# Table of Contents

Preface .......................................................................................................................... 1  
Description, Purpose and Objective ........................................................................... 2  
Admission Criteria ........................................................................................................ 2  
  Prerequisites and Expected Proficiencies at the time of enrollment ....................... 2  
Transfer Credits .......................................................................................................... 3  
Survival Skills Workshop ............................................................................................ 3  
Advisement .................................................................................................................. 3  
Policy Statement regarding PhD Financial Aid .......................................................... 3  
Satisfactory academic progress .................................................................................. 4  
PhD Curriculum .......................................................................................................... 4  
  Program Overview ..................................................................................................... 5  
Scholarship Expectations of Students ........................................................................ 5  
REQUIRED COURSE WORK ....................................................................................... 6  
Coursework in the Theoretical Foundation of Nursing Science ................................. 6  
Coursework in the Analytic Foundation of Nursing Science ...................................... 6  
  Nine courses (24 credits) comprise this component of the program: ..................... 6  
Coursework in Human Subjects Training .................................................................. 8  
Dissertation Phase Courses ......................................................................................... 8  
Elective courses ........................................................................................................... 8  
  Inter-University Doctoral Consortium (IUDC) ......................................................... 8  
Cross Registration Process ......................................................................................... 9  
Research and Teaching Experiences .......................................................................... 10  
  Teaching Assistantships .......................................................................................... 10  
Columbia University Student Resources .................................................................. 11  
  Plan of Study .......................................................................................................... 11  
Additional Training .................................................................................................... 11  
  Office of Scholarship and Research Development (OSR) ....................................... 11  
Additional Student Resources .................................................................................... 12  
  Student E-mail ......................................................................................................... 12  
PhD Student Office Space ........................................................................................... 12  
Seminars ...................................................................................................................... 12  
Other Offerings ........................................................................................................... 13  
Intranet and Forms Library ......................................................................................... 13  
  Faculty/Staff Directory ............................................................................................ 13  
Travel to Present Scholarly Work Submission Form .................................................. 13
Travel and Business Expense Report .................................................. 14
Grants Management Office (GMO)/Office of Scholarship and Research (OSR)
Development Policies & Procedures .................................................. 14
Centers at the School of Nursing ...................................................... 14
Other Institutes and Centers .......................................................... 15
Qualifying Examination .................................................................. 16
Qualifying Examination Committee (QEC) ........................................ 16
Eligibility for Exam ......................................................................... 16
Dates of Examination ..................................................................... 17
Description of Qualifying Examination to Applicants ....................... 18
Code of Conduct ............................................................................ 18
Written Component ........................................................................ 18
Oral Component ............................................................................ 18
Grading of the Qualifying Examination ........................................... 18
Qualifying Exam process ............................................................... 20
Applying for the Master of Philosophy Degree ................................. 21
Dissertation .................................................................................... 21
Dissertation Sponsor ....................................................................... 21
Steps in the Dissertation Process .................................................... 22
Dissertation Proposal Preparation .................................................. 22
Dissertation Proposal Defense ....................................................... 24
IRB Approval ................................................................................ 24
Submission to Columbia University Medical Center Institutional Review Board (IRB) 25
Completion of the Research ............................................................ 25
Steps in the Dissertation Defense Phase .......................................... 26
Nomination and Appointment of the Defense Committee ................. 26
Registration .................................................................................. 26
Registration for U.S. Students ........................................................ 26
Registration for International Students in F-1 or J-1 Status ................ 26
Application for Dissertation Defense ................................................. 27
Distributing Dissertation Copies ..................................................... 27
Scheduling the Defense .................................................................. 27
PhD Degree Calendar ..................................................................... 28
The Dissertation Defense ............................................................... 28
Emergency Absentee ...................................................................... 28
The Vote: Pass, Incomplete or Fail ................................................... 28
Pass ............................................................................................... 29
Incomplete ......................................................................................................................29
Fail ..............................................................................................................................30
Pass with Distinction ..................................................................................................30
Electronic Deposit ......................................................................................................30
Award of the Degree ..................................................................................................30
School of Nursing Graduation, Doctoral Convocation and University Commencement Ceremonies .................................................................31
  Columbia Nursing Graduation ................................................................................31
  Doctoral Convocation .............................................................................................31
  University Commencement Ceremony ....................................................................31
Summary: Distribution, Defense and Deposit in Ten Steps .........................................31
Appendices ..................................................................................................................34
  Appendix A: PhD Student Program Plans of Study ..................................................35
    Typical Plan of Study for PhD Students Entering Fall, 2010 ..................................35
    Typical Four-Year Plan of Study for Students Entering Fall, 2011 .......................36
    Typical Four-Year Plan of Study for Students Entering Fall, 2012 .......................38
    Typical Four-Year Plan of Study for Students Entering Fall, 2013 .......................40
    Typical Three-Year Plan of Study for Students Entering Fall, 2014 .....................42
    Typical Three-Year Plan of Study for Students Entering Fall, 2015 .....................44
  Appendix B: Contract for Research Practicum .........................................................46
  Appendix C: Application for Qualifying Examination for the PhD Degree ...............47
  Appendix D: Application for the Master of Philosophy .............................................48
  Appendix E1: Dissertation Proposal Outline—Quantitative .....................................50
  Appendix E2: Dissertation Proposal Outline—Qualitative .......................................52
  Appendix F2: Dissertation Outline—A Guide to Publication Format Option for Dissertation ...56
  Appendix G: ProQuest UMI, Academic Commons & Copyrighting the Thesis ..........57
  Appendix H: Application for the dissertation Defense .............................................58
  Appendix I: Confirmation of Topics: Qualifying Examination for the PhD Degree ......59
  Appendix J: Intent to Schedule Dissertation Proposal Defense ..................................60
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 degree, including course requirements and qualifying examination procedures. Upon conferral of the MPhil degree, the eligible student is admitted to PhD candidacy in the Graduate School of Arts and Sciences according to the rules and regulations described in the GSAS Dissertation Office web pages. Details of each phase of the doctoral training experience are provided in the following sections of this handbook, with relevant forms included as appendices. The course plans and requirements are subject to change.

