PhD PROGRAM

STUDENT HANDBOOK

2014-2015
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PREFACE

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 successful completion of both a master’s of philosophy degree (MPhil) and a dissertation defense. The School of Nursing defines and administers the programmatic policies of the MPhil in Nursing 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 PhD handbook. 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 PhD Program Office is located in Suite 239 of the School of Nursing (Georgian Building), 630 W. 168th Street, New York, NY 10032. (FAX: 212-305-3659).

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The Dissertation Office is located in 107 Low Memorial Library, 535 West 116th Street, and is open Monday through Friday from 9:00 AM – 5:00 PM. (FAX: 212-854-2863).


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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. Your advisor, the PhD Program Director, Program Administrator, and the Office of Student Services are all available to answer questions not covered in these documents. Please refer to Student Handbook 2014-2015 (http://nursing.columbia.edu/sites/default/files/student_handbook_2014-2015.pdf) 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 (http://cumc.columbia.edu/student/health/index.html) and School of Nursing Student Handbook (http://nursing.columbia.edu/sites/default/files/student_handbook_2014-2015.pdf) for details about medical services, mental health services, the student health insurance plan and enrollment and waivers.
DESCRIPTION, PURPOSE AND OBJECTIVE

The PhD program is a 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.

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

1. Design, conduct, 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

EXTERNAL BSN ENTRY INTO THE PhD PROGRAM

The pre-requisite for entry into the PhD Program in Nursing is a Bachelor’s degree in nursing. Applicants for post-BSN entry must have career goals that are consistent with the purposes of the PhD program and demonstrated aptitude for research. A student with a Baccalaureate degree in nursing will have a course plan tailored depending upon their professional background and individual educational experience and accomplishments.

RATIONALE FOR CHANGE IN POLICY

The changes are in line with the AACN Future of the Research-Focused Doctoral Program in Nursing Pathways to Excellence, Pathway 2.

The previous 30 credits minimum is not required by the Graduate School of Arts & Sciences (GSAS).

The PhD degree does not require licensure and therefore the NYS Department of Education does not govern the program’s requirements.
ADMISSION CRITERIA FOR ALL APPLICANTS

All applicants must possess a New York state nursing license or be eligible to receive a license. Satisfactory GRE scores will still be required.

Applicants entering the program will still be required to take a minimum of 47 credits for completion of the PhD Degree in addition to any other credits that are needed based on their individual educational needs.

ADVISEMENT

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. The 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 ensure that the student enrolls in courses consistent with good scholarship, special interests and career goals including the topic and method of dissertation research; evaluating transfer credits; general program and departmental degree requirements; and filing the official program plan of study.

The advisor is expected to meet with the student on a regular basis. 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 turn to them for consultation as appropriate.

In the event a student wishes to change advisors, 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 on http://gsas.columbia.edu/dissertation-sponsors.

PREREQUISITES AND EXPECTED PROFICIENCIES AT THE TIME OF ENROLLMENT

It is expected that at the time of enrollment students will have successfully completed graduate course work in nursing theory, research, and health policy. Students not meeting these requirements may complete these credits at Columbia University before progression to, 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.

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 in late August as part of the new student orientation.

POLICY STATEMENT REGARDING PHD FINANCIAL AID

Columbia University School of Nursing offers a generous financial aid package for full-time PhD students during their first two years of study. This financial support covers up to 37 doctoral credits which includes two thirds of the credit load required for the degree and an annual living expense stipend for the first two years of the program. 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, funded PhD students are expected to cover the cost for the remaining one third of the credit load and provide for their own living expenses during this time. Completion of the PhD program (coursework and dissertation research) takes an average of 4 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 research-related activities of about 20 hours per week. As per PhD departmental policy, a recipient of the financial aid package may not engage in outside work activities that exceed 20 hours/week. Applicants who are employed full time in a professional position may be eligible to receive some type of tuition assistance but will not be eligible for a living expense stipend.

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 students who are interested to pursue a PhD must have financial resources to cover tuition and living expenses. For more details about this, visit the International Students and Scholars Office at http://isso.columbia.edu/AVC/supporting-documentation.

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; and 2) Nursing practice takes place within and is influenced by a complex array of policies and systems of care delivery. Of particular 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, and 3) Elective and application courses through which the student develops additional expertise in their area of interest.
4) Human subjects training. The minimum number of pre-dissertation course credits required is 37 beyond the BSN or master’s degree.

- Upon completion of core coursework, the student must successfully complete a qualifying examination with written and oral components.
- Upon successful completion of required coursework and qualifying examination, the student is awarded a master’s of philosophy degree. The PhD Program Director’s Office in the School of Nursing applies on behalf of the student to GSAS for the M.Phil degree.
- Dissertation work requires a minimum of 4 credits per semester, generally for 4 semesters (16 credits). Altogether, students must complete a minimum of 47 credits (37 credits pre-dissertation, 2 credits dissertation seminar, and dissertation credits 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**: at least one regional or national research meeting should be attended such as those sponsored by the ENRS, AHSR, AHRQ, NCHS, NINR, CDC or others.

If you have any questions about these expectations and how you can meet them, please consult with your advisor. Periodic brown bag discussions open to all PhD students are scheduled as needed by the Director for discussions of questions and issues related to the doctoral program.

**REQUIRED COURSE WORK**

**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 will examine 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)
   In this foundational course students will study the links between theory and the psychosocial and biophysical measures used in nursing research. Students will 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 (24 credits) comprise this component of the program:

1. **P6103: Introduction to Biostatistics** (3 credits; cross-registered in the School of Public Health) All Nursing students must cross register for this 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. During the course, 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 will proceed 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, in this course 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. An introductory health policy course at the graduate level (e.g. N6920 Health and Social Policy) is required as a prerequisite to this course, but can be taken concomitantly.

7. **N9506: Research Synthesis (2 credits)**
   This seminar is designed to strengthen the student’s ability to synthesize information gained in doctoral coursework and to apply this integrated knowledge to common challenges in the evaluation of a body of work relevant to nursing scholarship. The content is designed to assist in codifying the student’s area of dissertation interest, and serve as the basis for the early chapters of the dissertation that provide a critical literature review and rationale for aims, and hypotheses of the proposed work.

8. **N9260: Building Interdisciplinary Research Models (2 credits)**
   This course will introduce the 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. Replaces N9502 Guided Study in Research Methods, which is now a nursing “elective” (does not replace the requirements for external electives).

9. **N9505: Research Practicum (2 credits; may be repeated)**
   One individualized practicum in research (N9505, 2 credits) 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, but might include a search and review of relevant literature, data collection, data analysis and/or grant preparation. These are summarized in the Contract for Practicum Experience (See Appendix B) which is signed by both student and faculty member prior to beginning the experience.

**ELECTIVE COURSES**

This component includes a minimum of 9 credits of electives/cognates (in addition to an advanced statistics course). This component allows the student to develop expertise in areas of scholarship that support the student’s selected focus area, dissertation topic, or personal scholarly interests. The advisor plays an important role in helping 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, N9510 should be taken for this purpose.) The need for additional courses is determined by the advisor and/or dissertation committee.

**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: (1) research
misconduct; (2) “everyday” ethical issues faced by biomedical scientists; (3) the use of laboratory animals in scientific research; (4) human research participants and scientific research; (5) authorship practices in scientific publications; (6) conflicts of interest arising from scientists acting as policy consultants and experts; (7) data sharing and data secrecy; (8) mentoring; (9) research with stem cells, and (10) scientists as citizens. Course sessions will include lectures, discussion periods, and analyses of case studies.

d\url{http://www.cumc.columbia.edu/dept/gsas/ac_programs/rcr-crse.htm}

RASCAL Training is required for all students. The following two courses can be taken online at the following website: \url{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, N9353 Advanced Methods in Health Services Research and Policy Analysis and N9506 Research Synthesis all include an objective about Human Subjects.

