

Columbia University School of Social Work

Doctoral Program Resource Guide

2011-12 Edition

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Using this Guide

This resource guide aims to provide doctoral students (both current and prospective), faculty and administrators with pertinent facts about the Columbia University School of Social Work (CUSSW) Doctoral Program. Although the guide focuses primarily on rules and regulations concerning degree requirements, it also includes an abundance of additional hands-on information about the program.

This guide supplements and assumes knowledge of material in the current Columbia University Graduate School of Arts and Sciences (GSAS) bulletin, particularly with regard to policies that pertain to the university community at large. The goal herein is to concentrate more specifically on the Doctoral Program experience; as such we recommend that all those who work closely with the Doctoral Program read and familiarize themselves with the content of this guide.

Doctoral students and faculty should be aware that, over the past several years, the Doctoral Program has undergone a restructuring of both its curriculum and financial support programs for doctoral students. Because of this, several new policies (e.g., elimination of the qualifying paper, R credit policy changes) have been implemented over the years, thus producing slightly varied curriculum requirements for different student cohorts. Students should assume that policies pertaining to basic curriculum requirements (required number of credits, required courses, etc.) remain consistent with the policies for the year in which they entered the program. However, students should also be aware that many general program policies remain the same, or have been elaborated upon further in this year's edition. These policies (for waiving course requirements, deadlines for the degree requirements, leaves of absence, and termination from the program, to name a few) are consistent for all cohorts. Wherever possible, this guide addresses the policies that pertain to the majority of current doctoral students. Please contact the Doctoral Office if you feel that a point needs to be clarified.

In compiling this guide, we acknowledge contributing sources, including the annual Graduate School of Arts & Sciences bulletin, past Doctoral Program manuals, the Columbia University Faculty Handbook, Dr. Karen Staller's essay "Doctoral Education: Looking Past and Present" and Alfred J. Kahn's speech, "Themes for a History: The First Hundred Years of the Columbia University School of Social Work."

The Doctoral Program Chair and the Doctoral office staff are available to clarify the policies and procedures contained herein and to provide related guidance. We note, however, that students are wholly responsible for knowing the program's policies, meeting the program requirements, and adhering to designated deadlines and time limits. We hope that you find the Doctoral Program Resource Guide a helpful document, and wish you all the best for the 2011-2012 academic year.

Introduction to the Doctoral Program

Since its inception in 1950, the doctoral program at the Columbia University School of Social Work has been at the forefront in preparing social work leaders to tackle the most challenging problems facing the profession. Doctoral students at Columbia come in asking probing questions about the myriad of challenges and concerns facing vulnerable populations and the social workers who work with them, and they graduate well equipped to take on leadership in finding the answers that will advance the profession into the future.

The Ph.D. program's great strength is in equipping the next generation of scholars, researchers, and teachers in the field of social work and social welfare. The faculty at the Columbia University School of Social Work are consistently recognized as among the most gifted and academically productive cadre of social work scholars in the United States, holding diverse backgrounds, perspectives, and interests.

Doctoral students enjoy opportunities to learn from and conduct research side-by-side with nationally and internationally recognized scholars in their fields—and not only within the School of Social Work, but beyond in the other social and behavioral sciences departments at Columbia as well. This interdisciplinary exposure within the program balances the best of social work’s professional concerns for highly complicated social problems, along with the state-of-the-science disciplinary methods and theory that can help shed light in devising effective responses. And given Columbia’s recognized position, doctoral students enjoy many opportunities to learn and develop collegial relationships with a top-flight, highly diverse cadre of fellow doctoral students who join the program. Only a world-class university like Columbia can put at one’s fingertips such a rich selection of educational resources, research centers, collegial and interdisciplinary opportunities, combined with the unparalleled teeming social laboratory that is New York City.

The Doctoral Program requires approximately two years of course work (three semesters of full-time residency are required) and includes two to three advanced social work method courses at CUSSW, plus courses in other professional schools and graduate divisions of the University. In order to complete the requirements for the Ph.D., doctoral students must pass examinations that demonstrate mastery in integrating social science theory and research methodology within the student’s chosen field of substantive interest. Finally, students must prepare and successfully defend an original, scholarly dissertation that contributes to and advances knowledge in social work.