The PhD Program Office is located in the School of Nursing (Georgian Building), 630 W. 168th Street, New York, NY 10032 (fax: 212-305-3659).

Arlene Smaldone, PhD, CPNP, CDE  
PhD Program Director  
ams130@columbia.edu  
(212) 342-3048  
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PhD Program Administrator  
jk3804@columbia.edu  
(212) 342-4172  
Suite 245

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).  

Julissa Peña  
Academic Affairs Manager  
jp3384@columbia.edu  
(212) 854-2866

Esmeralda McCormick  
Dissertation Secretary  
es183@columbia.edu  
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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 the School of Nursing Student Handbook for general policies of the School of Nursing such as registration procedure and academic and professional policies and standards.

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

REVISED AUGUST 2015
DESCRIPTION, PURPOSE AND OBJECTIVE

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

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

1. Design, conduct, and analyze data, and report the findings of research studies that increase knowledge about the outcomes of nursing and other clinical practice.
2. Provide leadership in improving the health care delivery system at local, national, and international levels.
3. Collaborate with other professionals to evaluate and develop policies for the organization and delivery of health services.
4. Translate evidence accumulated through research into practice and policy at multiple levels.

ADMISSION CRITERIA

All applicants must possess a New York state nursing license or be eligible to receive a license. Applicants entering the program will be required to take a minimum of 47 credits for completion of the PhD Degree in addition to any other credits that are needed based on their individual educational needs.

PREREQUISITES AND EXPECTED PROFICIENCIES AT THE TIME OF ENROLLMENT

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

A maximum of 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.

SURVIVAL SKILLS WORKSHOP

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

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. 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; and general program and departmental degree requirements.

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 consult them 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.

POLICY STATEMENT REGARDING PHD FINANCIAL AID

Columbia University School of Nursing offers a generous financial aid package for PhD students during their first two years of study. This financial support covers required credits for the first two years of study for students entering fall 2014 or subsequent years. This includes the majority 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, PhD students are expected...
to cover the cost for the remaining portion of coursework and provide for their own living expenses during this time. Completion of the PhD program (coursework and dissertation research) takes an average of 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.

The PhD program at Columbia University School of Nursing welcomes international student applicants. However, the school is not able to provide tuition or stipend support. Therefore, international PhD students must have financial resources to cover tuition and living expenses. For more details, visit the International Students and Scholars Office at http://isso.columbia.edu/AVC/supporting-documentation.

SATISFACTORY ACADEMIC PROGRESS

PhD students must complete a minimum of 47 credits. The maximum timeframe allowed to complete the PhD is seven years (21 terms). Students are expected to maintain a cumulative B average (3.0 GPA). Failure to do so will result in the student being placed on probation. Doctoral students with a C in any course will be reviewed by the PhD program director and the School's Committee on Admissions. Student academic progress is evaluated each term. Being placed on probation may have consequences regarding support during the first two years of study as well as the ability to secure other sources of financial aid and federal loans. For more information, please refer to the “Satisfactory Academic Progress,” “Grading and Required Standards” and “Academic Review and Probation” sections of the Columbia University School of Nursing Student Handbook.

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

Students are required to maintain full-time enrollment each semester (fall/spring/summer) from the time of initial enrollment until successful defense of the dissertation 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 zero-credit course N9901 Research Residency. Please contact the Program Administrator if you have any questions about maintaining full-time status.

Full-time status during dissertation phase (after successfully passing the Qualifying Exam) requires registering for a minimum of 4 credits of N9840 Dissertation Research and the zero-credit N9901 Research Residency each semester (fall, spring and summer).

PHD CURRICULUM

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

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

2) Nursing practice takes place within and is influenced by a complex array of policies and systems of care delivery.
An important focus is the development of skills to employ knowledge gleaned from nursing research to effect change at the local, national, and international level.

**PROGRAM OVERVIEW**

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

- Upon completion of core coursework, the student must successfully complete a qualifying examination with written and oral components.
- Upon successful completion of required course work and qualifying examination, the student is awarded a master’s of philosophy (MPhil) degree. The PhD Program Director’s Office in the School of Nursing applies on behalf of the student to GSAS for the MPhil degree.
- Dissertation work requires registering for a minimum of 4 credits of N9840 (Dissertation Research) each semester (fall/spring/summer), generally for 4 semesters (16 credits). Altogether, students must complete a minimum of 47 credits (37 credits pre-dissertation and dissertation credits each semester until completion).
- The program culminates with a dissertation research project in which the student develops, conducts, writes and defends an original research study.

**SCHOLARSHIP EXPECTATIONS OF STUDENTS**

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

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

If you have any questions about these expectations, please consult with your advisor. Periodic meetings for PhD students are scheduled as needed by the Director for discussion 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 examines the philosophy of nursing knowledge including foundations of nursing theory, concept development and its application to research.

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

COURSEWORK IN THE ANALYTIC FOUNDATION OF NURSING SCIENCE

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

NINE COURSES (24 CREDITS) COMPRIS THIS COMPONENT OF THE PROGRAM:

1. **P6103: Introduction to Biostatistics** (3 credits; cross-registered in the School of Public Health)
   This course is a basic introductory course in statistical tests and methods.

2. **N9352: Qualitative Research Design and Methods** (3 credits)
   This course provides an in-depth examination of qualitative study designs and methods through a combination of theoretical discussion and hands-on practical experience. Topics include paradigm distinctions, theoretical perspectives, designs and methods, critique of research reports, and ethical issues in qualitative research.

3. **N9910: Translation and Synthesis of Evidence for Optimal Outcomes** (3 credits)
   This course is designed to provide the tools for the doctorally prepared nurse to evaluate, translate and integrate published research results into clinical practice. Students will learn how to conceptualize clinical practice problems and transform them into answerable clinical research questions, how to search for the best clinical evidence, and how to assess clinical evidence using basic epidemiological, biostatistical and scientific principles. The course will culminate in a systematic review or meta-analysis of a body of research relevant to advanced practice nursing.
4. **N9355: Quantitative Research and Design** (3 credits)
   This course provides a foundation for quantitative research methods and design. Research process topics examined include: appraisal of the quality of existing evidence; identification of gaps in the literature; formulation of researchable questions and testable hypotheses; types of research variables; sampling designs and power analyses; and the uses, strengths and weaknesses of various experimental and quasi-experimental research designs.