**Dissertation Phase Courses**

**N9901: Research Residency (0 credit)**
This course is intended for PhD students who are engaged in relevant scholarly activities that are not associated with the required course sequence. Such activities must accrue more than 20 hours/week. Students must also register for Research Residency in order to maintain full time status when credits drop below 9.

**N9502: Guided Study in Research (3 credits)**
The student will decide, with the research advisor or selected others, on an individually determined study of statistics and research methods based upon the selected focus of dissertation study. Selected courses throughout the University may be used to satisfy this requirement.

**N9840: Dissertation Research (4-8 credits/semester)**
All students must register for at least 4 dissertation credits each semester until the dissertation is complete (typically 4 semesters).

**N9900: Dissertation Seminar (2 credits-may be repeated)**
This seminar will focus on skills needed to complete the dissertation process including site access, IRB regulations, proposal development, and writing of dissertation. Students begin to develop and refine their research ideas within an atmosphere of collegial/peer review and support. Prerequisite: completion of qualifying examination.

**Research and Teaching Experiences**

During the first 2 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 GRA externally funded grant position. Generally research experiences are with the student’s advisor but may also be negotiated with other faculty members and 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 getting feedback on your research work. Students should proactively discuss research opportunities with their advisor 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 may vary in scope and time commitment.

TEACHING ASSISTANTSHIPS

During one semester, PhD students 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 but often include leading small group sessions, course grading, and leading review sessions prior to exams.

As part of the TA assignment process you will be asked to:
- Send a current CUSON transcript to CUSON_Acad@cumc.columbia.edu
- Send a resume or CV to CUSON_Acad@cumc.columbia.edu
- Submit an online application

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 some tuition compensation. These teaching assistantships are available to doctoral and graduate (Master’s) students.

TA compensation is provided in the form of tuition exemption. Duties may include teaching, laboratory supervision, participation in faculty research, and other related activities. Each semester, PhD students interested in a TA position must apply to be a TA by completing the following:
- Send a current CUSON transcript to CUSON_Acad@cumc.columbia.edu
- Send a resume or CV to CUSON_Acad@cumc.columbia.edu
- Submit an online application

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.

Any questions regarding this process may be sent to CUSON_Acad@cumc.columbia.edu.

TA compensation will affect your financial aid. Teaching Assistantships are considered grants and will be added to your financial aid package. This may decrease your loan eligibility and portions of your loans may need to be returned to your lender. If offered a TA position, you must contact the Office of Financial Aid to discuss how this will affect your current financial aid package.
GRADING POLICIES

All PhD students are expected to maintain a grade point average of B or better (≥ 3.0 on a 4 point scale) throughout the program, as calculated across all course work being taken to meet degree requirements. Please refer to the School of Nursing Student Handbook for policies regarding academic standards.

All PhD courses use letter grades with the exception of N9901 Research Residency.

CROSS REGISTRATION PROCESS

In order for doctoral nursing students to cross register for classes offered at Mailman School of Public Health, it is necessary to wait until the Drop/Add period for the semester (first day of classes), and then follow the following procedure:

1. Go to the School of Nursing, Office of Student Services in the Georgian Building to see Tania Quispe or Erica Diehl (on the 1st floor) and obtain a Cross Registration form.

2. Have the course approved by the PhD Program Director and obtain her signature on the bottom of that form.

3. Go to the School of Public Health website and print out a “Cross Registration Application”.  
   http://www.mailman.columbia.edu/sites/default/files/Cross%20registration%20form%208-12-14_0.pdf

4. Take that application to the Department offering the course (Health Policy and Management, Biostatistics, etc.) in the Mailman building, and get the signature of either the Department Course Coordinator or the Professor, giving you permission to enter the class. The location of each department coordinator is provided on the 2nd page of the Mailman cross registration form.

5. Return with the form to Student Services office in the Mailman Building (1st floor turn right as you pass the security guards) and get the Dean’s signature.

6. Return to the School of Nursing, Office of Student Services to obtain the Dean’s signature (Dr. Honig) or Tania Quispe’s signature at the bottom of that form.

7. Take both of these signed forms and go the Registrar’s office on the first floor of the Black Building to add the course to your semester schedule.

PLAN OF STUDY

All degree requirements (course work, qualifying exam, dissertation proposal defense, dissertation defense) must be successfully completed within seven (7) years (post MSN) following matriculation.

The full-time plan is provided as the template and time frame within which program requirements can be met. 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 shown
contains the minimum number of dissertation research credits (4-8/semester) and non-nursing elective/cognate credits (9). Students typically take additional dissertation credits, and may find it necessary to take additional specialty/cognate/elective credits to provide the essential background for the dissertation research.

Students are required to maintain full-time enrollment from the time of initial enrollment until successful defense of the dissertation proposal. Full-time enrollment is defined as 9 credits or more during MPhil coursework. Full time student status can be maintained by registering for the “0” credit course N9901 Research Residency. Please ask the Program Administrator if you have any questions about maintaining full time status.

During summer semester students must register for Research Residency to maintain full-time status.

Students do not register for Dissertation Seminar (N9900) or Dissertation Research (N9840) until after they have completed all course requirements and the qualifying examination.

Full-time status during dissertation phase is a minimum of 4 credits.

NOTE: Those students with an external, federal dissertation research award by NIH or AHRQ, and have defended their dissertation prior to the first day of the first semester, may waive out of Dissertation Seminar (N9900) with permission from the PhD Program Director. A letter explaining and asking to waive out would be required.

N9901: Research Residency (0 credit)
The course is intended for PhD students who are engaged in relevant scholarly activities that are not associated with the required course sequence. Such activities must accrue more than 20 hours/week.

TRANSFER CREDITS

A maximum of 6 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 will be considered for exception to this guideline.

COLUMBIA UNIVERSITY STUDENT RESOURCES

Training

Students may also take online tutorials. The Columbia Libraries subscribe to a service called Lynda.com (http://www.lynda.com/portal/columbia) where they can learn to use Word, Excel and Endnote.

An online tutorial for APA style can be found at: http://isites.harvard.edu/icb/icb.do?keyword=apa_exposed

Office of Scholarship and Research

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 webpage for more information and available resources. Link to the Office of Scholarship and Research: http://nursing.columbia.edu/research/office-scholarship-and-research-development-osr

ADDITIONAL STUDENT RESOURCES

Additional resources for Columbia University students can be found at http://www.columbia.edu/content/students.html

These resources include:

- **Everyday Tools:** computer support, transportation, maps and student services online (SSOL)
- **Financial Tools:** Student Financial Services, Graduate Student Financial Aid
- **Events & Organizations:** Student Organizations, University Event Management, Lerner Hall, Athletics
- **Academic Tools:** Academic Calendar, Courseworks, Directory of Classes, University Registrar
- **Health & Safety:** Make a Health Appointment, Health Services, Public Safety, Preparedness
- **Campus Services:** Dining, ID Center

**STUDENT E-MAIL**

Students are expected to have e-mail access, and to regularly access email through the individual accounts that are established through the University computing center at the time of enrollment into the program.

**PHD STUDENT OFFICE SPACE**

All PhD students are assigned a work space. Students who are working as assigned GRAs or appointed as NIH trainees working on a grant will be assigned a desk and computer by their advisors. Please speak with your mentor or the Program Director if you have any questions.

