 Applied Regression
- N9260 Building Interdisciplinary Research Models
- N9352 Qualitative Research Design and Methods
- N9353 Advanced Methods in Health Services Research and Policy Analysis
- N9355 Quantitative Research and Design
- N9356 Intellectual and Conceptual Foundations of Nursing Science
- N9357 Measurement in Nursing Research
- N9505 Research Practicum
- N9550 Research Synthesis through Visualization of Health Data
- N9910 Translation/Synthesis Evidence/Optimal Outcomes
- Elective Courses (9 credits)

NOTE: To ensure eligibility for the Qualifying Examination, students must complete an application (Appendix D). The application must be signed by the student’s advisor and the PhD program Director and submitted to the PhD program Assistant Director. Eligibility is conditional, dependent upon successful completion of N9550 Research Synthesis and any other course taken during fall semester prior to the exam. The date the application is due will be announced annually by the PhD Program office.

Any incomplete grades must be removed before submitting the Qualifying Examination. Students must complete the Qualifying Examination within three (3) semesters to allow students
a full academic year to pass the exam. Successful completion of the Qualifying Examination implies readiness to pursue dissertation research.

**DATES OF EXAMINATION**

The written component of the Qualifying Examination is begun independently by each student following consultation and approval of topics with their individual dissertation advisor (see Confirmation of Topics for Papers—Appendix E) and the QEC. The Confirmation of Topics for Papers form must be finished and submitted by the assigned date in late September/early October. The examination may also be offered in late May/early June dependent on student need. Dates for the completion of the written and oral portions of the examination are determined by the QEC. Submission of the written component is due on or before the date specified by the QEC. The oral component of the examination is scheduled for all applicants approximately one week following submission of the written component on a date designated by the QEC.

<table>
<thead>
<tr>
<th>Qualifying Examination Timeline for January 2020 Exam</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Early September 2019</strong></td>
</tr>
<tr>
<td>• Students eligible for completion of exam in January are identified and notified by PhD Program Director.</td>
</tr>
<tr>
<td>• All students planning to take exam must have filed Qualifying Examination Approval form with the PhD office.</td>
</tr>
<tr>
<td>• Students will meet with individual advisors to determine components of the literature review relevant to anticipated dissertation and to determine whether the second paper should focus on a critical analysis of concepts, measures, or methods.</td>
</tr>
<tr>
<td>• The QEC will meet with the students and review the purpose, structure, timeline and student expectations for the examination.</td>
</tr>
<tr>
<td>• Qualifying Examination Application Form is in the PhD Student Handbook. See Application for Qualifying Examination—Appendix D.</td>
</tr>
<tr>
<td>• Face to face or email discussion between qualifying students and their individual advisors will take place until agreement is reached on scope of content for each paper.</td>
</tr>
<tr>
<td>• Students should begin writing the written portion of The Qualifying Examination independently for final submission in January 2020.</td>
</tr>
<tr>
<td><strong>Late September/Early October 2019</strong></td>
</tr>
<tr>
<td>• Advisor for each student who is planning to prepare a Qualifying Exam will advise the QEC of decisions made about literature review and of the topic and scope of the second paper and complete Confirmation of Topics for the Qualifying Examination (Appendix E).</td>
</tr>
<tr>
<td>• The QEC may request revisions the Confirmation of Topics for the Qualifying Examination form. Topics are to be finalized within 7-10 days of Confirmation of Topics for the Qualifying Exam form due date.</td>
</tr>
</tbody>
</table>
DESCRIPTION OF QUALIFYING EXAMINATION TO APPLICANTS

Upon identification of the students who will take the examination, the Chair of the QEC will convene a meeting with the students to review the Qualifying Examination process in September.

CODE OF CONDUCT

PhD students are expected (honor system) to independently prepare the written assignments associated with the Qualifying Examination. Ongoing advisement with the advisor continues; however, the advisor does not have involvement with the preparation and progress of papers for the Qualifying Examination. Third year students may share their experiences and papers with second year students. However, all narrative writing must be the student’s own work. No external editing is allowed. Failure to independently prepare the written assignments is grounds for academic dishonesty and may result in appropriate disciplinary action.

Students will be completing Fall semester coursework (e.g. N9550, N9505) during the beginning of the examination period. The student may take full advantage of exchange of ideas in the classroom. However, drafts, outlines, or other substantive material being prepared for the Qualifying Examination may not be shared or critiqued. A citation of any significant contribution to the exam resulting from class activities would be expected.

GUIDANCE ON THE USE OF LIBRARIAN SERVICES FOR THE QUALIFYING EXAM

It is acceptable to use the services of the Health Sciences librarians to assist students in searching under the following circumstances:

- The student presents the librarian with a clear objective and plan for the search.
- The librarian advises but does not perform the search.
- The student may have one or more meetings with the librarian.

The reason for this decision is twofold:
1. It is an accepted and indeed an important practice for a researcher to consult w/ a librarian to ensure a high quality search;
2. If you conduct an incomplete search because you did not use a librarian it will limit the development of your Qualifying Exam paper as a future publication.

The librarian is not to advise students on describing the search strategy in the writing of the paper. That is to be the student’s independent work.
WRITTEN COMPONENT

The written component of the Qualifying Examination is comprised of two comprehensive papers. The first is a literature review on a topic of the student’s choice suitable for the anticipated dissertation. The literature review may be conducted as an integrative review, systematic review, scoping review, or qualitative meta-analysis. The decision for the type of review will be made by the student with input and approval from the student’s advisor. The second is a critical analysis of either the concept, measures or a method relevant to the proposed dissertation. It is expected that papers will be about 15 pages in length (double-spaced, exclusive of reference list, tables and figures; Times New Roman 12 point or comparable size font) and will demonstrate consistent application of APA format. The QEC will consider quality of formatting when determining the grade for the exam. Neither submission nor publication are required for the Qualifying Examination.

ORAL COMPONENT

All students move to the oral examination approximately one week following submission of the written assignment(s). The oral component of the examination provides an opportunity for the student to clarify and amplify responses on the written submission(s). During the oral component, additional questions will be posed to further test the student’s mastery of the basic elements of nursing science, and to test the ability to apply these elements to the chosen specialty area.

GRADING OF THE QUALIFYING EXAMINATION

The written component is independently reviewed by at least two members of the QEC followed by a joint discussion of the committee.

Criteria for QEC evaluation include the students’ ability to: organize, present, and comment critically on the relevant literature, and on either the concept, measures, or methods relevant to proposed dissertation in a way that is comprehensive, accurate, logically consistent, scholarly, and reflective. The oral examination provides an opportunity for the student to expand on the responses provided in the two written assignments and address questions developed by the examiners during review of the written components. Passing is based on the students’ ability to think critically, which is demonstrated in both verbal and written responses.

CRITERIA FOR EVALUATION THE QUALIFYING EXAMINATION

The QEC considers the following criteria to evaluate students during the Qualifying Examination:

- **Background and Significance**
  - Does the paper properly situate the significance of the topic? Are the points made important, relevant, and logically organized?
  - Are the aim(s) of the paper and the accompanying rationale clearly stated?

- **Methods**
• Are the author’s review/comparison/critique methods appropriate to the topic?
• Are the methods described in sufficient, relevant detail (e.g., gives search terms and flow diagram, or clearly outlines criteria for comparison/critique)?

Results and Discussion
• Are the results presented clearly and accurately?
• Does the paper balance concision with completeness?
• Does the discussion evince synthesis of key ideas?
• Does the author make appropriate conclusions and recommendations for practice, research and/or policy?
• Does the author adequately discuss the limitations of the research they have reviewed (if applicable) and of their own paper?

Overall Quality of Scholarly Writing
• Does the paper put forth a cogent, logical argument?
• Is the paper well organized?
• Are grammar, syntax, and terminology use correct?
• Is the paper in APA Format?

The Qualifying Examination is not given a letter grade. Students pass, receive a conditional pass, or fail. No more than 3 days after the oral phase of the examination, the Chair of the Qualifying Examination Committee will notify students of the result of the exam. The student will be informed in writing of the committee decision regarding grade of pass or fail on the Qualifying Examination, including committee suggestions going forward.

CONDITIONAL PASS

A student may be informed of limited deficiencies in their examination and be given a conditional pass. In this case, the procedure and conditions to remove those deficiencies before a passing grade will be provided and the student will enroll in N9502 (3 credits), Guided Study in Research, with their advisor. The deadline for resubmission is typically one month from the time that the student is notified in writing of the areas identified as deficient. At their discretion, the QEC may set a different time frame. The student is allowed to consult with their advisor to develop a remediation plan. However, all revisions to the papers must be carried out independently, without any input from, or review by, the advisor or other individual (similar to the period of silence instituted after acceptance of Confirmation of Topics form for the Qualifying Examination).

If a student receives a conditional pass at the oral exam, and the resubmission is deemed sufficient, this will be considered a “pass,” and the student will continue to work with their advisor in the Guided Study in Research for the remainder of the semester. The student will enroll in N9840 (Dissertation Research) the following semester.