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

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

7. **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. 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 students to competencies in interdisciplinary research through a combination of readings and lectures in each necessary aspect, chosen from fields essential to successful interdisciplinary research. The course is co-taught by instructors from Nursing and other CU medical campus schools.

9. **N9505: Research Practicum** (2 credits)
   Two credits of this individualized practicum in research is required in the program. The student works with a faculty member or other scientist who is conducting a research project. The student and faculty member negotiate and agree upon the objectives, specific experiences and requirements for the practicum. The specific nature of the experience depends on the nature and stage of the research, and might include a search and review of relevant literature, data collection, data analysis and/or grant preparation. These are summarized in the Contract for Practicum Experience (See Appendix B) which is signed by both student and faculty member prior to beginning the experience.
COURSEWORK IN HUMAN SUBJECTS TRAINING

G4010: Responsible Conduct of Research (1 credit)
This course explores a variety of ethical and policy issues that arise during the conduct of basic, translational, and clinical biomedical scientific research. Topics addressed include: research misconduct; “everyday” ethical issues faced by biomedical scientists; the use of laboratory animals in scientific research; human research participants and scientific research; authorship practices in scientific publications; conflicts of interest arising from scientists acting as policy consultants and experts; data sharing and data secrecy; mentoring; research with stem cells, and scientists as citizens. The course website can be found at http://www.cumc.columbia.edu/dept/gsas/ac_programs/rcr-crse.htm

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

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

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

ELECTIVE COURSES

This component includes a minimum of 6 credits of electives/cognates enabling the student to develop expertise in areas of scholarship that support the student’s selected focus area, dissertation topic, or personal scholarly interests. The advisor helps the student identify relevant courses, generally outside of the School of Nursing. It may be necessary for a student to take additional credits to develop depth in content or methodology required to complete the planned dissertation. (Guided Study in Nursing Science, N9502 should be taken for this purpose.) The need for additional courses is determined by the advisor and/or dissertation committee.

INTER-UNIVERSITY DOCTORAL CONSORTIUM (IUDC)

As you decide what elective courses to take, you may want to consider taking a course outside of Columbia University. Columbia University Graduate School of Arts & Sciences is a member
of the Inter-University Doctoral Consortium (IUDC), which provides for cross-registration among member institutions. Participating schools are:

- CUNY Graduate Center
- Fordham University
- The New School for Social Research
- New York University (including the Institute of Fine Arts)
- Princeton University
- Rutgers University
- Stony Brook University
- Teachers College (TC) is also a member of the IUDC, but Columbia students interested in TC classes should cross-register within Columbia rather than use the IUDC.

Ph.D. students wishing to use this mechanism may register at Columbia for the course(s) they plan to take at the visiting institution by submitting the IUDC Registration Form. The host institution may also require students to register there. Students should familiarize themselves with the academic regulations of the host university, including its location, grading system, applicable deadlines, and calendar.

Note that only Arts & Sciences courses can be taken through the Consortium. Tuition is paid to the Graduate School. Nursing PhD students must take classes for a letter grade. IUDC classes will appear on the Columbia transcript.

Information about the IUDC can be found at [http://gsas.columbia.edu/iudc](http://gsas.columbia.edu/iudc).

**CROSS REGISTRATION PROCESS**

In order for PhD 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 complete the required forms. Please follow this procedure:

1. Obtain a “School of Nursing Add/Drop form” from PhD Program Administrator or The Office of Student Services.

2. Complete the “Add/Drop form” and return to the PhD Program Administrator. She will obtain approval from the PhD Program Director.

3. Print out a “Cross Registration Application” from the Mailman School of Public Health website: [http://www.mailman.columbia.edu/sites/default/files/Cross%20registration%20form%208-12-14_0.pdf](http://www.mailman.columbia.edu/sites/default/files/Cross%20registration%20form%208-12-14_0.pdf). Take your completed application to the Mailman School of Public Health Department offering the course (i.e., Health Policy and Management, Biostatistics), and obtain the signature of either the Department Course Coordinator or the instructor. (Locations of each department coordinator is provided on the second page of the Cross Registration Form.)

4. Take the Cross Registration form signed by the course coordinator or instructor to the Mailman Student Services office (Mailman Building, 1st floor turn right as you pass the security guards) and obtain the Dean’s signature.

5. Take the form signed by the Mailman Dean to the School of Nursing Office of Student
RESEARCH AND TEACHING EXPERIENCES

Services for signature.

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

A similar process is required to cross register for courses at Teachers College. Please contact the PhD Administrator for information.

RESEARCH AND TEACHING EXPERIENCES

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

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

TEACHING ASSISTANTSHIPS

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

As part of the TA assignment process, each semester students who are interested in being considered for a TA position 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

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.

After fulfilling the one-semester TA expectation, PhD students may serve as compensated TAs during subsequent semesters based on interest. These TA opportunities, in addition to providing additional learning opportunities in the faculty teaching role, offer partial tuition waiver. Any questions regarding this process may be sent to CUSON_Acad@cumc.columbia.edu.
Please note that if you receive federal loans, TA compensation may affect your financial aid package. Teaching Assistantships are considered grants and will be considered as part of 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 compensated TA position, you must contact the Office of Financial Aid to discuss how this might affect your current financial aid package.

COLUMBIA UNIVERSITY STUDENT RESOURCES

PLAN OF STUDY

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

A full-time plan is provided as a template and timeframe within which program requirements can be met. This plan is subject to change during a student’s course of study. Each student is expected, with assistance from their advisor, to work out an individual plan of study that meets all program requirements. The plan of study shown contains the minimum number of dissertation research credits (4 per semester—fall, spring, summer) and non-nursing elective/cognate credits (6). Students typically take additional dissertation credits; however, students may enroll for additional specialty/cognate/elective credits as needed.