Students who are not working as GRAs or NIH trainees may bring their own devices to their assigned work space. There is wireless internet access throughout the School of Nursing for use on your personal laptop or tablet.

The Student Nurses’ Student Lounge is located on the second floor in Room 252. There is a
computer room and a lounge area as well as tables for meetings.

**Seminars**

Many seminars are sponsored by the PhD program, the School of Nursing and 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 within the School of Nursing:

- **Doctoral Research Seminar**: 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, and students, faculty and visiting scholars from other programs. Students are expected to attend this seminar throughout their program. **Doctoral Research Seminars are held on Tuesdays at 12 noon.**
  **Location:** Columbia University School of Nursing, 617 West 168th Street, First Floor Student Lounge.

- **Center for Health Policy Seminar**: The Center for Health Policy (CHP) works with institutional partners at the local, state, and national levels to develop and evaluate health policy initiatives as well as translate research findings into effective policies. The CHP sees research as an integral component of its mission. Center faculty engage in health services research that broadens students’ educational experiences and expands the state of knowledge about how health services systems work. Faculty research on issues related to the organization, delivery and cost-effectiveness of health services is fundamental to the quality of the program. The dissemination and translation of new knowledge through multiple sources contributes to efforts to improve the availability, affordability, and effectiveness of health services and develop policies that reinforce these objectives. **Center for Health Policy Seminars are announced throughout the academic year.**
  **Location:** Columbia University School of Nursing, 617 West 168th Street, First Floor Student Lounge.

- **CIRI Seminars**: The Center for Interdisciplinary Research to Prevent Infections (CIRI) embraces a broad mission to further research on preventing all types of infections in a variety of community and clinical settings. **CIRI Seminars are held the first Thursday of the month from 12-1pm (Sept-June)**
  **Location:** Columbia University School of Nursing, 617 West 168th Street, First Floor Student Lounge.

- **Irving Institute for Clinical and Translation Institute**: The Institute offers a Comparative Effectiveness Research (CER) and Patient-Centered Outcomes Research (PCOR) Monday Lunch Seminar Series with a variety of topics. Information can be found at [http://irvinginstitute.columbia.edu/news/seminars.html](http://irvinginstitute.columbia.edu/news/seminars.html)
INTRANET AND FORMS LIBRARY

Staff Directory
The intranet also has a staff and faculty directory which can be found here:

Please refer to the Columbia University School of Nursing intranet for forms relating to travel to present scholarly work and Travel and Expense reimbursements.
http://vesta.cumc.columbia.edu/nursing/intranet/formsAll.html

TRAVEL AND BUSINESS EXPENSE REPORT

The Travel and Business Expense Report form and instructions for completion can be downloaded from the Business and Travel Expense section of the Columbia University webpage. Please remember to keep all receipts when you travel; they are required for submission as part of the Travel and Business Expense Report. A sample Travel and Business Expense Report can be found in Appendix L.

Once completed and signed, the report must be submitted to the Program Administrator who will then submit the form to the Department of Finance. Please contact the PhD Office if you have questions.

CENTERS AT THE SCHOOL OF NURSING

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

The Center for Health Policy
Director: Pat Stone, RN, PhD, FAAN
The Center for Health Policy, under the directorship of Patricia Stone, PhD, leads research at the School of Nursing as they work with their interdisciplinary colleagues within the University and across the nation, to generate knowledge that will improve the quality and safety of our health systems.

The Center for Evidence-Based Practice in the Underserved
Director: Sue Bakken, RN, FAAN, DNSc
Funded by the National Institute for Nursing Research (P30NR010677), and under the directorship of Suzanne Bakken, DNSc, the CEBP builds upon many years of experience and productivity, interdisciplinary collaboration, commitment to research for underserved populations and unique strengths in informatics and economic analysis.

Center for Interdisciplinary Research to Prevent Infections (CIRI)
Director: Elaine Larson, RN, PhD, FAAN, CIC
The Center for Interdisciplinary Research to Prevent Infections (CIRI), under the directorship of Elaine Larson, PhD, is supported by the School of Nursing and since 2007, 15 projects affiliated with CIRAR have been externally funded (NINR, NIH, CDC, AHRQ, NIAID, NCHMD and P-NICER). The Center prepares biomedical researchers and others in interdisciplinary research with a focus on the prevention and control of antimicrobial resistance.
The Center for Children & Families
Director: Mary W. Byrne, Ph.D., MPH, FAAN
The Center for Children and Families, under the directorship of Mary Byrne, PhD, provides the infrastructure to inspire, promote, and integrate culturally sensitive research and practice that will ensure optimum health for children and their families.

CLINICAL RESOURCES
In addition to New York Presbyterian Hospital and Harlem Hospital, the school has major clinical affiliations with New York City Health and Hospitals Corporation, Memorial Sloan-Kettering Cancer Center, St. Luke-Roosevelt Hospital Center, Mt. Sinai Hospital, Lenox Hill Hospital and Montefiore Hospital as well as approximately 200 other clinical sites.

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 most of these centers and institutes. Of particular interest to a PhD student would be the institutes and centers listed below:
- Irving Institute for Clinical and Translational Research
- INCHOIR (International Center for Health Outcomes and Innovative Research)
- Women's Center
- American Law Institute
- Center for the Study of Alzheimer's Disease
- Center for the Behavioral and Clinical Study of AIDS/HIV
- Center for Geriatrics and Gerontology
- Center for Law and Economics
- Center for Neurobiology and Behavior
- Center for Research in Career Development
- Center for the Study of Society and Medicine
- Center for Human Rights
- Institute for Human Nutrition
- Institute for Study on Women and Gender
- Legislative Drafting Research Fund

QUALIFYING EXAMINATION
The qualifying exam is a significant, integrative assignment that assesses the student's ability to process and utilize information regarding relevant content, concepts, framework and research methods learned in course work 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 process and, in collaboration with each qualifying student’s sponsor, grade the exam for all of the exam candidates in that year.

**ELIGIBILITY FOR EXAM**

Note: this information pertains to cohorts entering prior to 2014.

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

- N9001 Social and Intellectual Foundations of Nursing (or equivalent course: Philosophy of Science)
- P6103 Introduction to Biostatistics
- N9353 Advanced Methods in Health Services Research and Policy Analysis
- N9260 Building Interdisciplinary Research Models
- N9265 Interdisciplinary Research Seminar
- N9355 Quantitative Methods
- N9352 Qualitative Research Design and Methods
- N9351 Concept Development and Measurement of Clinical Phenomena in Nursing
- N9505 Research Practicum
- G4010 Responsible Conduct of Research
- P8199 Applied Regression

In addition, student must be registered in N9506 Research Synthesis

NOTE: To ensure eligibility for the Qualifying Examination, students must complete an application (see Application for Qualifying Examination form Appendix C). The application must be signed by the student’s advisor and the Director of the PhD program and then submitted to the Doctoral Office. The date the application is due will be announced by the PhD Program office yearly. When initially submitted approval will be given in anticipation of satisfactory completion of N9505 Research Synthesis and this will have to be verified prior to beginning the Qualifying Examination.