If a student receives a conditional pass at the oral examination, and the resubmission is deemed insufficient, this will be considered a “first failure.” The student will have the opportunity to retake the Qualifying Examination with new topics at the next regularly scheduled Qualifying Examination period.
FAILURE

In the case where a student is not successful in passing the examination, the QEC will provide a brief written statement of areas of deficiency. The student must enroll in either a guided study or other course determined with the academic advisor and focused on a specified remediation plan to prepare for the next examination. The student’s advisor will monitor the progress of the student in this remediation plan. Students who do not pass the examination may retake the examination with new topics at the next scheduled examination period. Those students who receive a failing grade for the examination on this second Qualifying Examination attempt will be dismissed from the program.

EXTENSIONS

Non-emergent requests for extension.
If a student desires an extension of the written component due date, the student must consult with their advisor and request an extension in writing to the QEC. This should be received no later than December 31st for January exams (May 15 for late May/early June exams) and if granted will extend the due date. The length of the extension will be determined on a case-by-case basis. A non-emergent extension may only be granted one time.

Emergency request for extension.
If a student desires an emergency extension due to unforeseen health or personal crisis, the student must submit their request in writing to the QEC. This should be received no later than 48 hours before the due date (written or oral) and if granted will extend the due date. The length of the extension will be determined on a case-by-case basis. An emergent extension may only be granted one time.

In the event of an extension, whether emergent or non-emergent, the oral defense must be completed by the deadline set by the QEC. If the need for a longer extension is anticipated, examination must be postponed to the next examination period (May/June or January). If the student cannot meet the extension deadline, they will receive an automatic grade of “fail.”
QUALIFYING EXAMINATION PROCESS

Written Examination

Oral Examination

Grade

MPhil: Proceed to Doctoral Work

Pass

Conditional Pass

Guided Study
Resubmission within 4-8 weeks

Fail

Grade

Pass

Resubmission within 4-8 weeks

Fail

Guided Study
Retake Qualifying Exam
at next examination period

MPhil: Exit Program
APPLYING FOR THE MASTER OF PHILOSOPHY DEGREE

The Master of Philosophy degree (MPhil) is awarded by the Graduate School of Arts & Sciences (GSAS) upon successful completion of the qualifying examination. The PhD office will submit an Application for the Master of Philosophy (Appendix F) attesting to the completion of all prerequisites, including all required course work completed over two years at Columbia University and successful completion of the qualifying examination. Dates and deadlines of MPhil conferral can be found here. Applications for the MPhil degree can be filed at any point in the calendar year.

The MPhil application form is sent by the PhD program Assistant Director to the GSAS Dissertation Office.

DISSERTATION

The Dissertation Office of the Graduate School of Arts and Sciences (GSAS) provides advanced doctoral candidates with dissertation guidelines and forms including the application to defend the dissertation and the final deposit and award of the PhD degree.

The location of the Dissertation Office is 107 Low Memorial Library, 535 West 116th Street, and is open Monday through Friday from 9:00 AM – 5:00 PM. (FAX: 212-854-2854).

Esmeralda McCormick
Dissertation Secretary
es183@columbia.edu
(212) 854-2854

The PhD Program Assistant Director can provide information about dissertation forms, deadlines and guidelines. As is the case for other CUMC PhD Programs, there is no language proficiency requirement for the Nursing PhD.

DEFENSE OF DISSERTATION PROSPECTUS

Students begin to prepare their dissertation prospectus after successful completion of the Qualifying Examination. Students work with their sponsor to identify two additional examiners to serve (committee of three) as the core dissertation committee. GSAS allows for one of the three examiners to be a non-Columbia faculty member if the sponsor and Program Director deem the particular examiner’s expertise useful to the dissertation prospectus defense. When the prospectus is ready (per guidelines in “Dissertation Prospectus Preparation”) and the committee has been identified, the sponsor will arrange for the prospectus defense. Students must complete Appendix G: Intent to Schedule Prospectus Defense (form available on CourseWorks site), obtain the sponsor’s signature, and submit to the Assistant Director for review and signature by the Program Director.

During the dissertation process, the student and sponsor work together to identify two additional dissertation committee members. Because interdisciplinary research and collaboration is an essential component of the Columbia Nursing PhD program, our PhD students often receive mentoring from qualified scientists who do not come from the discipline of nursing but who have the expertise needed to complete the research. Prior students’ dissertation committees have
included Columbia faculty who are approved sponsors to serve as “inside” readers. Contact the PhD program Assistant Director for guidance regarding selecting committee members in compliance with GSAS guidelines.

DISSERTATION SPONSOR

A sponsor of a dissertation is defined as a faculty member approved by the student’s department/program to guide dissertation research and to participate at the defense (as one of the required three members of the GSAS Faculty). No faculty member may sponsor a dissertation unless he or she has been nominated by a Doctoral Program faculty and approved by the Executive Committee of the Graduate School and the GSAS Dean.

NOTE: Adjunct faculty in GSAS departments/programs are eligible to serve as sponsors, provided that a full-time Columbia faculty member who is an approved sponsor serves as a co-sponsor and accepts that designation as a genuine responsibility. The co-sponsorship provision reflects the GSAS Executive Committee’s conviction that all Columbia University dissertations should be sponsored or co-sponsored by regular full-time faculty members.

The list of approved Faculty Sponsors in the School of Nursing can be found here. The dissertation sponsor is usually an expert in the substantive area of the student’s research; in some cases, the sponsor may be expert in the methodology of the dissertation or a closely related area. In such a case, the remainder of the dissertation committee will provide expertise related to the substantive area of the students’ dissertation project. Students may consult with several qualified faculty to determine who are the most appropriate in terms of expertise and working styles. During the dissertation phase, the sponsor will provide academic advisement as well as dissertation guidance.

STEPS IN THE DISSERTATION PROCESS

The dissertation process following successful completion of the Qualifying Examination includes:

- Preparation of prospectus
- Selection of dissertation prospectus committee
- Prospectus defense
- Acceptance of prospectus
- Obtain IRB approval
- Completion of the research
- Application to defend dissertation and selection of defense committee
- Defense of dissertation
- Final editing
- Final filing of dissertation
Dissertation Prospectus Preparation

Students commence work on planning the dissertation research and preparing the prospectus before taking the Qualifying Examination, often in conjunction with course assignments and independent study experiences. Students should plan to submit the dissertation prospectus to the dissertation committee within six months of completing the qualifying examination. Preparation of a dissertation prospectus is the first step in the process of conducting dissertation research. APA format must be used for the dissertation prospectus and the final dissertation. The prospectus is a formal document detailing the problem to be studied, the purpose and specific aims for the project, the scientific background for the study, hypotheses to be tested and/or research questions to be answered, and the specific instrumentation, data sources, methods and procedures for carrying it out. GSAS provides detailed dissertation formatting guidelines here. It is recommended that students follow these guidelines early in the process.

The format of the defense is determined by the student’s dissertation committee. One of the two following alternative formats will be selected:

a) The prospectus is written so as to contain all of the information and detail that would ordinarily be found in the first three chapters of the traditional dissertation (i.e., Introduction and Statement of the Problem, Review of Literature and Methodology) as outlined in Appendix H.1 and H.2.

b) Publication format: The proposal is written to contain an introduction chapter (5-15 pages), a completed systematic or integrative literature review, and the purpose and complete methods section of two additional manuscripts. The introduction chapter includes the significance of the problem, conceptual framework guiding the dissertation research, the conceptual and theoretical linkages among the proposed manuscripts, and specific aims and hypotheses for the dissertation work.

American Psychological Association (APA) format should be used for the prospectus and the dissertation.
The table below compares dissertation prospectus requirements by format option. Further detail regarding what is contained in each chapter of the traditional dissertation (by study design) and the publication format options can be found in Appendices H.1, H.2, and J.2.

<table>
<thead>
<tr>
<th>Introduction and Outline of the Problem</th>
<th>Traditional Format Dissertation Proposal</th>
<th>Publication Format Dissertation Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction to overall topic including significance, conceptual underpinnings and the logical link between the 3 manuscripts</td>
<td>Chapter 1</td>
<td>Chapter 1</td>
</tr>
<tr>
<td>Plan and/or draft of each of 3 papers</td>
<td></td>
<td>√</td>
</tr>
<tr>
<td>Literature review</td>
<td>Chapter 2</td>
<td>√</td>
</tr>
<tr>
<td>Methodology</td>
<td>Chapter 3</td>
<td>√</td>
</tr>
<tr>
<td>Manuscript 3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note. See Appendix H.1 and H.2 for details regarding how to develop the Methods section.
**Dissertation Prospectus Defense**

The dissertation sponsor functions as the chair of the student’s dissertation committee and is the faculty member with primary responsibility for guiding and approving each phase of prospectus development and the conduct of the research. Ordinarily the dissertation advisor reads and makes suggestions about preliminary drafts of the prospectus before the “final” version of the prospectus is distributed to the other members of the committee for review. It is expected that the full committee meets at least once prior to the formal dissertation prospectus defense.