A Historical Look at the School of Social Work and the Doctoral Program

Social work practice in the U.S. began at the turn of the century with the compassionate concerns of the charity organization movement. Social work education began in 1898 when the New York Charity Organization Society established a summer school for volunteers who wanted to deepen their understanding of the poor people they were dedicated to helping. This was extended to a one-year program in 1904 (and a full two years in 1910) to provide workers with adequate training for managing charitable institutions or advising families about their complex needs.

Originally called the New York School of Philanthropy, the program was renamed the New York School of Social Work in 1917 and the Columbia University School of Social Work in 1963. The School has maintained continuous academic connections with Columbia University, becoming formally affiliated in 1940, and a member of the Columbia University Corporation in 1959.

The School has a distinguished history of leadership in social work practice, social policy, and social work education. The faculty have always included nationally and internationally renowned scholars and educators who have shaped the knowledge base of the profession through their lectures and writings, including the basic texts used today in many schools throughout the world. These individuals have developed many of the models for modern social work education and practice — psychiatric social work, bureaus of child guidance, research programs, required fieldwork, and doctoral programs. Alumni of the school have earned honor and distinction as leaders in public and voluntary organizations worldwide. Many are deans and faculty members of Schools of Social Work, while others are building present and future leadership through achievements in practice, policymaking, and research.

The 1940's and 1950's were a period of rapid change at the School, as a new generation of professors brought major curricular changes and educational advances. As the School launched an agenda to improve and enrich its educational program, it effected major changes in social work and social work education. This was also the era in which doctoral training came to the School. Eveline M. Burns, who joined the faculty in 1946, was designated to spearhead the exploration and negotiation of a Doctor of Social Welfare degree. The social work degree was designed to parallel the Ph.D. requirements of the

Columbia Graduate School of Arts and Sciences and specifics were negotiated with the Executive Committee of that faculty. Permission to develop the program was granted in 1946, implemented in 1950, and the first degree was awarded in 1952 to Alfred J. Kahn.

After a gradual start, the program hit its degree-granting pace in 1959-60 and was soon awarding half of the social work doctorates in the country. Almost 50 years after the degree's inception, it was changed from the D.S.W. to the Ph.D. To date, the Columbia University School of Social Work Doctoral Program has awarded over 600 doctoral degrees in Social Work, and it continues to produce leading scholars and researchers in the field.



DOCTORAL PROGRAM CURRICULUM

The doctoral curriculum is designed to enable students to develop and demonstrate the capacity to examine highly complex human problems in depth, arriving at new knowledge and solutions with rigorous and exacting minds. Through concentrated course work and independent study within and beyond the School of Social Work, students achieve a systematic and intellectual grounding in the theory and history of social welfare, extensive training in research methods and statistics, concentration in a social work method specialization, and integrated exposure to social or behavioral science theory. Successful completion of the Doctoral Program requires approximately two full-time years of course work, plus time for tutorials, research projects, examinations, and dissertation work. Required course work is taken both within the School of Social Work and in other social and behavioral science departments at Columbia University. All students also conduct an intensive individualized research practicum with a faculty supervisor. The typical doctoral program course load is four courses per semester. Some students, however, have found a five-course semester to be manageable. Depending on a student's course load, the doctoral program course work can be completed in full after three or four semesters. Overall, the curriculum is characterized by a rigor and scope specifically designed to prepare our doctoral students to be leading authorities in their chosen areas of study.

The Social Work Method Concentrations

Each prospective student applying to the Doctoral Program selects a social work method concentration. There are three concentrations from which to choose:

- ❖ Advanced Practice
- ❖ Social Policy & Policy Analysis
- ❖ Social Policy & Administration

Each method is comprised of a unique sequence of core method courses, therefore the choice of method should be tailored to one's scholarly interests and future career plans.

Advanced Practice: This method is advised for students who are preparing for careers as practice researchers, teachers or other leadership tracks and wish to remain involved in practice and

programming. The relationship between research and its application to direct practice is a major theme throughout the advanced practice courses.

The two-course advanced practice sequence includes:

- ❑ Seminar in Advanced Social Work Practice (T8203)
- ❑ Ecosystems Perspective: Theory, Research and Practice (T8202)

The sequence explores a broad range of issues, including the following:

- Contemporary issues in social work practice: theories, current ideological debates, comparison of practice approaches
- Political, organizational, individual, and environmental factors that influence the development, evaluation and research of clinical practice across system levels
- Social, political and organizational constraints on service development, as well as cross-cultural and ethical issues

Social Policy & Policy Analysis: This method is appropriate for students preparing to teach and/or conduct research in the formulation of social policy or policy analysis.