ADDITIONAL TRAINING

Students may wish to expand their skills by taking non-credit, no fee, online tutorials. The Columbia Libraries subscribe to Lynda.com, (http://www.lynda.com/portal/columbia) an online service that provides video-based tutorials and resources on a variety of web and software technology including EndNote and Microsoft Word and Excel.

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

OFFICE OF SCHOLARSHIP AND RESEARCH DEVELOPMENT (OSR)

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

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

Please visit the Office of Scholarship and Research Development webpage for more information and available resources.
ADDITIONAL STUDENT RESOURCES
A portal to additional resources for Columbia University students can be found at http://www.columbia.edu/content/students.html
This portal links to a wide variety of resources, including:

- 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 Learning Management System, 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 required to have e-mail access, and to regularly access their individual Columbia University email.

PHD STUDENT OFFICE SPACE
All PhD students are assigned a work space. Students who serve as GRAs or appointed as NIH trainees will be assigned a project desk and computer. PhD student space is assigned on a space-available basis. 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. Students have access to a computer room; the Lounge also has tables for meetings.

SEMINARS
A variety of seminars are sponsored by the PhD program, the Office of Scholarship and Research Development and a number of departments throughout the medical center campus. PhD students are expected to participate in the wealth of activities both within the school and throughout the campus. The following are the list of monthly seminars that take place within the School of Nursing:

- Doctoral Research Seminar (Doctoral Brown Bag): This seminar provides a venue for presentation, positive critique and scholarly interchange regarding ongoing cross-disciplinary research and related methodologies. Designed for nursing doctoral students, it is open to pre- and post-doctoral fellows, students, faculty and visiting scholars from other programs. PhD Students are expected to attend this seminar throughout their program.
  Doctoral Research Seminars are held on Tuesdays at 12 noon.
  Location: Columbia University School of Nursing, 617 West 168th Street, First Floor Student Lounge.

- The Reach for Research Excellence (REX) Group is a forum coordinated by the OSR to discuss a wide variety of scholarly activities and research-related topics for School of
Nursing faculty and pre- and post-doctoral trainees. REX Group Sessions occur monthly and typically are held on the last Wednesday of the month from 12:00pm-1:00pm in the 1st Floor Student Lounge. Special REX Group Sessions occur periodically throughout the year. To be notified of scheduled REX Group sessions, please e-mail sonosr@columbia.edu.

- **CIRI Seminars**: The [Center for Interdisciplinary Research to Prevent Infections (CIRI)](http://nursing.columbia.edu/academics/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.

- The [Anna Maxwell Teaching Academy at Columbia Nursing](http://nursing.columbia.edu/academics/anna-maxwell-teaching-academy) offers venues for doctoral students to be mentored from members of the teaching academy about course development and educational techniques. Information can be found at http://nursing.columbia.edu/academics/anna-maxwell-teaching-academy.

- [Irving Institute for Clinical and Translation Institute](http://irvinginstitute.columbia.edu/news/seminars.html): 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.

**OTHER OFFERINGS**

The [Center for Health Policy](http://vesta.cumc.columbia.edu/nursing/intranet/directory/directory.php) (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. Center for Health Policy Seminars are announced throughout the academic year.

**INTRANET AND FORMS LIBRARY**

**FACULTY/STAFF DIRECTORY**

The Columbia University School of Nursing intranet offers access to forms, policies and directories. A faculty and staff directory which can be found here: [http://vesta.cumc.columbia.edu/nursing/intranet/directory/directory.php](http://vesta.cumc.columbia.edu/nursing/intranet/directory/directory.php)

**TRAVEL TO PRESENT SCHOLARLY WORK SUBMISSION FORM**

PhD students who have accepted abstracts (first author) may apply to OSR for a maximum of $500 in travel funding (an additional $150 is available for poster printing) to offset the cost of travel and conference registration. To be considered for funding, submit the “Travel to Present Scholarly Work” form before traveling. The form can be found on the School of Nursing intranet at [http://vesta.cumc.columbia.edu/nursing/intranet/formsAll.html](http://vesta.cumc.columbia.edu/nursing/intranet/formsAll.html)
**Travel and Business Expense Report**

Once a student has been approved for travel support from the School, they need to complete the Travel and Business Expense Report (TBER) form. The form can be found on the School of Nursing intranet. Please remember to keep all receipts when you travel (for meals and hotels, please obtain itemized receipts); they are required for submission as part of the Travel and Business Expense Report.

Once completed and signed, the TBER must be submitted to the Program Administrator who will then submit the form to the Department of Finance. Contact the PhD Office Administrator with any questions.

**Grants Management Office (GMO)/Office of Scholarship and Research (OSR) Development Policies & Procedures**

GMO and OSR provide policies and procedures to assist students in grant pre-award and post-award procedures. Access is through the School of Nursing Intranet ([http://vesta.cumc.columbia.edu/nursing/intranet/gmo_osr_policies_procedures.html](http://vesta.cumc.columbia.edu/nursing/intranet/gmo_osr_policies_procedures.html)).

**Centers at the School of Nursing**

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

**Center for Children and Families**

**Director:** Mary W. Byrne, Ph.D., CPNP, FAAN  
The Center for Children and Families, under the directorship of Mary Byrne, PhD, is committed to improving the lives of children and families throughout the world by identifying, preventing, and reducing the effects of physiologic and social trauma on health. The Center’s objective is to provide the infrastructure to inspire, promote, and integrate culturally sensitive research and practice that will ensure optimum health for children and their families.

**Center for Evidence-Based Practice in the Underserved**

**Director:** Sue Bakken, PhD, RN, FAAN, FACMI  
Funded by the National Institute for Nursing Research (P30NR010677), and under the directorship of Suzanne Bakken, PhD, the Center specializes in the use of informatics for reducing health care disparities. Informatics combines nursing knowledge, computer and information science to better manage and communicate data to support health care providers in making decisions.

**Center for Health Policy**

**Director:** Pat Stone, PhD, RN, 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.
Center for Interdisciplinary Research to Prevent Infections (CIRI)
Director: Elaine Larson, PhD, RN, 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.