The dissertation prospectus defense is a formal meeting of the dissertation committee during which the student is examined about the prospectus and an agreement is reached about the specific nature of the proposed dissertation research. The student may be asked to answer questions about and defend any aspect of the prospectus, including the choice of problem to be studied, the theoretical and empirical background for the study, methodology chosen (including instrumentation, design, statistics, etc.), and anticipated difficulties and ways to handle them. Because the proposed research reflects the students' understanding of the area of specialization and the integration of knowledge of various aspects of nursing science, as well as knowledge from disciplines relevant to the research topic; the proposal defense provides an opportunity for the dissertation committee to assess mastery of these areas.

In addition, the prospectus defense includes assessment of the quality and feasibility of the proposed research, and formal action to approve and/or recommend changes in the prospectus. Ordinarily the dissertation prospectus defense will not exceed two hours in length. Following the meeting the committee confers to determine the grade and any specific recommendations for revision of the dissertation prospectus. The student is then informed of the committee's decision.

Evaluation of the student’s performance in the dissertation prospectus defense takes into account evidence of familiarity with and ability to assess the most important literature (classical and current) in the field, ability to cite the work of authorities in the field, ability to articulate and take defensible positions on key conceptual/theoretical, substantive and methodological issues regarding the specialty and the area of research; evidence of critical and creative thinking about the specialty; and ability to present and defend plans for research that advances the field of study.

Students who fail the dissertation prospectus defense on first attempt are permitted to submit a revised copy of the dissertation prospectus and to repeat the defense no sooner than one month and no longer than six months after the initial defense. A student who fails the dissertation prospectus defense a second time or who does not make the required changes and re-defend the prospectus within the designated time frame will be terminated from the PhD program.

The results of the dissertation prospectus defense are formally reported to the Director of the PhD Program using the form in Appendix I, which can be downloaded from the GSAS website.

The dissertation prospectus shall be approved in writing by the dissertation committee (Appendix I) following a formal Prospectus Defense. The approved prospectus constitutes a “contract” with the student about what will be required for the dissertation research. Any unanticipated major modification to the prospectus must be approved in writing by the entire committee.
IRB APPROVAL

Following approval of the dissertation prospectus, the student is expected to seek Institutional Review Board (IRB) approval and is responsible for becoming familiar with and following all IRB precautions and procedures for protection of human subjects. Data collection cannot begin until the study receives full IRB approval from the Columbia University Medical Center IRB, as well as from IRBs of all institutions and settings in which data collection will occur. For purposes of the Columbia IRB, the dissertation sponsor is considered to be the Principal Investigator of the study; however, this in no way diminishes the student’s responsibility for participating fully in the process of securing IRB approval for the research.

SUBMISSION TO COLUMBIA UNIVERSITY MEDICAL CENTER INSTITUTIONAL REVIEW BOARD (IRB)

All doctoral student research involving human subjects, including reviews of patient records, must undergo IRB and/or HIPAA review.

1. Policies and guidance for IRB submission can be found here.

2. Consent forms, HIPAA forms, and IRB forms are completed through Columbia University’s Research Administration System (RASCAL) can be found here.

3. Because the University assumes responsibility for any research conducted under its aegis, a faculty member, usually the sponsor, must serve as principal investigator (PI). A student may not be designated as the PI. Following successful completion of the doctoral prospectus defense, the student should:
   • Discuss the protocol with his/her dissertation sponsor and get the faculty member’s permission to be designated as PI;
   • Prepare the IRB and/or HIPAA submission forms, designating his/her faculty advisor or dissertation sponsor as the PI.

COMPLETION OF THE RESEARCH

The dissertation research, report, and oral defense are the culminating and most important requirements of the PhD program. The dissertation itself is the written report of an original and independent research project that is designed to contribute toward the advancement of nursing science. The research should yield improved understanding of a significant phenomenon or problem in the student’s specialty area that is related to advancing nursing practice and/or health policy. The dissertation research topic is chosen by the student with the advice and approval of the dissertation sponsor and committee. The specific methodologies to be used in the dissertation research depend on the nature of the topic being studied and the availability of supervisory faculty expertise. Statistical consultation is available and needs to be arranged by the student’s sponsor.

Because the PhD in Nursing is granted by the Graduate School of Columbia University, all policies, regulations and rules for the development of the dissertation and its defense are governed by GSAS. Information on each step of the dissertation phase is available here.
STEPS IN THE DISSERTATION DEFENSE

The steps in the Dissertation Defense phase include:

- Nomination and Appointment of the Defense Committee
- Registration and Application
- Scheduling the Defense
- Distributing Dissertation Copies
- Defense and Evaluation
- Award of the Degree

NOMINATION AND APPOINTMENT OF THE DEFENSE COMMITTEE

Information about the appointment process for committee members can be found here.

It is important to note that:

1. Prior to the prospectus defense, three of the five members of the dissertation committee are identified. The final two members (external readers) are selected prior to distribution of the dissertation in advance of the dissertation defense. While student input regarding identification of committee members is appropriate, the sponsor’s role is, in collaboration with the Program Director, confirm the members of the dissertation committee.

2. Committee members must be approved by their schools/departments;

3. Special terms apply to “interdisciplinary” committees where the external member may come from inside the school but outside the field.

When in doubt, consult with the PhD program Assistant Director.

REGISTRATION

REGISTRATION FOR U.S. STUDENTS

U.S. citizens and permanent residents must be registered during the term (fall, spring or summer) in which they distribute final copies of the dissertation (as approved for defense by the sponsor) to the five approved defense committee members. (See Registration and Application for PhD Defense for detailed information.) Students must register for 4 credits of N9840 Dissertation Research and the zero-credit N9901 Research Residency during the semester they distribute their dissertation. Students are not required to register during the semester of their dissertation defense, if distribution of the dissertation occurred in the prior semester. Students who are defending while completing pre-dissertation degree requirements must register. These rules apply to the entire academic year (fall, spring and summer semesters). The semester in which distribution occurs is the last semester in which a student is permitted to register. Note that students who register in spring and defend in summer may lose CUIMC building access and library privileges in the following fall semester. For information about registration requirements for the distribution of the dissertation and distribution deadlines, please visit the Registration and Application for PhD Defense page.

REGISTRATION FOR INTERNATIONAL STUDENTS IN F-1 OR J-1 STATUS

International students must be registered during the semester (fall, spring or summer) in which they distribute final copies of the dissertation (as approved for defense by the sponsor) to their defense committee members. The semester in which distribution occurs is the last semester in which a student is permitted to register. International students in F-1 or J-1 status must consult...
with the International Students and Scholars Office regarding registration requirements and potential consequences to visa status.

**APPLICATION FOR DISSERTATION DEFENSE**

The Application for Dissertation Defense form (Appendix K) is due at the time of distribution and at least four weeks prior to the dissertation defense.

The Application for Dissertation Defense form must be completed by the sponsor. The organizer of the committee enters the names of the defense committee members and submits the form to the PhD program Assistant Director for submission to the GSAS Dissertation Office. The proposed date and time of the dissertation defense must be indicated on the Application for Dissertation Defense. After receiving the Application for Dissertation Defense, the Dissertation Office confirms that the candidate has received the MPhil degree and confirms that the committee, as proposed by the department/program, is in accordance with GSAS rules on committee composition.

**DISTRIBUTING DISSERTATION COPIES**

The student must distribute copies of the dissertation to defense committee members at least four weeks before the anticipated defense date so that committee members have time to read the dissertation thoroughly before the defense. If a particular conferral date is desired, the candidate should be careful to distribute the copies early enough to allow committee members time to read the dissertation at least four weeks in advance of the defense date.

Following approval by the sponsor of the dissertation for defense, the student should give a copy of the dissertation to each of the five members of the approved defense committee (typically, this is sent via email; however, committee members may prefer a paper copy). The distribution copy of the dissertation must be complete with bibliography, abstract, table of contents, as department/program guidelines dictate. The copies should be neat, without lengthy ink insertions or corrections and can be on ordinary copy paper. Students should not use colored or lined paper. The Dissertation Office does not examine the defense copy, but students should keep in mind that their committee will look at style and neatness. Objections to the format of the defense copy raised by a committee member must be addressed before the defense is scheduled.

**SCHEDULING THE DEFENSE**

No defense shall be scheduled until the Program Director signifies (by completing and signing the Application for the Dissertation Defense form) that, in their judgment, the dissertation is of sufficient quality to warrant a defense and final examination. A decision by the sponsor that a dissertation warrants a defense does not necessarily indicate how either would vote after the dissertation defense.

The GSAS Dissertation Office does not schedule dissertation defenses for nursing students; all defenses are scheduled by the PhD program Assistant Director in collaboration with the student’s mentor. No student may schedule his or her own defense. The Assistant Director submits the Application for the Dissertation Defense form to GSAS.
Once the Application for the Dissertation Defense form has been submitted to the GSAS Dissertation Office, GSAS will send a “blue folder” to the PhD program Assistant Director containing the Voting Sheet and “blue card” used to deposit the dissertation.