The two-course social policy & policy analysis concentration consists of:

- ❑ Comparative Social Policy (T8404)
- ❑ Seminar in Social Policy Analysis (T8407)

Some of the major tenets of the policy concentration include:

- Developing a background in comparative social policy, focusing on rich nations but including middle income and poor countries, developing familiarity with international and cross national data sets, and cross national differences and similarities in development, expenditures, impacts, trends and issues, analytical paradigms, and policy debates.
- Learning about different types of policy analysis and their relation to specific social problems, including cost-benefit analysis, cost effectiveness analysis, literature reviews, statistical analyses, random assignment experiments, and micro-simulation.

Students who select the social policy and policy analysis concentration must also complete a minimum of two courses in microeconomics. These courses may count toward an advanced research and/or social/behavioral science course requirement.

Social Policy & Administration: The Social Administration method prepares students for careers as researchers, academicians and leaders in the management and organization of social programs. All social programs, whether public, nonprofit, for-profit or hybrid, are embedded in a dynamic interdependent system of services and delivered through complex organizational environments. This method prepares students to focus on systems and organizations in their work. This includes micro topics such as leadership, motivation, organizational justice, entrepreneurship, work (re)design and teams, and macro topics such as social and economic development, social enterprise, social movements, management and the design of interventions, organizations, and systems.

The two required courses in the administrative sequence are:

- ❑ Social Administration (T8403)
- ❑ Comparative Social Policy (T8404)

Additionally, the social administration faculty offer a recommended course focused on micro organizational theory and research.

Overview of the Degree Requirements

A prototypical student's route to the Ph.D. in Social Work generally requires the completion of a minimum of 49.5 credits. At a minimum, students must complete 30 credits within the Columbia University system, 18 credits of which must be attained within the School of Social Work. This section provides a quick reference and overview of the program curriculum. For the complete descriptions of courses offered within the School, please refer to pages 15-17.

1) Doctoral Proseminar in Social Work Research (0 credits)

Required of all degree candidates, the proseminar introduces incoming doctoral students to the research process and a range of research studies as well as the faculty conducting them at Columbia. It also provides some ongoing group advisement.

2) Comparative Histories of Social Welfare and Social Work (T8801) (3 credits)

Required of all degree candidates. Taken in the first semester, this course provides a comparative historical and philosophical perspective on the development of social welfare and social work institutions, concepts, issues and paradigms in the U.S. and two other nations or parts of the world.

3) 2 courses in a social work method (6 credits)

As described above, these courses form the framework of the student's introduction to and mastery of a social work method: Advanced Practice, Social Policy & Policy Analysis, or Social Policy & Administration. In addition, students in the Social Policy & Policy Analysis track are required to complete two semesters of microeconomics.

4) 7 courses in research methodology and statistics (21 credits)

Students must take three courses in research methods, three courses in statistics, and a seventh course in either area for a minimum total of 21 credits.

To satisfy the research methods requirement, all students (unless granted a course waiver) are required to take the introductory Research Methods in Social Work course (T8502). In subsequent semesters, students may choose to take advanced courses covering various historical, qualitative and quantitative methodologies. Often the advanced courses are taken in other departments of the University. Students who waive out of T8502 must still complete at least 9 credits in the research methods area. Students in the policy concentration may count one of their microeconomics courses toward the research methods requirement.

All statistics courses are taken in other departments of the University. Advanced course topics include measurement, applied regression analysis, structural equation modeling, and advanced analytic topics suitable for diverse research designs and data types. Such courses are available at a number of departments in the University. Students who waive out of introductory level statistics courses are still

required to take at least 9 credits in the statistics area. The doctoral office has mapped out possible statistics course sequences available for reference.

5) 3 courses in social or behavioral sciences (9 credits)

These courses may be taken in economics, sociology, psychology, political science, anthropology, social history, organizational theory and geography. In general, students should take *all* of their social or behavioral science courses within the same discipline (with exceptions requiring justification). The choice of social science area should be particularly relevant to each student's dissertation themes and career objectives. Students must declare their chosen social or behavioral science concentration by the end of their first year or beginning of their second year in the program, and have it approved by their advisor.