NOTE: Any incomplete grades must be removed before submitting the Qualifying Examination. Students must complete the Qualifying Examination within two (2) semesters of completing all required course work. 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 end of January of the Spring semester following consultation and approval of topics with individual dissertation sponsor (Appendix K) and QEC. The written component must be finished and submitted by the assigned date in mid-June. The examination may also be offered in January in rare circumstances and dependent on student need. Dates for the completion of the written and oral portions of the examination are determined by the QEC. The written component will be submitted by all applicants on a date in approximately mid-June designated 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.
Qualifying Examination Timeline for June Exam*

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| Late December/Early January | • Students for completion of exam in June are identified and notified by PhD Program Director.  
  • All students planning to take exam must have filed Qualifying Examination Approval form with the PhD office.  
  • Students will meet with individual sponsors 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.  
  • The Qualifying Examination Committee (QEC) will meet with the students and review the purpose, structure, timeline and student expectations for the examination.  
  • Qualifying Examination Application Form is in the PhD Student Handbook. See Appendix C (revised).  
  • Face to face or email discussion between qualifying students and their individual sponsors will take place until agreement is reached on scope of content for each paper. |
| End of January              | • Sponsor 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 Appendix K.  
  • Students should begin writing the written portion of The Qualifying Examination independently for final submission in June. |
| Mid-June                    | • Qualifying—written component completed and submitted to QEC  
  • One due date in June selected for all students by QEC. |
| Late June (1-2 weeks post written exam) | • Students move to the oral exam with QEC  
  • Approximately 30 minutes scheduled for each oral exam. |

*Qualifying Examination Timeline will change for future cohorts starting with Fall 2014 cohort.

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 January).

CODE OF CONDUCT

PhD students are expected (honor system) to independently prepare the written assignments associated with the Qualifying Examination. Ongoing advisement with sponsor is expected but 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.
WRITTEN COMPONENT

The written component of the Qualifying Examination is comprised of two comprehensive papers. One 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 or a systematic review. The decision for the type of review will be made by the student with input and approval of 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 use APA or other established format, in anticipation of subsequent preparation for submission for publication. Neither submission nor publication are required for the Qualifying Examination.

ORAL COMPONENT

All students move to the oral examination within 1-2 weeks 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 each member of the QEC. Feedback on the written submission is also provided to the QEC by the student’s sponsor. The QEC review is first conducted separately by each member 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.

The Qualifying Exam is not given a letter grade. Students earn either a pass or fail. No more than 3 days after the oral phase of the examination, the PhD Program Director informs each student in writing of the committee decision regarding grade of pass or fail on the qualifying examination.

In rare instances 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.

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 sponsor will monitor the progress of the student in this remediation plan. Students who do not pass the examination may retake the
examination once, at the next scheduled time. Those students who receive a failing grade for the examination on the second attempt will be dismissed from the program.

QUALIFYING EXAM PROCESS

Written Examination

Oral Examination

Pass

M.Phil: Proceed to Doctoral Work

Fail

Retake Qualifying Exam

Pass

M.Phil: Proceed to Dissertation Work

Fail

M.Phil: Exit Program
APPLYING FOR THE MASTER OF PHILOSOPHY DEGREE

The Master of Philosophy degree (M.Phil.) is awarded upon successful completion of the qualifying examination. The student must submit an M.Phil. Degree application to the PhD Program Director (Appendix D.1) 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.

M.Phil. Degrees:  [http://gsas.columbia.edu/content/dates-and-deadlines](http://gsas.columbia.edu/content/dates-and-deadlines)

Candidates who have completed all the necessary requirements should apply through the PhD Program Office in order to receive the M.Phil. degree. Applications for the M.Phil. degree can be filed at any point in the calendar year. Degrees are conferred three times during the academic year—in October, February, and May. Convocation and Commencement ceremonies are held in May.

For students proceeding to PhD candidacy, the M.Phil. application form, once signed by the Program Director is then forwarded by the Program Administrator to the Dissertation Officer in the GSAS Dean’s Office. As is the case for other CUMC PhD Programs, there is no language proficiency requirement for the Nursing PhD degree.

NOTE: It is a GSAS expectation that students submit their dissertation proposal within 6 months after completion of the M.Phil. degree.

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 Ph.D. degree.  
[http://gsas.columbia.edu/dissertations](http://gsas.columbia.edu/dissertations)

The Dissertation Office is located in 107 Low Memorial Library, 535 West 116th Street, and is open Monday through Friday from 9:00 AM – 5:00 PM. (FAX: 212-854-2863).  
[http://gsas.columbia.edu/dissertations](http://gsas.columbia.edu/dissertations)

Julissa Peña  
Academic Affairs Manager  
jpena@columbia.edu  
(212) 854-2866

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

DISSERTATION SPONSOR

http://gsas.columbia.edu/content/faculty-sponsorship-dissertation

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). The faculty member must be involved on a continuing basis in doctoral instruction and research. 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 proviso 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 at http://gsas.columbia.edu/dissertation-sponsors#nurs. 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 should 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 proposal
- Proposal defense
- Acceptance of proposal
- Completion of the research
- Application to defend dissertation and selection of defense committee
- Defense of dissertation
- Final editing
- Final filing of dissertation

DISSERTATION PROPOSAL

Students commence work on planning the dissertation research and preparing the proposal before taking the qualifying examination, often in conjunction with course assignments and independent study experiences. Students should plan to submit the dissertation proposal to the dissertation committee within six months of completing the qualifying examination. The student generally registers for Dissertation Seminar in the semester immediately following the qualifying examination, and uses the seminar as a resource in developing the proposal.
NOTE: Those students with an external, federal dissertation research award by NIH or AHRQ, and have defended their dissertation prior to the first day of the first semester, may waive out of Dissertation Seminar with permission from the PhD Program Director. A letter explaining and asking to waive out would be required.

Preparation of a dissertation proposal is the first step in the process of conducting dissertation research. The proposal 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.

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

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

b) The proposal is written in the format of a federal (e.g., National Institutes of Health) grant submission to include the following components: specific aims, background, significance and innovation, preliminary studies (if any), research design and methods, human subjects protections and any other relevant assurances, and literature cited.

American Psychological Association (APA) format should be used for headings and citation references. At the discretion of the dissertation committee, the literature review for the proposal can be less comprehensive than that included in the dissertation; but should be presented in sufficient detail to establish the intellectual background and context for the research.

FORMATTING OF DISSERTATION

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 proposal development and the conduct of the research. Ordinarily the dissertation advisor reads and makes suggestions about preliminary drafts of the proposal before the “final” version of the proposal 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 proposal defense.

The dissertation proposal defense is a formal meeting of the dissertation committee during which the student is examined about the proposal 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 proposal, 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 proposal defense includes assessment of the quality and feasibility of the proposed research, and formal action to approve and/or recommend changes in the proposal. Ordinarily the dissertation proposal 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 proposal. The student is then informed of the committee’s decision.

Evaluation of the student’s performance in the dissertation proposal 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 proposal defense on first attempt are permitted to submit a revised copy of the dissertation proposal 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 proposal defense a second time or who does not make the required changes and re-defend the proposal within the designated time frame will be terminated from the PhD program.

The results of the dissertation proposal defense are reported to the Director of the PhD Program using the form in Appendix E, which can be downloaded from the GSAS website:
http://gsas.columbia.edu/sites/default/files/GSAS-proposal.pdf

Dissertation proposals shall be approved in writing by the dissertation committee (Appendix E) following a formal Proposal Defense. The approved proposal constitutes a “contract” with the student about what will be required for the dissertation research. Any unanticipated major modification to the proposal must be approved in writing by the entire committee.

A copy of the form approving the dissertation proposal (Appendix E) including the title of the proposal and committee shall be sent to the Office of the Director of the PhD Program.

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.