During the defense, committee members indicate their votes and sign the voting sheet, which becomes a formal record of the Graduate School. The PhD program Assistant Director returns the signed Voting Sheet to the Dissertation Office. The candidate receives the “blue card” when it has been determined by the student’s sponsor or chair that the dissertation is ready for deposit.

**PHD DEGREE CALENDAR**

**Dates and Deadlines:**
PhD degrees are conferred three times during the academic year—in October, February, and May. Students intending to defend the PhD dissertation must file an Application for Dissertation Defense (see above for suggested deadlines). Click [here](#) for GSAS deadlines for distribution and deposit.

When the faculty committee has certified that the student has passed the dissertation defense, the candidate must, in order to receive the degree, follow the GSAS instructions for depositing the dissertation. Please visit [this page](#) for more information.

**THE DISSERTATION DEFENSE**

**EMERGENCY ABSENTEE**

A committee is permitted to convene in the absence of one member only in cases of extreme circumstance or emergency. The absent member may not be the PhD candidate's sponsor, or the chair of the committee. If a member of a committee will not be able to attend the defense, the Dissertation Officer must be notified prior to the defense to obtain approval of the Dean of GSAS. If the Dean of GSAS grants permission for the defense to take place, the absent member is required to write a detailed letter containing all comments and questions that would normally be raised at the defense and his or her provisional vote. The Chair of the committee will present these questions to the candidate, rule on the candidate’s responses, and signs the voting sheet in the absent committee member’s name.

If the emergency that prevents the member from being present cannot be anticipated, the absent member is requested to comply with the regulations above as soon as possible after the defense. The vote will not be considered final until the required letter has been submitted to the Dean’s Office by the absent member of the committee.

**THE VOTE**

The closed portion of the defense normally lasts one hour. The Chair of the Committee is responsible for allotting time, allowing each faculty member time to examine the candidate.

Typically examiners provide lists of points they wish to discuss. These points are either
substantial or editorial. Unless it is necessary to show that a very poorly written dissertation must be entirely rewritten, examiners should not take up these editorial comments one by one. Examiners should give their sheets of notes on these matters to the candidate, leaving time to examine matters of substance.

When all examiners have finished their questioning, the Chair asks the candidate to step outside and wait for a signal to return. The committee rises on the candidate's leaving and entering.

During the discussion period, the Committee makes its decision on the defense:

**APPROVED AS SUBMITTED**
The committee may ask that minor revisions or corrections be made before the dissertation is deposited. A written description of those minor revisions should be provided to the candidate at the defense. These minor revisions should be completed to the satisfaction of the sponsor within one month after the defense. If for exceptional reasons more time is needed, the candidate may apply for an additional one-month extension by submitting a letter to gsas-dean@columbia.edu with the request.

**APPROVED PENDING REVISIONS**
The committee may ask that revisions be made before the dissertation is deposited. A written description of those revisions should be provided to the candidate at the defense or shortly afterward. These revisions should be completed to the satisfaction of the sponsor within six months after the date of the defense. If for exceptional reasons more time is needed, the candidate may apply for an additional two-month extension by submitting a letter to gsas-dean@columbia.edu with the request.

**REFERRED**
The committee believes that substantial work must be undertaken on the dissertation by the candidate before it can reach a recommendation to award the degree. A detailed written description of the reservations about the examined dissertation should be provided to the candidate at the defense or shortly afterward. At the time of the defense, a subcommittee composed of at least three unanimously agreed upon members of the original committee (and including the sponsor) will be formed. The specified revisions should be completed to the satisfaction of the subcommittee within one year after the date of the defense. A statement from the candidate indicating the specific changes made in response to the committee’s request for revision must accompany the revised version, and both be sent to the sponsor. The sponsor will share the statement and the revised version with the members of the defense subcommittee, each of whom must communicate explicitly to the sponsor his or her appraisal of the revisions undertaken. A majority of the subcommittee must approve the revised version for the candidate to be recommended for the degree. The dissertation will then be recommended for award of the degree. A statement from the candidate indicating the specific changes made in response to the committee’s request for revision must accompany the revised version, and both be sent to the sponsor. The sponsor will share the statement and the revised version with the members of the defense subcommittee, each of whom must communicate explicitly to the sponsor his or her appraisal of the revisions undertaken. A majority of the subcommittee must approve the revised version for the candidate to be recommended for the degree. The dissertation will then be recommended for award of the degree. A statement from the candidate indicating the specific changes made in response to the committee’s request for revision must accompany the revised version, and both be sent to the sponsor. The sponsor will share the statement and the revised version with the members of the defense subcommittee, each of whom must communicate explicitly to the sponsor his or her appraisal of the revisions undertaken. A majority of the subcommittee must approve the revised version for the candidate to be recommended for the degree. The dissertation will then be recommended for award of the degree.

**FAIL**
The committee believes that the dissertation is not acceptable, and the candidate will not be recommended for the degree. No candidate may have a second defense unless the dean of GSAS concludes, upon evidence provided either by the candidate or by a member of the committee, that procedural irregularities occurred during the defense.
Post-defense

For those students whose dissertation receives a vote of Approved Pending Revisions, the Chair of the dissertation defense committee, within 48 hours of the defense, will send the student a detailed written description of the edits required for the dissertation to be deemed complete. This email should cc: the student’s sponsor and the PhD program Director and Assistant Director.

**ELECTRONIC DEPOSIT**

After you have completed any required revisions to your dissertation and have obtained approval from your sponsor to deposit your dissertation, complete these four steps (in any order) to complete your deposit:

1. Complete the GSAS deposit application and pay the $85 processing fee;
2. Submit the required Survey of Earned Doctorates online;
3. Upload and submit a PDF copy of your dissertation;
4. Obtain a signed Approval Card that certifies you have made all required revisions and that the dissertation has been approved for deposit by your sponsor and by your doctoral program. Note that at the School of Nursing the PhD program Assistant Director coordinates obtaining signatures on the Approval Card.

If you wish to receive your degree by a particular degree conferral (October, February, or May) please [click here](#) for the relevant deadlines for each conferral.

Dissertations are available online through the University's research repository, [Academic Commons](#), which will be considered the repository of record for Columbia University’s doctoral dissertations. All deposited dissertations will have a catalog entry in CLIO (Columbia’s library database). Click [here](#) for a link to recent Columbia Nursing dissertations. Refer to Appendix L of this document for information about embargoing dissertations.

Please click [here](#) for frequently asked questions about electronic deposit.

**SUMMARY: DISTRIBUTION, DEFENSE AND DEPOSIT IN TEN STEPS**

The [GSAS Dissertation Website](#) lists the steps to be taken to distribute, defend and deposit your dissertation.

All the steps below can take place at any time during the year. However, if you are aiming to receive your degree at a specific degree conferral (October, February or May), you must follow a set of deadlines for that conferral. These deadlines are available online [here](#). Please note also that these steps are intended to be a general guideline for the distribution, defense, and deposit. It is the student’s responsibility to review the more detailed policies on the Dissertation Office webpages.

- **Get in touch with your department or program’s office.** The PhD program Assistant Director should be your first stop when preparing to distribute and defend. The Assistant
Director is knowledgeable about GSAS policies and can advise you on any program requirements that go beyond GSAS rules.

2. **Discuss with your sponsor (advisor) to determine your five-person examining committee.** Guidelines for the nomination and appointment of the defense committee are available [here](#). Any questions about committee composition should be directed to the PhD program Assistant Director. Please note that GSAS policy states that students should NOT be put in the position of approaching faculty members about serving on their committee. This is the responsibility of the sponsor and/or department.

3. **The PhD program Assistant Director (not the student) submits the five names of your proposed committee to GSAS for approval.** The Application for Dissertation Defense form is signed by the PhD program Director, and is submitted by your program's office to the GSAS Dissertation Office. The form is available online [here](#).

4. **Your department or program (not the student) schedules the defense in collaboration with your sponsor.**

5. **Distribute final copies of your dissertation to your five examiners after your committee is approved.** You must be registered for the semester in which your distribution takes place. This is your final semester of registration, even if your defense and deposit take place in a subsequent semester. Click [here](#) for more detailed information about final registration requirements; please contact the PhD program Assistant Director if you have questions. International students with questions about their registration and remaining in visa compliance should contact the [International Students and Scholars Office (ISSO)](#).

6. **Defend your dissertation.**

7. **Complete any required revisions.** Students who receive a vote of “approved pending revisions” are given a maximum of six months to complete these revisions and deposit their dissertation. For more detailed information, please consult [this page](#).

8. **Obtain approval to deposit your dissertation.** This is done using the blue Approval Card, which is held by the PhD program Assistant Director. After your revisions are approved, the Assistant Director will obtain signature by your advisor and the PhD program Director. You may choose to take the card to the GSAS Dissertations Office at Low Library, or request that the Assistant Director send the card via campus mail.

9. **Deposit your dissertation with GSAS.** This is the final step to earning the PhD degree. Complete information regarding the deposit is available through the [Deposit Gateway](#). You should also review the [FAQ](#) about the electronic deposit system.