Note: Students in the policy concentration may count one of their microeconomics courses toward this requirement.

6) A 360-hour research practicum (not taken for course credit)

The purpose of the research practicum is to link classroom learning to the dissertation process by providing students with an applied research internship in conjunction with a current faculty research project. The practicum, typically completed during the student's second through fourth semesters, involves 8-12 hours of work per week for 30-45 weeks. The practicum is designed with concrete objectives in mind and may lead to the development of a publishable paper.

7) A field of practice tutorial (3 credits)

Each doctoral student is required to demonstrate expertise in a field of practice related to their substantive interests and career goals. Students complete a field of practice tutorial (course T8003) with a social work faculty member during their third semester. Previous T8003 fields of practice tutorials have included topics such as family and child policy; social work in the workplace; mental health services; family, youth and children's services; social gerontology; comparative social policy and HIV/AIDS. The field of practice tutorial should also help students prepare their reading lists for the comprehensive exams. Students receive a letter grade for this course, and may not take it for R credit. Students may also select a course that focuses on their substantive area(s) of interest in another department or school, so long as permission is granted by the doctoral program.

8) Comprehensive examinations

When students have completed all required course work, they may sit for the comprehensive examinations. The comprehensive exams, which aim to help students synthesize and integrate their social work methods, social/behavioral science and field of practice courses, are taken in two stages: a written examination and an oral follow-up examination conducted by a faculty panel. While the exams are usually completed in the 3rd year, preparation of components such as the reading list are likely to begin soon after entering the program. See pp. 28-30 for more details.

9) The Dissertation

The successful defense of the dissertation is the final eligibility criterion for the Ph.D. degree. Dissertation planning begins early in the course of studies, but becomes more focused after the social work method courses and field of practice tutorial have been completed. Students take a Dissertation Seminar course with their peers during the first semester of their third year and receive faculty advisement through the required Dissertation Research Instruction course (T9800, 6 pts.). In this course, faculty guide the degree candidate through the processes of selecting a study topic, developing an approved proposal, implementing the research, and writing the dissertation. Students defend their dissertation proposal and the completed dissertation in front of a five-member interdisciplinary

committee. They are evaluated on the basis of their potential for independent scholarship and, optimally, on the contribution of their work to the social work discipline.

The Graduate School of Arts and Sciences permits students a maximum of 7 years to complete all requirements for the Ph.D. However, with timely and proficient progress through the doctoral program's curriculum, most students can finish their degree in 3-5 years.

Credit Requirements

In the process of earning the Ph.D., most doctoral students will accumulate 45 - 50 credits. Nonetheless, students should note the following stipulations when they are planning their academic schedule:

- 1) At least **30 credits** toward the Ph.D. must be earned within the Columbia University system.
- 2) **At least 18 of these 30 credits** must be taken within the School of Social Work.

Below is a general course timeline for the doctoral program. While individual schedules may vary (and some course schedules may be subject to change), this is intended to give students an overall picture in order to aid in program planning. Students should meet once per semester with their advisor to consult with them about their own course trajectories; if they have any question, they should consult the doctoral office.

Students should also familiarize themselves with the progress report chart listed on pages 64-65 as this may aid them in their program planning.

SAMPLE STUDENT SCHEDULES FOR THE DOCTORAL PROGRAM:

Please note that this is a model only. Some courses may be available in alternating years.