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

- Irving Institute for Clinical and Translational Research
- INCHOIR (International Center for Health Outcomes and Innovative Research)
- Alzheimer's Disease Research Center (ADRC)
- HIV Center for Clinical and Behavioral Studies
- Center for Neurobiology and Behavior
- Center for the Study of Society and Medicine
- Institute for the Study of Human Rights
- Institute of Human Nutrition
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 coursework and independent study, and to analyze and synthesize this material within the context of the student's individual research interest and planned dissertation topic.

QUALIFYING EXAMINATION COMMITTEE (QEC)

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

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

- P6103 Introduction to Biostatistics
- N9910 Translation/Synthesis Evidence/Optimal Outcomes
- N9352 Qualitative Research Design and Methods
- N9356 Intellectual and Conceptual Foundations of Nursing Science or equivalent course (N9351 Concept Development and Measurement of Clinical Phenomena in Nursing)
- N9357 Measurement in Nursing Research
- N9355 Quantitative Methods
- P8100 Applied Regression
- G4010 Responsible Conduct of Research
- N9260 Building Interdisciplinary Research Models
- N9505 Research Practicum
- N9353 Advanced Methods in Health Services Research and Policy Analysis
- N9506 Research Synthesis
- Elective Courses (6 credits)

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 PhD program Director and submitted to the PhD Office Administrator. The date the application is due will be announced by the PhD Program office yearly. After submission, approval will be given pending satisfactory completion of N9505 Research Synthesis (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 following consultation and approval of topics with their individual dissertation sponsor (Appendix I) and the QEC. The written component must be finished and submitted by the assigned date in early October. The examination may also be offered in June 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 mid-January (specific date 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.

<table>
<thead>
<tr>
<th>Qualifying Examination Timeline for January 2016 Exam</th>
<th></th>
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<tbody>
<tr>
<td>Late September/Early October 2015</td>
<td></td>
</tr>
<tr>
<td>• Students for completion of exam in January are identified and notified by PhD Program Director.</td>
<td>• The Qualifying Examination Committee (QEC) will meet with the students and review the purpose, structure, timeline and student expectations for the examination.</td>
</tr>
<tr>
<td>• All students planning to take exam must have filed Qualifying Examination Approval form with the PhD office.</td>
<td>• Qualifying Examination Application Form is in the PhD Student Handbook. See Appendix C (revised).</td>
</tr>
<tr>
<td>• 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.</td>
<td>• 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.</td>
</tr>
<tr>
<td>Early October 2015</td>
<td></td>
</tr>
<tr>
<td>• 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 I.</td>
<td></td>
</tr>
<tr>
<td>• Students should begin writing the written portion of The Qualifying Examination independently for final submission in January 2016.</td>
<td></td>
</tr>
<tr>
<td>Mid-January 2016</td>
<td></td>
</tr>
<tr>
<td>• Qualifying—written component completed and submitted to QEC</td>
<td></td>
</tr>
<tr>
<td>Late January 2016</td>
<td></td>
</tr>
<tr>
<td>• Students move to the oral exam with QEC</td>
<td>• Approximately 30 minutes scheduled for each oral exam.</td>
</tr>
</tbody>
</table>
DESCRIPTION OF QUALIFYING EXAMINATION TO APPLICANTS

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

CODE OF CONDUCT

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

WRITTEN COMPONENT

The written component of the Qualifying Examination is comprised of two comprehensive papers. The first is a literature review on a topic of the student’s choice suitable for the anticipated dissertation. The literature review may be conducted as an integrative review or a systematic review. The decision for the type of review will be made by the student with input and approval from the student’s advisor. The second is a critical analysis of either the concept, measures or a method relevant to the proposed dissertation. It is expected that papers will be about 15 pages in length (double-spaced, exclusive of reference list, tables and figures; Times New Roman 12 point or comparable size font) and 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 and the student will enroll in a guided study with their sponsor.

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
MPhil: Proceed to Doctoral Work

Conditional Pass
Guided Study

Fail
Guided Study & Retake Qualifying Exam

Pass
MPhil: Proceed to Dissertation Work

Fail
MPhil: Exit Program
APPLYING FOR THE MASTER OF PHILOSOPHY DEGREE

The Master of Philosophy degree (MPhil) is awarded upon successful completion of the qualifying examination. The PhD office will submit an Application for the Master of Philosophy (Appendix D) attesting to the completion of all prerequisites, including all required course work completed over two years at Columbia University and successful completion of the qualifying examination. Dates and deadlines of MPhil conferral can be found at the GSAS website: http://gsas.columbia.edu/content/dates-and-deadlines

Applications for the MPhil degree can be filed at any point in the calendar year.

For students proceeding to PhD candidacy, the MPhil application form, once signed by the Program Director is then forwarded by the Program Administrator to the GSAS Dissertation Officer.

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

DISSERTATION

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

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

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

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

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). No faculty member may sponsor a dissertation unless he or she has been nominated by a Doctoral Program faculty and approved by the Executive Committee of the Graduate School and the GSAS Dean.

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

The list of approved Faculty Sponsors in the School of Nursing can be found 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 may consult with several qualified faculty to determine who are the most appropriate in terms of expertise and working styles. During the dissertation phase, the sponsor will provide academic advisement as well as dissertation guidance.

STEPS IN THE DISSERTATION PROCESS

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

- Preparation of proposal
- Proposal defense
- Acceptance of proposal
- Obtain IRB approval
- Completion of the research
- Application to defend dissertation and selection of defense committee
- Defense of dissertation
- Final editing
- Final filing of dissertation

DISSERTATION PROPOSAL PREPARATION

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.

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 defense is determined by the student's dissertation committee. One of the two following alternative formats will 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 traditional dissertation (i.e., Introduction and Statement of the Problem, Review of Literature and Methodology) as outlined in Appendix E1 and E2.

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

American Psychological Association (APA) format should be used for 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.

The table below compares dissertation proposal requirements by format option. Further detail regarding what is contained in each chapter of the traditional dissertation (by study design) and the publication format options can be found in Appendices E1, E2, and F2.