10. **Register to Participate in Graduation Ceremonies.** The PhD Convocation and University Commencement ceremonies, held in May, recognize graduates from the October, February, and May degree conferrals. We look forward to celebrating your accomplishment with you. However, please note that you are not required to attend the graduation ceremonies to receive your degree.
AWARD OF THE DEGREE

After the successful defense and complete deposit of the dissertation, the degree is awarded on the next subsequent conferral date, in October, February or May of each year. Please email a PDF copy of your dissertation to the PhD program Assistant Director after you complete your deposit. The student must clear all outstanding accounts, including those in Student Financial Services, Health Services, Columbia Information Technology, the Library and the Registrar's Office.

SCHOOL OF NURSING GRADUATION, DOCTORAL CONVOCATION AND UNIVERSITY COMMENCEMENT CEREMONIES

ELIGIBILITY
Students who plan to deposit by the October graduation deadline following spring graduation ceremonies are eligible to participate in graduation, convocation and/or commencement. Note that students who have not deposited by the May deadline will not be listed in the Columbia University Doctoral Convocation or University Commencement programs. Students must receive guidance from their advisor to determine anticipated date of deposit.

COLUMBIA NURSING CEREMONY: GRADUATION
Nursing graduates are recognized individually for their successful degree completion at the end of spring semester. Students are congratulated on stage by the Dean. Information about Graduation will be sent via email from the Nursing Office of Student Services and will be posted on the School of Nursing website.

GSAS CEREMONY: PHD CONVOCATION
Celebrations for candidates from these three conferral dates are held once each year in May. Degree candidates are invited to robe and march in the annual PhD Convocation in the Graduate School of Arts and Sciences and University Commencement. There are no conferral ceremonies held in October or February. At the time of deposit, all candidates will receive a letter from the Dean's Office certifying completion of all academic requirements for the doctoral degree. Information about the PhD Convocation can be found here. We encourage PhD students to attend.

UNIVERSITY CEREMONY: COMMENCEMENT
Columbia University Commencement is held at the end of spring semester. The President of the University grants degrees en masse to graduating students from eighteen schools, colleges, and affiliated institutions. Over 11,000 degree candidates participate in this ceremony. Information about Commencement will be sent via email from the Nursing Office of Student Services and will be posted on the School of Nursing website.
APPENDICES

Appendix A: PhD Program Plans of Study
    PhD Program Plan of Study—2017 Cohort
    PhD Program Plan of Study—2018 Cohort
    PhD Program Plan of Study—2019 Cohort

Appendix B: Individual Development Plan (IDP)/Trainee Skills Inventory

Appendix C: Contract for Research Practicum

Appendix D: Application for Qualifying Examination for the PhD Degree

Appendix E: Confirmation of Topics—Qualifying Examination for the PhD Degree

Appendix F: Application for the Master of Philosophy

Appendix G: Intent to Schedule Prospectus Defense

Appendix H.1: Dissertation Prospectus Outline—Quantitative

Appendix H.2: Dissertation Prospectus Outline—Qualitative

Appendix I: Report of the Dissertation Prospectus Committee


Appendix K: Application for the Dissertation Defense

Appendix L: ProQuest UMI, Academic Commons & Copyrighting the Thesis
# APPENDIX A: PhD PROGRAM PLANS OF STUDY

## TYPICAL THREE-YEAR PLAN OF STUDY FOR STUDENTS ENTERING FALL, 2017

<table>
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Students continuing beyond the third year must register for 4 credits of N9840 Dissertation Research each semester (fall, spring, summer) until they have completed dissertation requirements.

Course offerings are subject to change.

One elective course must be taken in advanced statistics offered by another school prior to qualifying exam.
Full-time status is 9 credits. To ensure full time status enroll in N9901 Research Residency.

Once PhD students have passed the qualifying examination, they must complete a minimum of 4 credits of N9840 Dissertation Research each semester (fall, spring and summer). Students must register for this course until the dissertation is successfully defended. Students do not need to be registered during the semester they defend their dissertation; however, registration is required during the semester in which the student distributes their dissertation.

This plan reflects the School of Nursing PhD minimum requirements of 56 credits assuming three years of doctoral study. Additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
## Typical Three-Year Plan of Study for Students Entering Fall, 2018

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<td>N9352 Qualitative Research Design/Mthd</td>
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Students continuing beyond the third year must register for 4 credits of N9840 Dissertation Research each semester (fall, spring, summer) until they have completed dissertation requirements.

Course offerings are subject to change.

One elective course must be taken in advanced statistics offered by another school prior to qualifying exam.
Full-time status is 9 credits. To ensure full time status enroll in N9901 Research Residency.

Once PhD students have passed the qualifying examination, they must complete a minimum of 4 credits of N9840 Dissertation Research each semester (fall, spring and summer). Students must register for this course until the dissertation is successfully defended. Students do not need to be registered during the semester they defend their dissertation; however, registration is required during the semester in which the student distributes their dissertation.

This plan reflects the School of Nursing PhD minimum requirements of 56 credits assuming three years of doctoral study. Additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
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This plan reflects the School of Nursing PhD minimum requirements of 57 credits assuming three years of doctoral study. Additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
APPENDIX B: INDIVIDUAL DEVELOPMENT PLAN/TRAINEE SKILLS INVENTORY

Trainee Skills Inventory

The purpose of this inventory is to provide predoctoral students with a roadmap to the skills that they may wish to accomplish throughout the program. This inventory focuses on “hands-on” skills rather than those learned in coursework. It is expected that PhD students will update their inventory every semester in conjunction with a progress meeting with their primary advisor. The information in the skills inventory can be used to update your training plan.

Name of Student: ________________________  Name of Advisor: ______________________

Student Signature: ____________________  Advisor Signature: ____________________

Date: ____________________

Directions

1. Identify if you feel you already have proficiency in any of the skills on the list and rate your proficiency level (from 1 not proficient through to 5 proficient).

2. For each skill consider if you wish to include it as a goal for this semester (if you do mark the goal and the proficiency level you wish to attain for the relevant semester).  
This is the row marked G for each skill.

3. At the end of the semester consider if you have achieved your goal and/or what level of proficiency you feel you have reached for each skill identified (from 1 not proficient through to 5 proficient).  
This is the row marked A for each skill.

4. Use the blank “Student-Specific Goals” boxes to enter your specific learning goals.
<table>
<thead>
<tr>
<th>Skill</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3 and beyond</th>
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<td><strong>G=Goal</strong></td>
<td></td>
<td></td>
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<tr>
<td><strong>A=Achieved</strong></td>
<td></td>
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<tr>
<td><strong>Not Proficient</strong></td>
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<td><strong>Year 3 and beyond</strong></td>
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<td><strong>Spring</strong></td>
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### Ethical Conduct of Research

- Complete RASCAL (IRB & HIPAA) training: **G** (Achieved)
- Develop/Submit Human Subjects Protocol: **A** (Achieved)

### Data Maintenance and Processing

- Data Entry: **G** (Goal), **A** (Achieved)
- Data Editing and Error Resolution: **G** (Goal), **A** (Achieved)
- Data Monitoring: **G** (Goal), **A** (Achieved)
- Database Documentation/Codebook: **G** (Goal), **A** (Achieved)
- Database Design (e.g., REDCap): **G** (Goal), **A** (Achieved)
- Data transcription (e.g., interviews, field notes): **G** (Goal), **A** (Achieved)
- Data coding (for qualitative analysis): **G** (Goal), **A** (Achieved)

### Student-Specific Goals

- Literature Review:
  - Conduct structured searches across databases (e.g., Medline, Cinahl): **G** (Goal), **A** (Achieved)
  - Select papers for inclusion in reviews: **G** (Goal), **A** (Achieved)
  - Data extraction (for systematic/integrative reviews): **G** (Goal), **A** (Achieved)
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<td>Critical Appraisal Skills</td>
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<td>Identify Gaps in Literature</td>
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</tr>
<tr>
<td>Develop Appropriate Analytic Plan Based on Study Design</td>
<td>G</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Create Tables and Graphs from Data</td>
<td>G</td>
<td></td>
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</tr>
<tr>
<td>Sample Size Calculation</td>
<td>G</td>
<td></td>
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<tr>
<td>Univariate Measures of Association</td>
<td>G</td>
<td></td>
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</tr>
<tr>
<td>Multivariate Modeling</td>
<td>G</td>
<td></td>
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</tr>
<tr>
<td>Assess Reproducibility of Findings</td>
<td>G</td>
<td></td>
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<tr>
<td>Cross-Sectional Analysis</td>
<td>G</td>
<td></td>
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<tr>
<td>Survival Analysis</td>
<td>G</td>
<td></td>
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<tr>
<td>Repeated Measures Analysis</td>
<td>G</td>
<td></td>
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<tr>
<td>Study Monitoring (Adverse Event Analysis)</td>
<td>G</td>
<td></td>
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<td></td>
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<tr>
<td>Thematic Analysis (for qualitative studies)</td>
<td>G</td>
<td></td>
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</tr>
<tr>
<td>Skill</td>
<td>G=Goal</td>
<td>A=Achieved</td>
<td>1</td>
<td>2</td>
<td>3</td>
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<tr>
<td>Narrative synthesis (in systematic/integrative reviews)</td>
<td>G</td>
<td>A</td>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>G=Goal</strong></td>
<td></td>
<td><strong>A=Achieved</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Analytic Skills Continued</strong></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Meta-analysis</td>
<td>G</td>
<td>A</td>
<td></td>
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<tr>
<td><strong>Student-Specific Goals:</strong></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Professional Skills</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Organizational Skills</td>
<td>G</td>
<td>A</td>
<td></td>
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<tr>
<td>Professional Etiquette</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Networking</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
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<tr>
<td>Establish Research Collaborations</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Authorship</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Time Management</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scientific Review of Manuscripts</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Give/Accept Feedback in Peer Review</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Experience Working on a Research Team</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Engage in Interdisciplinary collaboration e.g. publications, presentations</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Work as a team member</td>
<td>G</td>
<td>A</td>
<td></td>
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</tr>
</tbody>
</table>