	Advanced Practice	Social Policy & Policy Analysis	Social Policy & Administration
1st Year – Fall	<ul style="list-style-type: none"> • Doctoral Proseminar in Social Work Research (T8002) • Comparative Histories of Social Work & Social Welfare (T8801) • Research Methods in Social Work (T8502) • First Statistics Course • First Social/Behavioral Science Course 	<ul style="list-style-type: none"> • Doctoral Proseminar in Social Work Research (T8002) • Comparative Histories of Social Work & Social Welfare (T8801) • Research Methods in Social Work (T8502) • First Statistics Course • Microeconomics & Policy Analysis I (T7811) + lab 	<ul style="list-style-type: none"> • Doctoral Proseminar in Social Work Research (T8002) • Comparative Histories of Social Work & Social Welfare (T8801) • Research Methods in Social Work (T8502) • First Statistics Course • First Social/Behavioral Science Course
1st Year – Spring	<ul style="list-style-type: none"> • Seminar in Advanced Social Work Practice (T8203) offered in alternating years • Second Statistics Course • Second Research Methods Course • Second Social/Behavioral Science Course 	<ul style="list-style-type: none"> • Comparative Social Policy (T8404) • Seminar in Social Policy Analysis (T8407) • Second Statistics Course • Second Research Methods Course • Microeconomics & Policy Analysis II (T7812) + lab 	<ul style="list-style-type: none"> • Comparative Social Policy (T8404) • Social Administration (T8403) • Second Statistics Course • Second Research Methods Course • Second Social/Behavioral Science Course
2nd Year – Fall	<ul style="list-style-type: none"> • Ecosystems Perspectives (T8202) offered in alternating years • Field of Practice Tutorial (T8003) or approved equivalent course • Third Statistics Course • Third Research Methods Course • Third Social/Behavioral Science Course 	<ul style="list-style-type: none"> • Field of Practice Tutorial (T8003) or approved equivalent course • Third Statistics Course • Third Research Methods Course • Second Social/Behavioral Science Course 	<ul style="list-style-type: none"> • Field of Practice Tutorial (T8003) or approved equivalent course • Third Statistics Course • Third Research Methods Course • Third Social/Behavioral Science Course
2nd Year – Spring	<ul style="list-style-type: none"> • Fourth Research Methods or Statistics Course 	<ul style="list-style-type: none"> • Fourth Research Methods or Statistics Course • Third Social/Behavioral Science Course 	<ul style="list-style-type: none"> • Fourth Research Methods or Statistics Course
3rd Year – Fall	<ul style="list-style-type: none"> • Dissertation Seminar (T8505) • Doctoral Research Instruction (T9800) • Comprehensive Exams 	<ul style="list-style-type: none"> • Dissertation Seminar (T8505) • Doctoral Research Instruction (T9800) • Comprehensive Exams 	<ul style="list-style-type: none"> • Dissertation Seminar (T8505) • Doctoral Research Instruction (T9800) • Comprehensive Exams
3rd Year – Spring & Beyond	<ul style="list-style-type: none"> • Students prepare and defend dissertation proposal; file for the Master in Philosophy (M.Phil.) degree; conduct further research; and write, defend and deposit the completed dissertation. 	<ul style="list-style-type: none"> • Students prepare and defend dissertation proposal; file for the Master in Philosophy (M.Phil.) degree; conduct further research; and write, defend and deposit the completed dissertation. 	<ul style="list-style-type: none"> • Students prepare and defend dissertation proposal; file for the Master in Philosophy (M.Phil.) degree; conduct further research; and write, defend and deposit the completed dissertation.

Students prepare and defend their dissertation proposal, file for their Master in Philosophy (M.Phil.) degree, conduct further research and write the dissertation in full, and defend and deposit the dissertation.

Additional Degree Requirements

Potentially, students may be asked to fulfill requirements not specified in the above sections. The following examples illustrate some of the scenarios in which students may need to complete additional degree requirements:

- Students who enter the program with credentials other than a Master's degree in Social Work from an accredited U.S. or Canadian School of Social Work may be asked to take additional course work or acquire additional work experience in the field. Such requirements will be specified at initial registration or during program planning.
- The Doctoral Chair and the student's advisor may recommend that a student complete more than the minimum courses in order to better prepare for the comprehensive examinations.
- A dissertation topic may warrant additional requirements. For example, an historical dissertation may require a course on research methods in history and/or substantive courses on the historical period of interest.

COURSEWORK

The first year in the doctoral program is comprised of courses designed to introduce students to social work research and scholarship. In the first semester, students take two mandatory courses intended to provide a broad overview of the field. Comparative Histories of Social Welfare and Social Work (T8801) details the historical and philosophical underpinnings of the profession, while the Doctoral Proseminar in Social Work Research (T8002) highlights a range of ongoing research studies at Columbia University. Students typically initiate their 360-hour research practicum starting in the first year. First year students also usually take two courses in research methodology, two courses in statistics, either one or two social or behavioral science courses, and, depending on the student's method concentration, one or two courses in a social work method. Students should note during program planning that some courses are offered only in alternating years.