Because the PhD in Nursing degree 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 in 107 Low Memorial Library and on the GSAS website at
http://gsas.columbia.edu/dissertations

IRB APPROVAL

Following approval of the dissertation proposal, the student is expected to seek Institutional Review Board (IRB) approval (if indicated), 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/New York-Presbyterian Hospital IRB, as well as from IRBs of all institutions/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)**

Any 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 at

2. Consent forms, HIPAA forms, and IRB forms are completed through Columbia
   University’s Research Administration System (RASCAL),
   [https://www.rascal.columbia.edu/](https://www.rascal.columbia.edu/)

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 proposal
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.
     - Designate the Associate Dean for Research (Larson) as the administrative
       approver of the proposal for the School of Nursing

**THE STEPS IN THE DISSERTATION DEFENSE PHASE**

The steps in the Dissertation Defense phase include:
- Nominations and Appointments 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 at:
[http://gsas.columbia.edu/content/nomination-and-appointment-defense-committee](http://gsas.columbia.edu/content/nomination-and-appointment-defense-committee)

It is important to note that:
1. The student must not be involved in the selection of committee members; this is the
   role of the sponsor, working with the Program Director;
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 Administrator.

REGISTRATION

REGISTRATION FOR U.S. STUDENTS

U.S. citizens must be registered during the term (including summer) in which they distribute the defense copies of the dissertation (as approved for defense by the sponsor) to the five approved defense committee members. (See Distributing Dissertation Copies for detailed information.)

Provided that all required Residence Units are paid, students who are distributing and/or defending must register for either Matriculation & Facilities or Extended Residence. Students who are defending while on teaching or research appointments, or who are also completing pre-dissertation degree requirements, must register for Extended Residence; other students should register for Matriculation and Facilities. These rules apply to the summer as well as to the fall and spring semesters. The semester in which distribution occurs is the last semester in which a student is permitted to register. For information about registration requirements for the distribution of the dissertation and distribution deadlines, please visit the GSAS 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 term (including summer) in which they distribute the defense copies of the dissertation (as approved for defense by the sponsor) to the five approved 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 their registration requirements.

APPLICATION TO SUBMIT BEFORE DEFENDING

The Application for Dissertation Defense (Appendix H: http://gsas-2l12p-01.gsas.columbia.edu/sites/default/files/GSAS-defense.pdf) is due at the time of distribution and at least four weeks prior to the dissertation defense.

The Application for Dissertation Defense must be filled out by the student. The organizer of the committee enters the names of the defense committee members, obtains the required signatures, and gives the form to the Program Manager for submission to the GSAS Dissertation Office. After receiving the Application for Dissertation Defense the Dissertation Office confirms that the candidate has received the M.Phil. degree. The Dissertation Office also confirms that the committee, as proposed by the department/program, is in accordance with GSAS rules on committee composition.

SCHEDULING THE DEFENSE

No defense shall be scheduled until the dissertation sponsor and department/program chair by signing the defense application have signified that, in their judgment, the dissertation is acceptable enough 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 the PhD in Nursing; all defenses are scheduled by the PhD Program Office. This occurs after a proposed defense committee has been approved by the Director and after copies of the dissertation have been distributed to members of the defense committee. **No student may schedule his or her own defense.**

Once the defense time, date and place have been set, this information is forwarded to the GSAS Dissertation Officer who prints the Voting Sheet and sends it, along with copyright, formatting and deposit information (described below) to the PhD Program Office (“blue folder”).

During the defense, committee members indicate their votes and sign this voting sheet, which becomes a formal record of the Graduate School. The department/program returns the signed Voting Sheet to the Dissertation Office: the voting sheet should not be given to the student. The candidate receives all deposit materials at the conclusion of the defense.

**PHD DEGREE CALENDAR**

**Dates and Deadlines:** [http://gsas.columbia.edu/content/dates-and-deadlines](http://gsas.columbia.edu/content/dates-and-deadlines)

Ph.D. 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 in their departments (see above for suggested deadlines). The defense application is used in place of a PhD degree application. When the faculty committee has certified that the student has passed the dissertation defense, the candidate must, in order to receive the degree, arrange with the Dissertation Officer (107 Low Memorial Library) for the deposit of the dissertation. Please visit: [http://gsas.columbia.edu/dissertations](http://gsas.columbia.edu/dissertations)

**DEFENSE AND EVALUATION**

The Graduate School of Arts and Sciences requires that all doctoral dissertations undergo a formal examination in which the student has the opportunity to discuss and defend the dissertation with respect to its sources, findings, interpretations, and conclusions before a committee of faculty knowledgeable in the student’s field of research. All faculty members of the defense committee are expected to be present at the defense.

The defense begins with a 20-30 minute public portion during which the candidate presents the highlights of the dissertation research. This is followed by a short question and answer session. Upon conclusion of the public portion, the closed portion of the defense begins. Only the candidate and the approved members of the dissertation defense committee may be present during the closed part of the defense.

The defense must be conducted in English.

**DISTRIBUTING DISSERTATION COPIES**

Students should note the registration requirements (above) pertaining to the distribution of the
dissertation. 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 of the dissertation for defense, the student or the department/program should give a copy of the dissertation to each of the five members of the approved defense committee. The department/program or dissertation sponsor must notify the Dissertation Office when all committee members have received their copies. This will trigger the release of the Blue Folder containing the voting sheet to the PhD Program Office. Students are not allowed to be involved in the retrieval of the blue folder from the GSAS Office.

Each 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 usually 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.**

**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 Ph.D. 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: PASS, INCOMPLETE OR FAIL**

The closed portion of the defense normally lasts one hour. The Chair of the Committee is responsible for allotting time, normally 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. The three possible decisions are Pass, Incomplete or Fail.

**Pass:**

The dissertation is deemed acceptable subject to minor revisions.

The dissertation is revised by the candidate in light of the comments made by the committee, and the revisions are supervised by the student's sponsor. Usually it is not necessary to seek approval from the defense committee for minor revisions, provided the approval card is signed by the sponsor and department/program chair. The defense committee, however, reserves the right to review those revisions. Upon completion of the required revisions, the candidate is recommended for the degree.

The candidate must complete all revisions and deposit the dissertation no later than six months from the date of the dissertation defense. A unanimous vote or a vote with only one dissent in a lower column constitutes a pass. In the case of three votes for pass and two for incomplete or fail, the voting sheet and dissertation must be submitted to the Dean of GSAS for review and the candidate should be informed that the committee's vote was not conclusive and he/she should await further communication from the Dean.

**Incomplete:**

The dissertation is deemed acceptable subject to major revisions. Upon completion and acceptance of the required revisions, the defense is considered to be successful and the vote is changed to Pass.

Where a dissertation is considered incomplete (i.e. acceptable subject to major revisions), the Chair of the Defense Committee is required to form a revisions subcommittee made up of one to three members of the original committee, whose names must be entered as such on the Voting Sheet. Usually the sponsor of the dissertation is chair of the subcommittee; the other members should be those committee members who have made the most extensive objections to the text as it stands. When the student has finished the major revisions, he or she must submit the revised dissertation to each member of the revisions subcommittee. Specified revisions must be made and the approved copies submitted to the revisions subcommittee no earlier than three months and no later than one year after the defense unless otherwise directed by the committee. If the revised dissertation is accepted by the subcommittee, each member of the revisions subcommittee must confirm acceptance in writing to the Dissertation Office. Once all these letters arrive, the Dissertation Officer changes the vote from “Incomplete” to “Pass,” and the candidate may deposit the dissertation.

**Fail:**

The dissertation is deemed unacceptable and the candidate is not recommended for the
degree. No candidate may have a second defense unless the Dean considers, upon the evidence provided, that the first one involved procedural irregularities.