APPENDICES

REVISED August 2019 54
<table>
<thead>
<tr>
<th>Work effectively with mentor</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish mentoring skills</td>
<td>G</td>
</tr>
</tbody>
</table>

**Student-Specific Goals:**

<table>
<thead>
<tr>
<th>Skill</th>
<th>G</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>CV Building</td>
<td></td>
<td></td>
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<tr>
<td>Develop CV using Columbia Format</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Primary and/or Co-Authorship of Papers</td>
<td>G</td>
<td>A</td>
</tr>
<tr>
<td>School Committee and service</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Oral Presentations</td>
<td>G</td>
<td>A</td>
</tr>
<tr>
<td>Teaching/TA experience</td>
<td>G</td>
<td>A</td>
</tr>
</tbody>
</table>

**Student-Specific Goals:**

<table>
<thead>
<tr>
<th>Skill</th>
<th>G</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Presentation Skills</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Poster &amp;/or Oral Presentation at Scientific Meetings</td>
<td>G</td>
<td>A</td>
</tr>
</tbody>
</table>

**Funding**

<table>
<thead>
<tr>
<th>Skill</th>
<th>G</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apply for national funding (e.g., F31, NRSA R36)</td>
<td>G</td>
<td>A</td>
</tr>
<tr>
<td>Apply for research funds from local organizations (e.g., STTI)</td>
<td>G</td>
<td>A</td>
</tr>
</tbody>
</table>

**Student-Specific Goals:**

<table>
<thead>
<tr>
<th>Skill</th>
<th>G</th>
<th>A</th>
</tr>
</thead>
</table>
### Teaching/Teaching Assistant

<table>
<thead>
<tr>
<th>Skill</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>One on One</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Teach an Individual Class</td>
<td>G</td>
<td>A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate a Workshop</td>
<td>G</td>
<td>A</td>
<td></td>
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</tr>
</tbody>
</table>

**G=Goal**  
**A=Achieved**

<table>
<thead>
<tr>
<th>Skill</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3 and beyond</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop Homework Assignments</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Design and Teach a Course</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Lead Small Groups</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Manage Records in CourseWorks</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Grade Assignments</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Develop Test Questions</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Prepare and Deliver Lecture</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
</tbody>
</table>

**Student-Specific Goals:**

Please see next page for T32-specific Additional Skills/Summary Goals
## Comparative and Cost-Effectiveness Research (CER²)

<table>
<thead>
<tr>
<th>Skill</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3 and beyond</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Start</td>
<td>Fall</td>
<td>Spring</td>
</tr>
<tr>
<td></td>
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<td></td>
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<tr>
<td></td>
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</tr>
<tr>
<td>Demonstrate breadth of comparative and cost effectiveness research theoretical and conceptual knowledge by assessing alternative conceptual models from a range of relevant disciplines including clinical epidemiology, health services research, biostatistics and/or health economics.</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Work collaboratively in inter-disciplinary teams.</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Understand the importance of collaborating with stakeholders, such as communities, policymakers and/or organizations to plan, conduct and translate comparative and cost effectiveness research into policy and practice.</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Effectively communicate the findings and implications of comparative and cost effectiveness research through multiple modalities to technical and lay audiences.</td>
<td>G</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td><strong>Student-Specific Goals:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX C: CONTRACT FOR RESEARCH PRACTICUM

Nursing PhD Program

CONTRACT FOR RESEARCH PRACTICUM

Student Name: ___________________________  Semester: ________

Faculty Member: _________________________

Site and Mentor for Experience: (Attach resume if not a Columbia University faculty member)
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

Brief Description of Planned Experience:
______________________________________________________________________________
______________________________________________________________________________

Learning Objectives:
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

Expectations/Requirements (Note: 1 credit = 4 hours/week)
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

Student Signature: ___________________________ Date: _______

Faculty Signature: __________________________ Date: _______
APPENDIX D: APPLICATION FOR QUALIFYING EXAMINATION FOR THE PhD DEGREE

APPLICATION FOR QUALIFYING EXAMINATION FOR THE PhD DEGREE
(Please type or print legibly)

I, (enter your name) Click here to enter text., have completed the following requisite courses with a cumulative GPA of at least 3.0 (with no incomplete grades):

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Title</th>
<th>Completed (Semester/Year)</th>
<th>Currently Enrolled</th>
</tr>
</thead>
</table>
| P6103 or P6104 | Intro Biostatistics
Intro to Biostatistical Methods | Click here to enter text. | ☐                  |
| N9910         | Translation/Synthesis Evidence/Optimal Outcomes                      | Click here to enter text. | ☐                  |
| N9352         | Qualitative Research Design and Methods                              | Click here to enter text. | ☐                  |
| N9356         | Intellectual and Conceptual Foundations of Nursing Science or equivalent course (N9351 Concept Development & Measurement of Clinical Phenomena) | Click here to enter text. | ☐                  |
| N9357         | Measurement in Nursing Research                                      | Click here to enter text. | ☐                  |
| N9355         | Quantitative Research and Design                                     | Click here to enter text. | ☐                  |
| P8100         | Applied Regression                                                   | Click here to enter text. | ☐                  |
| G4010         | Responsible Conduct of Research                                      | Click here to enter text. | ☐                  |
| N9260         | Building Interdisciplinary Research Models                           | Click here to enter text. | ☐                  |
| N9505         | Research Practicum                                                   | Click here to enter text. | ☐                  |
| N9353         | Advanced Methods in Health Services Research and Policy Analysis     | Click here to enter text. | ☐                  |
| N9550         | Research Synthesis through Visualization of Health Data               | Click here to enter text. | ☐                  |

Electives (8-9 credits):

Elective #1 (taken prior summer or fall semester) Click here to enter text. Click here to enter text. ☐

Elective #2 (taken prior summer or fall semester) Click here to enter text. Click here to enter text. ☐

Elective #3 (to be taken upcoming spring semester) Click here to enter text. Click here to enter text. ☐

I hereby apply to take the qualifying examination in (month) __________, 20_____.

Student Signature: ___________________________ Date: _____________

Approved: (signatures)

Advisor Signature: ___________________________ Date: _____________

Director, PhD Program: ___________________________ Date: _____________

REVISED August 2019
CONFIRMATION OF TOPICS FOR PAPERS: QUALIFYING EXAMINATION FOR THE PhD DEGREE

(Please type or print legibly)

I, __ Student Name. __, have discussed with my advisor the requirements for the written and oral components of the Qualifying Examination for the PhD Degree in Nursing and I have committed to the following two papers as tentatively titled and briefly described below and as approved by the Qualifying Examination Committee.

Paper #1:

Tentative Title:
___ Tentative Title #1 ___________________

Brief Description of Paper:
___ Brief Description of Paper #1 ___________________

Paper #2:

Tentative Title:
___ Tentative Title #2 ___________________

Brief Description of Paper:
___ Brief Description of Paper #2 ___________________

Student Signature:   ____________________________________________________________
Date:       _____________________________________

Advisor Name:       ____________________________________________________________
Advisor Signature:   ____________________________________________________________
Date:       _____________________________________

Area below to be filled out by Qualifying Examination Committee (QEC)

Papers are approved on behalf of QEC:

Name of QEC Chair:  ___________________________________________________________
QEC Chair Signature: __________________________________________________________
Date:       _____________________________________
**APPELLIX F: APPLICATION FOR THE MASTER OF PHILOSOPHY**

Click [here](#) for link to form

<table>
<thead>
<tr>
<th><strong>MASTER’S DEGREE</strong></th>
<th><strong>RESIDENCY</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>IN-COURSE GSAS M.A.</td>
<td>SIX RESIDENCE UNITS EARNED AT THE END OF THE FOLLOWING TERM</td>
</tr>
<tr>
<td>Month/Year Awarded</td>
<td></td>
</tr>
<tr>
<td>ADVANCED STANDING FOR FREE-STANDING GSAS M.A.</td>
<td></td>
</tr>
<tr>
<td>Month/Year Awarded</td>
<td></td>
</tr>
<tr>
<td>ADVANCED STANDING FOR M.S. FROM SEAS</td>
<td></td>
</tr>
<tr>
<td>Month/Year Awarded</td>
<td></td>
</tr>
<tr>
<td>ADVANCED STANDING FOR OTHER MASTER’S DEGREE</td>
<td></td>
</tr>
<tr>
<td>Name of Institution</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>LANGUAGE PROFICIENCY</strong></th>
<th><strong>QUALIFYING EXAMINATIONS</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>LANGUAGE EXAMS AND DATES</td>
<td>PLEASE LIST ALL REQUIRED QUALIFYING EXAMINATIONS, AND THE DATE ON WHICH THE STUDENT PASSED.</td>
</tr>
<tr>
<td>SATISFACTORY AJP SCORE ACHIEVED (IF REQUIRED)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>INSTRUCTIONAL REQUIREMENT</strong></th>
<th><strong>DISSERTATION PROPOSAL</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>AJP PROGRAMS: HAS THE STUDENT FILLED THE MINIMUM ONE-YEAR TEACHING REQUIREMENT?</td>
<td>PROPOSAL NOT REQUIRED FOR THE M.PHI.</td>
</tr>
</tbody>
</table>

I have reviewed the above-named student’s progress and performance, and recommend that the M.Phil. degree be awarded. This student MAY continue toward the Ph.D.