<table>
<thead>
<tr>
<th></th>
<th>Traditional Format Dissertation Proposal</th>
<th>Publication Format Dissertation Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction and Outline of the Problem</td>
<td>Chapter 1 ✓</td>
<td>Chapter 1 ✓</td>
</tr>
<tr>
<td>Introduction to overall topic including significance, conceptual underpinnings and the logical link between the 3 manuscripts</td>
<td>Chapter 1 ✓</td>
<td>Chapter 1 ✓</td>
</tr>
<tr>
<td>Plan and/or draft of each of 3 papers</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Literature review</td>
<td>Chapter 2 ✓</td>
<td>Manuscript 1 – systematic or integrative literature review with target journal identified ✓</td>
</tr>
<tr>
<td>Methodology</td>
<td>Chapter 3 ✓</td>
<td>Study purpose and methods fully developed (See Note); 3 potential journals identified ✓</td>
</tr>
<tr>
<td>Manuscript 2</td>
<td></td>
<td>Study purpose and methods fully developed (See Note); 3 potential journals identified ✓</td>
</tr>
<tr>
<td>Manuscript 3</td>
<td></td>
<td>Study purpose and methods fully developed (See Note); 3 potential journals identified ✓</td>
</tr>
</tbody>
</table>

Note. See Appendix E1 and E2 for details regarding how to develop the Methods section.
Dissertation Proposal Defense

The dissertation sponsor functions as the chair of the student's dissertation committee and is the faculty member with primary responsibility for guiding and approving each phase of 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 formally 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.

IRB Approval

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

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

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

1. Policies and guidance for IRB submission can be found at [http://www.cumc.columbia.edu/dept/irb/policies/index.html#irb](http://www.cumc.columbia.edu/dept/irb/policies/index.html#irb)

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.

**COMPLETION OF THE RESEARCH**

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

Because the PhD in Nursing is granted by the Graduate School of Columbia University, all policies, regulations and rules for the development of the dissertation and its defense are governed by GSAS. Information on each step of the dissertation phase is available in 107 Low Memorial Library and on the GSAS website at [http://gsas.columbia.edu/dissertations](http://gsas.columbia.edu/dissertations)
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, in collaboration 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 and permanent residents must be registered during the term (fall, spring or summer) in which they distribute final copies of the dissertation (as approved for defense by the sponsor) to the five approved defense committee members. (See [Distributing Dissertation Copies](http://gsas.columbia.edu/content/distributing-dissertation-copies) for detailed information.) Students who are distributing and/or defending must register for 4 credits of N9840 Dissertation Research and the zero-credit N9901 Research Residency. Students who are defending while on teaching or research appointments, or who are also completing pre-dissertation degree requirements, must register. These rules apply to the entire academic year (fall, spring and summer semesters). The semester in which distribution occurs is the last semester in which a student is permitted to register. For information about registration requirements for the distribution of the dissertation and distribution deadlines, please visit the [GSAS Registration and Application for PhD Defense](http://gsas.columbia.edu/content/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 semester (fall, spring or summer) in which they distribute final copies of the dissertation (as approved for defense by the sponsor) to the five approved defense committee members. 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](http://gsas.columbia.edu/content/international-students-and-scholars-office) regarding their registration requirements.
APPLICATION FOR DISSERTATION DEFENSE

The Application for Dissertation Defense form (Appendix H: http://gsas-2l12p-01.gzas.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 form must be completed by the sponsor. The organizer of the committee enters the names of the defense committee members and submits the form to the PhD Program Administrator for submission to the GSAS Dissertation Office. The proposed date and time of the dissertation defense must be indicated on the Application for Dissertation Defense. After receiving the Application for Dissertation Defense the Dissertation Office confirms that the candidate has received the MPhil degree and confirms that the committee, as proposed by the department/program, is in accordance with GSAS rules on committee composition.

DISTRIBUTING DISSERTATION COPIES

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

Following approval by the sponsor of the dissertation for defense, the student or the department/program should give a copy of the dissertation to each of the five members of the approved defense committee. 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 examine the defense copy, but students should keep in mind that their committee will look at style and neatness. Objections to the format of the defense copy raised by a committee member must be addressed before the defense is scheduled.

SCHEDULING THE DEFENSE

No defense shall be scheduled until the dissertation sponsor and department/program chair signify (by completing and signing the Application for the Dissertation Defense form) 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 nursing students; all defenses are scheduled by the PhD Program Office. No student may schedule his or her own defense.

Once the Application for the Dissertation Defense form has been submitted to the GSAS Dissertation Office, GSAS will send a “blue folder” to the PhD Program Administrator containing the Voting Sheet and “blue card” used to deposit the dissertation.
During the defense, committee members indicate their votes and sign the voting sheet, which becomes a formal record of the Graduate School. The PhD Program Administrator returns the signed Voting Sheet to the Dissertation Office. The candidate receives the "blue card" when it has been determined by the student’s sponsor or chair that the dissertation is ready for deposit.

**PHD Degree Calendar**

**Dates and Deadlines:** [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 (see above for suggested deadlines).

When the faculty committee has certified that the student has passed the dissertation defense, the candidate must, in order to receive the degree, follow the GSAS instructions for depositing the dissertation. Please visit: [http://gsas.columbia.edu/content/electronic-deposit-faqs](http://gsas.columbia.edu/content/electronic-deposit-faqs) and [http://gsas.columbia.edu/content/deposit-gateway](http://gsas.columbia.edu/content/deposit-gateway).

**THE DISSERTATION DEFENSE**

The defense must be conducted in English.

**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, 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 the student 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.

ELECTRONIC DEPOSIT
When you have completed any required revisions to your dissertation and obtain approval to deposit your dissertation, complete these four steps (in any order) to complete your deposit:

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

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.

Paper copies of dissertations will no longer be available through the Columbia University Libraries. Dissertations are available online through the University's research repository,
SUMMARY: DISTRIBUTION, DEFENSE AND DEPOSIT IN TEN STEPS

Academic Commons, which will be considered the repository of record for Columbia University’s doctoral dissertations. All deposited dissertations will have a catalog entry in CLIO (Columbia’s library database). Refer to Appendix G of this document for information about embargoing dissertations.

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

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.