**Pass with Distinction:**

After the committee determines the acceptability of the dissertation, they address the question of awarding the degree "with distinction." A vote on this question will be taken by secret ballot. For a degree to be awarded "with distinction" the ballots must be unanimous.

If the examining committee votes to award distinction, a member of the examining committee other than the sponsor must prepare a letter to the Dean outlining the qualities of the dissertation that merit the award of distinction, including the nature of its contribution to scholarship in its field and its broader significance as a contribution to learning. The Dean's Office, which acts on behalf of the Executive Committee of the Graduate School, will maintain a file of such letters of support for review.

Although there can be no rigorous quota on the number of dissertations awarded distinction, the standard of merit should be such that no more than ten percent of dissertations receive distinction. The dissertation may be recommended for distinction only by the original examining committee.

A student whose degree is awarded "with distinction" shall, upon final deposit of his or her dissertation, receive a letter of commendation from the Dean; the student's permanent transcript and the Doctoral Convocation program shall be annotated accordingly.

Questions, comments and a vote must be submitted in writing even if the absent committee member participates via conference call. The dissertation office cannot make arrangements for conference call set-up, projectors or audio equipment.

**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 provide an electronic copy of your dissertation to the PhD Office after you have deposited.** 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.

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 Doctoral 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.

**Convocation:** [http://gsas.columbia.edu/content/phd-convocation](http://gsas.columbia.edu/content/phd-convocation)

**Electronic Deposit**

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.

The deadline for depositing your dissertation is six months from the date of your defense. If you wish to receive your degree at a particular degree conferral (October, February, or May) please click here for the relevant deadlines for each conferral.

Will paper copies of dissertations be available through the Columbia University Libraries?
No. Dissertations will be made available online, through the University’s research repository, Academic Commons, which will be considered the repository of record for Columbia University’s PhD, D.M.A., D.E.S., D.N.Sc., and J.S.D. dissertations. All deposited dissertations will have a catalog entry in CLIO (Columbia’s library database).

Please visit: http://gsas.columbia.edu/content/deposit-gateway for frequently asked questions about electronic deposit.

DISTRIBUTION, DEFENSE AND DEPOSIT IN TEN STEPS
The GSAS Dissertation Website lists the steps to be taken to distribute, defend and deposit your dissertation.

Click the link to be taken directly to the GSAS Dissertation Office for forms and more information. http://gsas.columbia.edu/content/distribution-defense-and-deposit-ten-steps
All of 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, but it is your responsibility to review the more detailed policies on the Dissertation Office webpages.

1. **Get in touch with your department or program’s office.** Your program administrator should be your first stop when preparing to distribute and defend. They are 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 either to your Chair or to the Dissertation Office. 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. **Only the program director or administrator (not the student) may submit the five names of your proposed committee to GSAS for approval.** The Application for
Dissertation Defense form is signed by your department or program’s Chair or Director of Graduate Studies, 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.**

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. 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.** Please remember that during the closed portion of the dissertation examination, there should be no one present other than the five examiners and the doctoral candidate.

7. **Complete any required revisions.** Students who receive a vote of “pass with minor 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 Approval Card, given to you upon passing your defense. After your revisions are approved, the card must be signed by your sponsor, as well as your department Chair or program Director. These signatures allow you to deposit your dissertation.

9. **Deposit your dissertation with GSAS.** This is the final step to earning the Ph.D. 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 Ph.D. 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, but please note that you are not required to attend the graduation ceremonies to receive your degree. You may register to participate using the online form.
APPENDICES

Appendix A: PhD Student Program Plans of Study—2010 Cohort
PhD Student Program Plans of Study—2011 Cohort
PhD Student Program Plans of Study—2012 Cohort

Appendix B: Contract for Research Practicum

Appendix C: Application for Qualifying Examination

Appendix D: M.Phil. Degrees

Appendix E.1: Dissertation Proposal Outline—Quantitative
Appendix E.2: Dissertation Proposal Outline—Qualitative

Appendix F: Dissertation Outline—A Guide

Appendix G: Proquest Digital Dissertations

Appendix H: Application for Dissertation Defense

Appendix I: Completion of Dissertation Defense

Appendix J: PhD Program Completion of Requirements

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Appendix L: Travel & Business Expense Report
### APPENDIX A: PhD Student Program Plans of Study:

#### Typical Plan of Study for PhD Students Entering FALL, 2010

<table>
<thead>
<tr>
<th>Year</th>
<th>Term</th>
<th>Course</th>
<th>Course Credit</th>
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<td></td>
<td></td>
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<td>55-59</td>
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*Students must register under N9103 for this SPH course as part of the PhD program requirement.

*Work for the research practicum may extend into summer months, but should be registered for in Spring semester.

One elective course must be taken in advanced statistics offered by another school prior to comps exam.

@ PhD students must complete a minimum of 4 credits of N9840 Dissertation Research/semester, and be re-enrolled in this course until the dissertation is successfully defended.

Course offerings in 2010-11 are based on student enrollments and therefore subject to change.

This plan reflects the minimum requirements of 55 credits assuming four years of doctoral study; however, some students may complete the program with a minimum of 47 credits; additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.

NOTE: Full-time status during Yrs 01 and 02 requires 3 or more required courses/electives per semester (Fall, Spring), or at least 5 credits in Summer term.
**TYPICAL FOUR-YEAR PLAN OF STUDY FOR FULL-TIME STUDENTS ENTERING FALL, 2011**

<table>
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<tr>
<th>Year</th>
<th>Term</th>
<th>Course</th>
<th>Course Credit</th>
<th>Semester Credit</th>
<th>Cumulative Credits</th>
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* Students must register under N9103 for this SPH course as part of the PhD program requirement.

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NOTE: Full-time status during Yrs. 01 and 02 requires 3 or more required courses/electives per semester (Fall, Spring), or at least 5 credits in Summer term.
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Course offerings in 2012-2014 are based on student enrollments and therefore 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.

**PhD students must complete a minimum of 4 credits of N9840 Dissertation Research/semester, and be re-enrolled in this course until the dissertation is successfully defended.

This plan reflects the minimum requirements of 55 credits assuming four years of doctoral study however, some students may complete the program with a minimum of 47 credits. Additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
## TYPICAL FOUR-YEAR PLAN OF STUDY FOR FULL-TIME STUDENTS ENTERING FALL, 2013

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<td></td>
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<td>Doctoral Seminar</td>
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<td>N9355 Quantitative Methods</td>
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<td>Advanced Stats</td>
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Course offerings in 2013-2015 are based on student enrollments and therefore 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.
**PhD students must complete a minimum of 4 credits of N9840 Dissertation Research/semester, and be re-enrolled in this course until the dissertation is successfully defended.

This plan reflects the minimum requirements of 55 credits assuming four years of doctoral study, however, some students may complete the program with a minimum of 47 credits. 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 FULL-TIME STUDENTS ENTERING FALL, 2014

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<th>Semester Credit</th>
<th>Cumulative Credits</th>
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<td>N9910 Translation and Synthesis of Evidence for Optimal Outcomes</td>
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- Course offerings in 2014-2016 are based on student enrollments and therefore subject to change.
- Full-time status is 9 credits. To ensure full time status enroll in N9901 Research Residency (0 credits).
- PhD students must complete a minimum of 4 credits of N9840 Dissertation Research per semester, and be re-enrolled in this course until the dissertation is successfully defended.
This plan reflects the requirements of 55 credits assuming three years of doctoral study; however, some students may complete the program with a minimum of 47 credits; additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
APPENDIX B: 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 C: APPLICATION FOR QUALIFYING EXAMINATION FOR THE PHD DEGREE
(For Students entering prior to 2014)

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

I, ___________________________, have completed the following requisite courses with a cumulative GPA of at least 3.0 (with no incomplete grades):

N9001 Social and Intellectual Foundations of Nursing (or equivalent course: Philosophy of Science)*
N9103 Introduction to Biostatistics (cross-listed with SP6103)
N9353 Advanced Methods in Health Services Research and Policy Analysis
N9265 Interdisciplinary Research Seminar
N9355 Quantitative Methods
N9352 Qualitative Research Design and Methods
N9351 Concept Development and Measurement of Clinical Phenomena in Nursing
N9505 Research Practicum
G4010 Responsible Conduct of Research
P8199 Applied Regression

Elective course in Advanced Statistical Analysis: ______________________

I am currently registered for N9506 Research Synthesis and N9260 Building Interdisciplinary Research Models.