I have reviewed the above-named student’s progress and performance, and recommend that a terminal M.Phil. degree be awarded. This student MAY NOT continue toward the Ph.D.

SIGNATURE OF CHAIR OR DIRECTOR OF GRADUATE STUDIES

SIGNATURE OF SEAS OFFICE OF THE DEAN (IF APPLICABLE)
APPENDIX G: INTENT TO SCHEDULE DISSERTATION PROSPECTUS DEFENSE

I (name of student), have discussed with my advisor the requirements for Dissertation Prospectus Defense and I have:

- Identified potential dissertation committee members;
- Met with (or scheduled a meeting with) each member of the full committee at least once prior to the formal dissertation prospectus defense;

The Dissertation Prospectus Defense has been scheduled for (date/time): Click here to enter text.

The plan for the student’s dissertation will be (choose one):
☐ Traditional dissertation format
☐ Manuscript (Publication Format)

If Manuscript (Publication Format) option, please list the three (3) papers:

Manuscript 1: Click here to enter text.
Targeted Journal 1: Click here to enter text.
Manuscript 2: Click here to enter text.
Targeted Journal 2: Click here to enter text.
Manuscript 3: Click here to enter text.
Targeted Journal 3: Click here to enter text.

As a Columbia University School of Nursing PhD student, I assume responsibility as first author for the manuscripts listed above (or manuscripts stemming from a traditional dissertation format). For a manuscript not published at the time of dissertation defense, it is my responsibility to remain diligent regarding publication in a journal mutually determined with my sponsor.

<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Click here to enter text.</td>
</tr>
<tr>
<td>2.</td>
<td>Click here to enter text.</td>
</tr>
<tr>
<td>3.</td>
<td>Click here to enter text.</td>
</tr>
</tbody>
</table>

Student Signature ____________________________  
Date: Click here to enter text.

Sponsor/Advisor Signature ____________________________________________________  
Date: Click here to enter text.

Director’s Approval: ____________________________  Date: ____________________________
APPENDIX H.1: TRADITIONAL DISSERTATION PROSPECTUS OUTLINE—QUANTITATIVE

CHAPTER I: INTRODUCTION/PROBLEM
- Introduction
- Broad area of concern
- Lays the groundwork for the questions posed
- Include some of the pertinent literature verifying this area of concern
- Problem statement
- Clearly stated in ½ page
- Purpose/Aim may include:
  - Specific questions to be answered
  - Hypotheses
- Operational definitions of central concepts
- Assumptions
- Theoretical framework or rationale
- Concepts/variables: definitions
- Significance/Rationale
- Importance
- Projected outcomes
- Contributions to future knowledge
- Significance/Rationale for study
- Importance to field
- Contributions to future knowledge

CHAPTER II: REVIEW OF THE LITERATURE
- Succinct, relevant literature review
- Focus on relationship between the research questions(s) and the literature reviewed
- This is a summary of the state of the knowledge concerning the stated question(s)/intent

CHAPTER III: METHODOLOGY/RESEARCH DESIGN
Should follow from Chapter I (Problem-question(s)-hypothesis(es)) and Chapter II (your assessment of the state of knowledge as documented in the literature review).

- Design Strategy
  - Examples are: Experimental, Quasi Experimental, other
  - Rationale as to why this design
  - Expected outcomes from this design/justification for it
  - Background of method if necessary

- If part of a larger project, specify:
  - Relationship to the project
  - How the student will control the dissertation research part of the project
  - Whether permission to utilize data or source has been obtained or is in the process of being obtained
  - Status of the project in regard to human subject review
  - Anticipated problems and how to overcome each
  - The extent to which the design, methodology, collection of data and interpretation findings
will be the student’s responsibility
- Obligations to the larger project and restriction to publications, if any
- Agreements as to manuscripts or material review

- Report on Pilot work, completed or planned

- Methodology as appropriate to the design
  - **Population/Sample/Participants**
    - Description of subjects
    - Recruitment source of subjects
    - Method of recruitment
    - Subject inclusion/exclusion criteria
    - Sample size estimation (power analysis)
  - **Description of design and treatments if appropriate**
  - **Data Collection**
    - Concepts/variables with their operational definition and plan for measurement
    - Specify sources such as interviews, histories, instruments, documents, etc.
      - Describe each used:
      - Type, # of items
      - Task for respondents
      - Administration and scoring procedures
      - Adoption, adaptation or invention
        - Validity
        - Reliability
    - Description of data collection should be in sufficient detail to enable any other researcher to carry it out. In quantitative studies most of this can be done prior to the collection. In qualitative, should be in sufficient detail to demonstrate a well thought out plan although actual approach may change during data collection.
  - **Data Analysis**
    - Strategies that will be used to analyze the data to answer the Questions(s)/Hypotheses/ Purposes posed, such as statistical, historical, philosophical, comparative analysis, etc.
    - Analytic plan for each aim should be articulated in detail
  - **Protection of human subjects**
    - Consents
    - IRB status
    - Confidentiality issues

- Limitations of the study
- Obstacles
- Difficulties expected and ways to overcome them

- If course work and other experience have not fully prepared the student for dissertation, what is planned?
  For example, if the dissertation is using a highly prescribed method, has the student taken a course in the method and have an expert in the method on the dissertation committee?
• Time Table
  ▪ Realistic
  ▪ Feasible

Instruments, instructions, consent forms, letters of invitation to participate, permission to use copyright material, letters of support, and other communications are not included.
APPENDIX H.2: TRADITIONAL DISSERTATION PROSPECTUS OUTLINE—QUALITATIVE

CHAPTER I: INTRODUCTION/PROBLEM
- Introduction
- Broad area of concern
- Lays the groundwork for the questions posed
- Include some of the pertinent literature verifying this area of concern
- Problem statement
- Purpose/Aim may include:
  - Specific questions to be answered
  - Theoretical framework or rationale if applicable
- Concepts/variables: description or general definitions if applicable
- Qualitative research method and brief justification for the use of Qualitative method
- Significance/Rationale for study
- Importance to field
- Contributions to future knowledge

CHAPTER II: REVIEW OF THE LITERATURE
- Succinct, relevant literature review
- Focus on relationship between the research questions(s) and the literature reviewed
- This is a summary of the state of the knowledge concerning the stated question(s)/intent

CHAPTER III: METHODOLOGY/RESEARCH DESIGN
Should follow from previous chapters especially Chapter I (Problem-question(s) Qualitative method and justification as well as Chapter II (your assessment of the state of knowledge as documented in the literature review).