SCHOOL OF NURSING GRADUATION, DOCTORAL CONVOCATION AND UNIVERSITY COMMENCEMENT CEREMONIES

COLUMBIA NURSING GRADUATION

Nursing graduates are recognized individually for their successful degree completion at the end of spring semester. Students are congratulated on stage by the Dean. This ceremony provides photo opportunities of students progressing in and on stage. Information about Graduation will be sent via email from the Nursing Office of Student Services and will be posted on the School of Nursing website.

DOCTORAL CONVOCATION

Celebrations for candidates from these three conferral dates are held once each year in May. Degree candidates are invited to robe and march in the annual 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. Information about the Doctoral Convocation can be found at http://gsas.columbia.edu/content/phd-convocation

UNIVERSITY COMMENCEMENT CEREMONY

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

SUMMARY: DISTRIBUTION, DEFENSE AND DEPOSIT IN TEN STEPS

The GSAS Dissertation Website lists the steps to be taken to distribute, defend and deposit your dissertation.
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
   PhD Student Program Plans of Study—2013 Cohort
   PhD Student Program Plans of Study—2014 Cohort
   PhD Student Program Plans of Study—2015 Cohort

Appendix B: Contract for Research Practicum

Appendix C: Application for Qualifying Examination for the PhD Degree

Appendix D: Application for the Master of Philosophy

Appendix E.1: Dissertation Proposal Outline—Quantitative

Appendix E.2: Dissertation Proposal Outline—Qualitative


Appendix G: ProQuest UMI, Academic Commons & Copyrighting the Thesis

Appendix H: Application for the Dissertation Defense

Appendix I: (formerly Appendix K) Confirmation of Topics—Qualifying Examination for the PhD Degree

Appendix J: Intent to Schedule Proposal Defense
**APPENDIX A: PHD STUDENT PROGRAM PLANS OF STUDY:**

**TYPICAL PLAN OF STUDY FOR PHD STUDENTS ENTERING FALL, 2010**

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Continuing students must register for 4 credits of N9840 Dissertation Research each semester (fall, spring, summer) until they have completed dissertation requirements.

‘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 comp exam.

PhD students must complete a minimum of 4 credits of N9840 Dissertation Research each semester, and be re-enrolled in this course each semester (spring, summer, fall) until the dissertation is successfully defended.

Course offerings are 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.
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Students continuing beyond the fourth year must register for 4 credits of N9840 Dissertation Research each semester (fall, spring, summer) until they have completed dissertation requirements.

*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 each semester, and be re-enrolled in this course each semester (fall, spring, summer) until the dissertation is successfully defended.

Course offerings are subject to change.
This plan reflects the minimum requirements of 47-51 credits assuming four years of doctoral study. 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 STUDENTS ENTERING FALL, 2012

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

Course offerings are subject to change.

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

Full-time status is 9 credits. To ensure full time status enroll in N9901 Research Residency.

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

This plan reflects the minimum requirements of 47 credits assuming four years of doctoral study. 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 STUDENTS ENTERING FALL, 2013

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

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need to be registered during the semester they defend their dissertation; however, registration is required during the semester in which the student distributes their dissertation.

This plan reflects the minimum requirements of 49-51 credits assuming four years of doctoral study. Additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
## TYPICAL THREE-YEAR PLAN OF STUDY FOR STUDENTS ENTERING FALL, 2014

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</table>

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

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This plan reflects the minimum requirements of 47 credits assuming three years of doctoral study. Additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
## Typical Three-Year Plan of Study for Students Entering Fall, 2015

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<th>Year</th>
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<th>Course</th>
<th>Course Credits</th>
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<td>N9352 Qualitative Research Design/Mthd</td>
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<td></td>
<td></td>
<td>N9356 Intellectual/Conceptual Foundations of Nursing Science</td>
<td>3</td>
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<tr>
<td></td>
<td></td>
<td>Doctoral Seminar</td>
<td>0</td>
<td></td>
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<tr>
<td></td>
<td>Spring '16</td>
<td>N9357 Measurement in Nursing Research</td>
<td>3</td>
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<tr>
<td></td>
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<td>N9355 Quantitative Methods</td>
<td>3</td>
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<td></td>
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<td>P8100 Applied Regression I</td>
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<td></td>
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<td>N9260 Interdisciplinary Research Models</td>
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<td></td>
<td></td>
<td>Doctoral Seminar</td>
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<tr>
<td>Second</td>
<td>Summer '16</td>
<td>N9505 Research Practicum</td>
<td>2</td>
<td>5-8</td>
<td>29-32</td>
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<td></td>
<td></td>
<td>N9353 Advanced Methods</td>
<td>3</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Elective #1 (may be taken summer or fall)</td>
<td>3</td>
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<tr>
<td></td>
<td></td>
<td>Grant writing workshop</td>
<td>0</td>
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<tr>
<td></td>
<td>Fall '16</td>
<td>N9506 Research Synthesis</td>
<td>2</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Elective #1 or #2 (may be taken in summer)</td>
<td>3-6</td>
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<td></td>
<td></td>
<td>Doctoral Seminar</td>
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<tr>
<td></td>
<td></td>
<td>Preparation and submission of F31 proposal</td>
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<td>5-8</td>
<td>37</td>
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<td>Jan. '17</td>
<td>Qualifying Exam: Written &amp; Oral Components</td>
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<tr>
<td></td>
<td>Spring '17</td>
<td>Elective</td>
<td>2</td>
<td>6</td>
<td>43</td>
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<td>N9840 Dissertation Research</td>
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<tr>
<td></td>
<td></td>
<td>N9901 Research Residency</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Third</td>
<td>Summer '17</td>
<td>N9840 Dissertation Research</td>
<td>4</td>
<td>4</td>
<td>47</td>
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<tr>
<td></td>
<td></td>
<td>N9901 Research Residency</td>
<td>0</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Fall '17</td>
<td>N9840 Dissertation Research</td>
<td>4</td>
<td>4</td>
<td>51</td>
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<tr>
<td></td>
<td></td>
<td>N9901 Research Residency</td>
<td>0</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Spring '18</td>
<td>N9840 Dissertation Research</td>
<td>4</td>
<td>4</td>
<td>55</td>
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<tr>
<td></td>
<td></td>
<td>N9901 Research Residency</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

Course offerings are subject to change.