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

Student Signature _______________________________ Date ______________

Approved: ____________________________

________________________________________ Date: ______________
Advisor

________________________________________ Date: ______________
Director, PhD Program
APPENDIX D: APPLICATION FOR THE MASTER OF PHILOSOPHY


This section should be completed by the student and submitted to the department or doctoral program.

STUDENT'S NAME, IN ALL CAPITAL LETTERS, AS IT SHOULD APPEAR ON THE M.PHI. DIPLOMA (first, middle, last, suffix)

M ☐ F ☐ STUDENT PID/ ID NUMBER STUDENT UNI REQUESTED DEGREE DATE Month: Year:

DISSERTATION SPONSOR SPONSOR UNI DIPLOMA ADDRESS*

CO-SPOONOR (if applicable) CO-SPOONOR UNI

DOCTORAL PROGRAM ☐ ICLS

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

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

Requirements for the M.Phil.

MASTER'S DEGREE
☐ IN-COURSE GSAS M.A. Month/Year Awarded
☐ ADVANCED STANDING FOR FREE-STANDING GSAS M.A. Month/Year Awarded
☐ ADVANCED STANDING FOR M.S. FROM SEAS
☐ ADVANCED STANDING FOR OTHER MASTER'S DEGREE.

Name of Institution

RESIDENCY
☐ SIX RESIDENCE UNITS EARNED AT THE END OF THE FOLLOWING TERM

COURSEWORK
☐ ALL COURSE AND/OR POINT REQUIREMENTS FOR THE DOCTORAL PROGRAM WERE COMPLETED AT THE END OF THE FOLLOWING TERM

QUALIFYING EXAMINATIONS
☐ PLEASE LIST ALL REQUIRED QUALIFYING EXAMINATIONS, AND THE DATE ON WHICH THE STUDENT PASSED.

Satisfactory ALP Score Achieved (if required)

INSTRUCTIONAL REQUIREMENT
☐ A&S PROGRAMS: HAS THE STUDENT FULFILLED THE MINIMUM ONE-YEAR TEACHING REQUIREMENT?

☐ 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.

☐ PROPOSAL NOT REQUIRED FOR THE M.PHI.

DISSEMINATION PROPOSAL
☐ DATE OF SUCCESSFUL PROPOSAL DEFENSE

☐ 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.

☐ For GSAS use
☐ SIS / DEGMS ☐ SIS / STUD
☐ SIS / NAME: ☐ Access ☐ Award
☐ SIS / AOSX ☐ SIS / ADMS

APPROVED:
☐ DATE:

SIGNATURE OF CHAIR OR DIRECTOR OF GRADUATE STUDIES DATE

SIGNATURE OF SEAS OFFICE OF THE DEAN (IF APPLICABLE) DATE
APPENDIX E: REPORT OF THE DISSERTATION PROPOSAL COMMITTEE

http://gsas.columbia.edu/sites/default/files/GSAS-proposal.pdf

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<tr>
<th>COMMITTEE MEMBER</th>
<th>EMAIL</th>
<th>DEPARTMENT</th>
<th>PHONE</th>
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</tbody>
</table>

By signing in the “YES” column below, the members of the Dissertation Proposal 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.

<table>
<thead>
<tr>
<th>SIGNATURES OF COMMITTEE MEMBERS VOTING “YES”</th>
<th>SIGNATURES OF COMMITTEE MEMBERS VOTING “NO”</th>
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<tr>
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**For GSAS use**

APPROVED ____________________________

DATE ____________________________
APPENDIX E1: DISSERTATION PROPOSAL 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).

1. 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

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. Report on Pilot work, completed or planned
4. 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

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

6. 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?

7. 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 E2: DISSERTATION PROPOSAL 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
       - Description of sample (with sample size projected). Discuss in relation to tradition of Qualitative method or school
       - 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.
       - Use of interview guide- development and application in study
       - Use of any other tools in data collection must be fully discussed- tapes, online methods, phone, etc
     - **Method of analysis** including coding specifications
       - 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.
       - Specific coding procedures and structure- should be isomorphic with those generally employed in chosen qualitative method (present a clear stepwise procedure for this)
       - Use of software- what kind
       - Coders- who, number, background
       - Reliability considerations in coding (method of establishing- e.g., % agreement, kappa)
       - Final Coding configuration – themes; core categories thru theory(GT),exhaustive description(Phenomenology) etc
       - 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
       - 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.
   - **Protection of human subjects**
     - Consents
     - IRB status
     - Confidentiality issues

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 F1: 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 F2: 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 comprehensive literature review and justification of the topic. This chapter is expected to be thorough and of such quality that, in a condensed form, could be submitted to a journal as a review article. It must meet the standards of a systematic or structured review and include the search criteria, data sources, quality standards and plan for the extent of the search. Guidelines for systematic reviews such as Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA) should be used (http://www.prisma-statement.org/).

3. Publishable papers related to the research question (at least two, in addition to the publishable literature review) consistent with the standards of a peer-reviewed journal in the field. At least one must be data-based although two are encouraged if the design permits. Examples of alternative paper approaches include methodology, theory, or instrument development.

4. A final chapter that integrates and discusses the findings of the papers. It should include discussions of the conclusions of the research, contribution to clinical practice and scientific knowledge, and recommendations for further studies.

5. An appendix outlining in detail the study methods, instrument descriptions and other details that may be excluded from manuscripts and tables if too long and detailed for the text. 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 faculty member, and the publications must have been submitted while the student was enrolled as a doctoral student in nursing.

Specific Aims and Hypotheses:
Requirements for traditional dissertation format also apply to the publication format option including the primary role of the students in developing the aims, hypotheses and analytic approaches used in their dissertations.

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 G: 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 gsas.columbia.edu/content/deposit-gateway 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.

The site also provides information about embargoing your dissertation.
APPENDIX H: APPLICATION FOR THE DISSERTATION DEFENSE

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

**Student Name**
- Last:
- First:
- Middle:

**Gender**
- M
- F

**Doctoral Program**
- COLUMBIA (UI)
- EMAIL ADDRESS:
- Diploma Address:

**Provisional Degree Field**
- Title:

* Students must also enter this "Diploma Address" into 1501, separate from all other addresses. This is where the diploma will be shipped.

For policies regarding the composition of the dissertation committee, see [gsas.columbia.edu/defense-committees](http://gsas.columbia.edu/defense-committees).

In the checkboxes on the right, indicate the committee members who are approved GSAS dissertation sponsors (a minimum of three is required).

A complete list of approved sponsors is available at [gsas.columbia.edu/dissertation-sponsors](http://gsas.columbia.edu/dissertation-sponsors).

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Check here if the third examiner is a dissertation co-sponsor.