1. Design and General Strategy
- Clear statement of design to be used e.g., Qualitative Descriptive, GT, Ethnography, Phenomenology, Interpretive Descriptive etc.
- Definition and description of general Qualitative Method chosen and rationale for this approach. How method fits the research purpose and question
- Background on method – historical context, theoretical underpinnings, general applications in research- types of questions generally answered/ studied conducted using this method: special considerations/requirements in the method for general sampling, data collection, analysis etc.
- General discussion of application in this study
- Expected outcomes as a result of using this design

2. If part of a larger project, specify:
- Relationship to the project
- How the student will control the dissertation research part of the project
- Whether permission to utilize data or source has been obtained or is in the process of being obtained
- Status of the project in regard to human subject review
- Anticipated problems and how to overcome each
- The extent to which the design, methodology, collection of data and interpretation findings will be the student’s responsibility
- Obligations to the larger project and restriction to publications, if any
- Agreements as to manuscripts or material review
3. APPLIED METHOD: (specific to this study)
   ▪ Report on Pilot/Fieldwork, completed or planned, should be included
   ▪ Questions to be answered/Aims
     ▪ **Sampling** strategy
       o Description of sample (with sample size projected). Discuss in relation to tradition of Qualitative method or school
       o Recruitment procedures with rationale- specific and detailed outline of procedures and materials to be used, including any incentives
     ▪ **Data collection** method- interview, focus group, observation, archival material, transcriptions etc. Discuss in view of chosen qualitative method.
       o Use of interview guide- development and application in study
       o Use of any other tools in data collection must be fully discussed- tapes, online methods, phone, etc.
     ▪ **Method of analysis** including coding specifications
       o General description of analytic approach- e.g., emergent or directed content analysis, interpretive descriptive method, axial coding (GT); taxonomic coding (ethnography) etc. If method has well known literature around it – must cite this and discuss merits for this study- examples include but are not limited to: Spradley in ethnography; Corbin & Strauss in GT; Thorne in Interpretive Description; Colaizzi in line by line content analysis; Georgi in general psychological phenomenological interpretation etc.
       o Specific coding procedures and structure- should be isomorphic with those generally employed in chosen qualitative method (present a clear stepwise procedure for this)
       o Use of software- what kind
       o Coders- who, number, background
       o Reliability considerations in coding (method of establishing- e.g., % agreement, kappa)
       o Final Coding configuration – themes; core categories thru theory (GT), exhaustive description (Phenomenology) etc.
       o Description of data collection should be in sufficient detail to enable any other researcher to carry it out. Should be in sufficient detail to demonstrate a well thought out plan although actual approach may change during data collection
       o Data Storage- how secured, who has access
     ▪ Adherence to Qualitative Principles of Rigor- Full discussion of how these 4 principles will be considered in the conduct of the research (Credibility, Confirmability, Dependability, Transferability) Discussion of the Audit trail is included here.

4. Limitations of the study
   ▪ Obstacles
   ▪ Difficulties expected and ways to overcome them

5. If course work and other experience have not fully prepared the student for dissertation, what is planned? For example, if the dissertation is using a highly prescribed method such as ethnography and Spradley’s taxonomy or Grounded theory with the requisite axial coding- has the student taken a course in the method and have an expert in the method on the dissertation committee or be working with an expert?
6. Timetable

- Realistic
- Feasible

Instruments, instructions, consent forms, letters of invitation to participate, permission to use copyright material, letters of support, and other communications are not included.
APPENDIX I: REPORT OF THE DISSERTATION PROSPECTUS COMMITTEE

Click [here](#) for link to form

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List the members of the Dissertation Prospectus Committee:

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By signing in the “YES” column below, the members of the Dissertation Prospectus Committee approve the proposal indicated above, agreeing that it meets all program requirements and is acceptable in both its content and its timetable for completion. The members voting “YES” thus recommend that the candidate proceed according to the approved proposal and under the supervision of the Dissertation Sponsor named above.

**SIGNATURES OF COMMITTEE MEMBERS VOTING “YES”**

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**SIGNATURES OF COMMITTEE MEMBERS VOTING “NO”**

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Please complete this section **ONLY** if members of the defense committee are different than the dissertation prospectus committee.

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APPENDIX J.1: DISSERTATION OUTLINE—A GUIDE FOR TRADITIONAL DISSERTATION FORMAT

Please refer to the following GSAS webpages:
http://gsas.columbia.edu/content/formatting-guidelines

- Preliminary Pages
- Abstract
- Acknowledgments
- Table of Contents
- List of Tables
- List of Figures

- Chapter I: Introduction/Problem or Purpose Statement
  - Same as proposal. Sometimes add an outline of remaining chapters.

- Chapter II: Review of the Literature/Setting the Context
  - Detailed discussion of the literature reviewed for the dissertation
  - Summarizes topical areas as appropriate
  - Discusses theoretical conceptual framework as appropriate
  - Summary of the state of the knowledge surrounding the specific problem/topic

- Chapter III: Methodology
  - Research design description
  - Description of setting and sample/participants
  - Procedure for data collection and analysis
  - Human subjects protection

- Chapter IV: Research Findings/Results*

- Chapter V: Summary, Discussion, Conclusions, and Recommendations
  - Summary of Study
  - Discussion of results
  - Implications
  - Limitations
  - Recommendations for future research and practice/policy

- References
  - Those used in text

- Appendix
- Instruments
- Pertinent communications
- Consent forms
- Supporting documentation and tables (e.g. pilot data)

*Reports of Qualitative studies often combine results and discussion in one or more chapters that are written as a logical narrative.
APPENDIX J.2: DISSERTATION OUTLINE—A GUIDE TO PUBLICATION FORMAT OPTION FOR DISSERTATION

Students have the option of a second format which comprises a minimum of 3 publishable papers. This format for a dissertation, with the supervision of their faculty mentor, will prepare students to write manuscripts that are focused and suitable to be published in scientific journals. The guidelines for the publication format dissertation option are as follows:

Format:

1. An introductory chapter that provides a well-developed argument for the specific aims of the dissertation and explains why the dissertation is a significant contribution to the field of nursing. It should build on theories, methods and arguments in the field, as well as the biology, environmental, psychological and socio-historical contexts of the disease or condition and any other material necessary to build a logical and persuasive argument.

2. A systematic or integrative literature review and justification of the topic. It must meet the methodological standards of a systematic or integrative. Guidelines pertinent to systematic and integrative reviews such as Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA) should be used (http://www.prisma-statement.org/).

3. A minimum of 2 additional manuscripts will be determined at the dissertation proposal defense. Each manuscript will be a stand-alone chapter in the final dissertation. If the manuscript is published prior to the dissertation defense, it will be included as an Appendix.

4. A final chapter that integrates and discusses the findings of the papers. It should include discussions of the conclusions of the research in the context of existing evidence and implications for policy, practice, and research.

5. An appendix including all supplementary materials (e.g., published papers, IRB approval, instruments) that may be excluded from manuscripts and tables. Manuscripts prepared for submission, in press, or published should be included in the Appendix if they differ (for example, in length, scope, or format) from the chapters.

Supervision and student enrollment:

The work must have been done under the supervision of a Columbia University School of Nursing (CUSON) faculty member, and the publications must have been submitted while the student was enrolled as a doctoral student at CUSON.

Authorship:

The doctoral student must have had the primary role in the design and execution of the dissertation studies, in the analysis, in the interpretation of the data, and in the writing of the papers. Papers submitted in publishable format may have multiple authors with the candidate as first author and the sponsor or others who have contributed as co-authors, in accordance with The Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly work in Medical Journals (International Committee of Medical Journal Editors). (http://www.icmje.org/recommendations/).
**APPENDIX K: APPLICATION FOR THE DISSERTATION DEFENSE**

Click [here](#) for link to form

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**Application for the Dissertation Defense**

This form must be completed and submitted to GSAS by the department or doctoral program.

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**DOCTORAL PROGRAM:**

- IGS

**PROVISIONAL DISSERTATION TITLE:**

* Students must also enter this "Diploma Address" into SODI, separate from all other addresses. This is where the diploma will be shipped.

**CHAIR OF EXAMINATION**

- Email:
- Phone:
- UNI:
- Department:

**DISSERTATION SPONSOR**

- Email:
- Phone:
- UNI:
- Department:

**THIRD EXAMINER (must be insider)***

- Email:
- Phone:
- UNI:
- Department:

**FOURTH EXAMINER (insider or outsider)***

- Email:
- Phone:
- UNI (if applicable):
- Department:

**FIFTH EXAMINER (must be outsider)***

- Email:
- Phone:
- UNI (if applicable):
- Department:

**For GSAS use**

- Intent
- Degree: MPhil, (date: ___)
- Dist. reg.
- ITXT
- COMM
- Blue folder
- Notices emailed

**PRINTED NAME AND TITLE**

**DATE OF DISTRIBUTION:**

**I recommend this student for the dissertation defense and nominate the above-named examiners to the defense committee.**

**DEFENSE WILL TAKE PLACE ON:**

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**APPROVED SPONSORS**

- [X]

**DATE**

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[Click here](#) for link to form
APPENDIX L: PROQUEST UMI, ACADEMIC COMMONS & COPYRIGHTING THE THESIS

After you have successfully defended your dissertation, your last remaining academic requirement is to complete your dissertation deposit.

Your examining committee may have directed you to make minor revisions to your dissertation. Once you have made these revisions, you are ready to begin the deposit process.

You will need to obtain from the PhD Office a signed Approval Card that certifies you have made all required revisions and that the dissertation has been approved for deposit by your sponsor and by your doctoral program. This card tells GSAS that any revisions given during the defense have been completed, and that the dissertation is ready to be deposited. The card, which is signed by your sponsor and the Program Director, must be submitted to the Dissertation Office before you can deposit your dissertation.

Please visit this page for specific details about depositing your dissertation. Be sure to carefully review all the information (including additional FAQ pages) before beginning the deposit process and uploading your thesis.

If your manuscripts have not yet been accepted for publication and are under review, you may consider embargoing your dissertation. Discuss this option with your advisor. Please visit this page for information about the process of embargoing your dissertation.

For information about copyrighting articles before including them in final dissertations, refer to “Considerations regarding the copyright of accepted/published articles before they go into final dissertations.” This can be found in the CourseWorks site under “Resources\Dissertation Info.”