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

Full-time status is 9 credits. To ensure full time status enroll in N9901 Research Residency.

Once PhD students have passed the qualifying examination, they must complete a minimum of 4 credits of N9840 Dissertation Research each semester (fall, spring and summer). Students must register for this course until the dissertation is successfully defended. Students do not need to be registered during the semester they defend their dissertation; however, registration is required during the semester in which the student distributes their dissertation.
This plan reflects the minimum requirements of 47 credits assuming three years of doctoral study. Additional credits may be needed to complete all prerequisites or other requirements as determined by the academic advisor.
APPENDIX B: CONTRACT FOR RESEARCH PRACTICUM

COLUMBIA UNIVERSITY
School of Nursing

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: ______

REVISED AUGUST 2015
APPENDIX C: APPLICATION FOR QUALIFYING EXAMINATION FOR THE PHD DEGREE

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):

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Title</th>
<th>Completed (Semester/Year)</th>
<th>Currently Enrolled</th>
</tr>
</thead>
<tbody>
<tr>
<td>P6103</td>
<td>Intro Biostatistics</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N9910</td>
<td>Translation/Synthesis Evidence/Optimal Outcomes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N9352</td>
<td>Qualitative Research Design and Methods</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N9356</td>
<td>Intellectual and Conceptual Foundations of Nursing</td>
<td></td>
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<tr>
<td></td>
<td>Science or equivalent course (N9351 Concept Development &amp; Measurement of Clinical Phenomena)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N9357</td>
<td>Measurement in Nursing Research</td>
<td></td>
<td></td>
</tr>
<tr>
<td>N9355</td>
<td>Quantitative Research and Design</td>
<td></td>
<td></td>
</tr>
<tr>
<td>P8100</td>
<td>Applied Regression</td>
<td></td>
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<tr>
<td>G4010</td>
<td>Responsible Conduct of Research</td>
<td></td>
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<tr>
<td>N9260</td>
<td>Building Interdisciplinary Research Models</td>
<td></td>
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<tr>
<td>N9505</td>
<td>Research Practicum</td>
<td></td>
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<tr>
<td>N9353</td>
<td>Advanced Methods in Health Services Research and Policy Analysis</td>
<td></td>
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<tr>
<td>N9506</td>
<td>Research Synthesis</td>
<td></td>
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<td>Electives (6 credits):</td>
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<tr>
<td>Elective #1</td>
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<tr>
<td>Elective #2</td>
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</table>

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

Student Signature ___________________________ Date __________________

Approved: (signatures)

Advisor ___________________________ Date: ____________

Director, PhD Program ___________________________ Date: ____________
APPENDIX D: APPLICATION FOR THE MASTER OF PHILOSOPHY

APPENDIX E: REPORT OF THE DISSERTATION PROPOSAL COMMITTEE

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

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

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

• Methodology as appropriate to the design

  ▪ **Population/Sample/Participants**
    • Description of subjects
    • Recruitment source of subjects
    • Method of recruitment
    • Subject inclusion/exclusion criteria
    • Sample size estimation (power analysis)

  ▪ **Description of design and treatments if appropriate**

  ▪ **Data Collection**
    • Concepts/variables with their operational definition and plan for measurement
    • Specify sources such as interviews, histories, instruments, documents, etc.
      ▪ Describe each used:
      ▪ Type, # of items
      ▪ Task for respondents
      ▪ Administration and scoring procedures
      ▪ Adoption, adaptation or invention
        • Validity
        • Reliability
    • Description of data collection should be in sufficient detail to enable any other researcher to carry it out. In quantitative studies most of this can be done prior to the collection. In qualitative, should be in sufficient detail to demonstrate a well thought out plan although actual approach may change during data collection.

  ▪ **Data Analysis**
    • Strategies that will be used to analyze the data to answer the Questions(s)/Hypotheses/ Purposes posed, such as statistical, historical, philosophical, comparative analysis, etc.
    • Analytic plan for each aim should be articulated in detail

  ▪ **Protection of human subjects**
    • Consents
    • IRB status
    • Confidentiality issues

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

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

• **Time Table**
  ▪ Realistic
  ▪ Feasible

Instruments, instructions, consent forms, letters of invitation to participate, permission to use copyright material, letters of support, and other communications are not included.
APPENDIX 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.

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

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

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

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

Supervision and student enrollment:

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

Authorship:

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

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

For policies regarding the composition of the dissertation committee, see 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.

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:
Day of the week: Date: Time: Room:

For GSAS use □ Intent □ Dist. reg. □ Title □ Bluefolder □ M.Phil. (date) □ COMM □ Notices emailed APPROVED DATE
APPENDIX I: 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 ________________________

REVISED AUGUST 2015 59
APPENDIX J: INTENT TO SCHEDULE DISSERTATION PROPOSAL DEFENSE

(Please type or print legibly)

I, ___________________________, have discussed with my advisor the requirements for Dissertation Proposal Defense and I have:

- Identified potential dissertation committee members;
- Met with (or scheduled a meeting with) the full committee at least once prior to the form dissertation proposal defense;

The Dissertation Proposal Defense has been scheduled for ______________________ 
(date/time)

The plan for the student’s dissertation will be (choose one):

____ Traditional dissertation format
____ Manuscript (Publication Format)

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

Manuscript 1: __________________________________________________________
Targeted Journal 1: ______________________________________________________
Manuscript 2: __________________________________________________________
Targeted Journal 2: ______________________________________________________
Manuscript 3: __________________________________________________________
Targeted Journal 3: ______________________________________________________

<table>
<thead>
<tr>
<th>Name</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dissertation Sponsor:</td>
<td>1.</td>
</tr>
<tr>
<td>Dissertation Committee Member</td>
<td>2.</td>
</tr>
<tr>
<td>Dissertation Committee Member</td>
<td>3.</td>
</tr>
</tbody>
</table>

Student Signature ____________________________________________________________
Date ____________________

Sponsor/Advisor Signature ______________________________________________________
Date ____________________

Director’s Approval: ___________________________ Date: ____________________

REVISED AUGUST 2015 60