Department:

Final distribution of dissertation to committee will take place on: [DATE OF DISTRIBUTION]

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

---

**Signature of Chair or Director of Graduate Studies**

PRINTED NAME AND TITLE

DATE

DEFENSE WILL TAKE PLACE ON:

For GSAS use

- [ ] Intent
- [ ] Dist. reg.
- [ ] ZTXT
- [ ] Blue folder
- [ ] Notices emailed

APPROVED ________________ DATE ____________

Day of the week: [ ] Date: ________________ Time: ________________ Room: ________________
APPENDIX I: COMPLETION OF DISSERTATION DEFENSE

COMPLETION OF DISSERTATION DEFENSE

After obtaining the defense time, date and place, the Dissertation Office prints the Voting Sheet and sends it, along with copyright, formatting and deposit information (see Formatting Guidelines and Electronic Deposit Gateway) to the candidate’s department/program. During the defense, committee members indicate their votes on and sign this voting sheet, which becomes a formal record of the Graduate School. The department/program returns the signed Voting Sheet to the Dissertation Office: the voting sheet should not be given to the student. The candidate receives all deposit materials at the conclusion of the defense.
APPENDIX J: PHD PROGRAM COMPLETION OF REQUIREMENTS

PhD Program
COMPLETION OF REQUIREMENTS
(Please type or print legibly)

Date: __________________________

Student: _________________________   ID Number: _________________________

Projected Graduation Date: __________

TOTAL CREDITS ACCOUNTED FOR:

Total Credits Earned (see transcript)   __________
Advanced Standing/Transfer Credits   __________
Unresolved Incompletes (see transcript)   __________

Subtotal   __________
Total Required __________

Proposal Defense Complete   Date: __________________________
Qualifying Examination Completed   Date: __________________________
Dissertation Defense Completed   Date: __________________________

Is Student Eligible To Graduate? _________________

Director’s Approval: ___________________________   Date: __________
APPENDICES

APPENDIX K: CONFIRMATION OF TOPICS: QUALIFYING EXAMINATION FOR THE PhD DEGREE

CONFIRMATION OF TOPICS: QUALIFYING EXAMINATION FOR THE PhD DEGREE
(Please type or print legibly)

I, ___________________________, 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 topics as tentatively titled and briefly described below and as approved by the Qualifying Examination Committee.

1. ________________________________________________
   __________________________________________________
   __________________________________________________
   __________________________________________________
   __________________________________________________
   __________________________________________________

2. ________________________________________________
   __________________________________________________
   __________________________________________________
   __________________________________________________
   __________________________________________________
   __________________________________________________

Student Signature ____________________________________________
Date _________________________________________________________

Advisor Name _______________________________________________
Advisor Signature ____________________________________________
Date _________________________________________________________

Topics are approved on behalf of Qualifying Examination Committee (QEC):
Name of QEC Chair ___________________________________________
QEC Chair Signature __________________________________________
Date _________________________________________________________
TRAVEL & BUSINESS EXPENSE REPORT INSTRUCTIONS

Columbia University in the City of New York
Accounts Payable

SECTION 1: TRAVEL OR BUSINESS
The Travel & Business Expense Report has two uses:

1) Travel Expense reimbursements per trip
A trip may consist of multiple destinations and is defined by leaving, and then returning to NYC (tri-state area). An overnight or extended stay is often involved.

All expenses associated with one trip are reported and tracked by the last date of expense or return date to NYC (called Travel End Date).

Steps
1. Enter itemized expenses (organized by date). Describe each expense in detail and include the circumstances (Business Reasons) that demonstrate why the expense was necessary and reasonable in order to conduct University business.
2. Enter the date of the earliest expense or First Date of Expense
3. Enter the last date of expense based on the travel return date (Travel End Date) or date of last job related Business Expense (Period End Date).

2) Business Expense reimbursements submitted on a regular basis (i.e., bi-monthly)
Business Expenses are expenses incurred locally/on campus during the normal course of business, including local transportation, meals, or emergency supply purchases.

These expenses are reported for a period of time and tracked by the last date of expense being reported (called Period End Date).

Each expense must conform to University policy, Departmental policy and the rules of the IRS, Federal Government or any Granting Agency.

Steps
1. Select one box: Travel Expenses or Business Expenses depending upon the type of expenses being reimbursed (see above).
2. Enter the date of the earliest expense or First Date of Expense
3. Enter the last date of expense based on the travel return date (Travel End Date) or date of last job related Business Expense (Period End Date).

SECTION 2: PAYEE INFORMATION
Steps
1. Enter the Employee (Payee) Name
2. Enter the Payee's Home Address (P.O. boxes, campus, office or temporary addresses are not allowed).
3. Enter the Dept. Contact Name and Phone Number
4. Enter the Dept. Name / Dept. Number
5. Enter the Dept. Contact Name and Phone Number

SECTION 3: CERTIFICATION & COMPLIANCE
Steps
1. Enter the Expense Report Validator's Name
2. Enter the Dept. Name / Dept. Number
3. Enter the Dept. Contact Name and Phone Number

SECTION 4: OTHER INFORMATION
Steps
1. Enter itemized expenses (organized by date). Describe each expense in detail and include the circumstances (Business Reasons) that demonstrate why the expense was necessary and reasonable in order to conduct University business.
2. Enter the date of the earliest expense or First Date of Expense
3. Enter the last date of expense based on the travel return date (Travel End Date) or date of last job related Business Expense (Period End Date).

SECTION 5: BUSINESS PURPOSES & ITEMIZED EXPENSES
Steps
1. Enter itemized expenses (organized by date). Describe each expense in detail and include the circumstances (Business Reasons) that demonstrate why the expense was necessary and reasonable in order to conduct University business.
2. Use the following abbreviations (B) Breakfast (L) Lunch (D) Dinner (BusM) Business Meal.
3. Enter the date of the earliest expense or First Date of Expense
4. Enter the last date of expense based on the travel return date (Travel End Date) or date of last job related Business Expense (Period End Date).

SECTION 6: ACCOUNTING
Steps
1. Enter any pre-paid amounts or travel advance amounts in the bottom right-hand tally section.
2. Enter the Dept. Processor will enter each ARC chart field value to be charged (using the 66310-66499 Account chartfield series for segregated expenses). The Dept. Processor will make sure that the chart field distribution totals match the total amount being reimbursed (these two totals must also match each other on the ARC Voucher).

SECTION 7: OPTIONAL WORKSHEETS
Steps
1. Use the Extra Page for more itemized expense entries
2. Use the optional Average Rate Currency Conversion Worksheet to convert foreign amounts into U.S. dollars using an average rate of exchange.
3. Use the optional Daily Rate Currency Conversion Worksheet to convert foreign amounts into U.S. dollars using an actual rate for each line item expense.

SECTION 8: FINAL STEPS
Steps
1. Save and print the report (print entire workbook if used). The report and worksheets should print one per page. If the workbook is not printing one per page, go to: File->Page Setup-> and select ”Fit to 1 page(s) wide by 1 tall” (you may need to select this option for each page depending on your system preferences).
2. Attach all supporting documentation including event flyers, flight information, all itemized hotel bills and receipts taped to 8½ x 11 sized paper.
3. Copy the report and all receipts to keep a record on file.
4. The Dept. Processor enters the voucher into ARC and receives department approval through ARC.
5. The Dept. Processor submits the report and all supporting documentation via the Procurement EDM process.
6. Accounts Payable will contact the Dept through email if there is any missing information needed to complete the expense report.
7. Accounts Payable works with the Dept. by double checking expenditures and providing guidance on policy matters relating to University payments.
8. Accounts Payable reviews and approves the voucher and issues payment.