Academic Advisors

During the summer prior to beginning the program, incoming students are assigned an academic advisor. This individual, a full-time faculty member, serves as a guide during the student's first two years of course work, and is responsible for regular consultation with students concerning their progress in the program. The Chair of the doctoral program is also available to all students for consultation and provides some group advisement. Advisors and students should meet at least once each semester in order to plan the student's academic schedule, discuss possible social / behavioral science and advanced research and statistics courses, and consult about preliminary dissertation topics. Every endeavor is made to match students with a faculty member with similar research interests, however, students are advised that they are also welcome to consult with faculty members in addition to their advisor.

Later in their doctoral candidacy, students will choose a dissertation sponsor (see the Dissertation Sponsors section on page 32).

Classes in the First Year

First year students are automatically registered for most of their core courses for the fall semester. Students in the Advanced Practice concentration are automatically registered for the first course in their required sequence. Students in the Social Policy & Policy Analysis concentration are registered for the first semester of an appropriate microeconomics sequence. The Doctoral Office also assists first-year students in registering for an introductory statistics course within the Columbia University system.

First Semester Courses (all students):

- ❖ Social Work T8002. Doctoral Proseminar in Social Work Research
- ❖ Social Work T8502. Research Methods in Social Work
- ❖ Social Work T8801. Comparative Histories of Social Welfare and Social Work
- ❖ First statistics course

Statistics Courses:

Statistics course choices are left to the discretion of the student, who should consult with their academic advisor (as well as other faculty they wish to work with) in order to determine which statistics courses offered at Columbia will prove most useful to the student's proposed course of study. Several departments that offer statistics courses relevant to a social work student's doctoral studies include international and public affairs, psychology, public health, statistics and sociology departments. Students may consult their advisor, the doctoral office and/or the doctoral chair in order to select appropriate courses. The doctoral office maintains information on possible courses and course sequences.

Advanced research methods and statistics courses:

Many research methodologies and advanced analytic approaches are applicable to social work scholarship. Students should select advanced courses appropriate to their social work method as well as their provisional dissertation topic. Advanced research methods courses include historical, qualitative and quantitative methodologies. Examples of advanced statistics courses include measurement, applied regression analysis, structural equation modeling, and advanced analytic topics appropriate for various research designs and data types.

Courses should be selected with the aim of fostering competence in most of the following areas:

- 1. Problem formulation:** Conceptualizing research problems, understanding the role of theory, hypothesis generation, and the relationship of problem formulation to research design.
- 2. Research design:** Examples include cross-sectional surveys, field and laboratory experiments, longitudinal studies in naturalistic settings, single and multiple case studies in historical, clinical, and organizational research.
- 3. Data collection:** Examples include questionnaire construction, structured and unstructured interviewing, observational methods, recruitment and retention of participants, and research with vulnerable populations.
- 4. Measurement:** Includes topics such as index construction and scaling, formation of typologies, rating scales, and psychometric properties.

5. Data analysis: Procedures include descriptive and inferential (parametric and nonparametric) statistics, software programs for management and analysis of quantitative and qualitative data.

Note on waiving research methods or statistics course requirements:

Students who have completed prior graduate research courses may be eligible to waive up to two semesters in either research methods or statistics. It is important to note, however, that when a course is waived it does *not* mean that a student may take less than the minimum total of seven courses in the research methods and statistics areas. It merely means that students are allowed to enroll in more advanced coursework.

The one course that students most often choose to waive, if they have sufficient experience, is T8502: Research Methods in Social Work. If students can provide proof of previous course work equivalent to T8502 (usually previous course syllabi and/or reference from an appropriate professor is required), they may be eligible to waive out of the course.

In order to make a course waiver official, the student must obtain written permission from the instructor of the course being waived. Waiver forms for T8502 may be obtained from the Doctoral Office.

Social / Behavioral Science Courses

Knowledge of relevant social and behavioral science theories is key to the formulation, conduct, and application of social work research. Since time constraints preclude extensive course work in the social and behavioral sciences (three courses are required over the first two years of the program), supplemental guided readings with appropriate faculty beyond the minimum courses may be essential to preparing for the comprehensive examinations.

Students are not expected to master an entire social / behavioral science field. Rather, they should select a circumscribed area of a single social or behavioral science or integrate aspects of several social / behavioral sciences that are particularly germane to their social work method, substantive area, research goals, and career objectives. Bulletins of other professional schools and departments that offer such courses can be found at <http://www.columbia.edu/cu/bulletin/> or in the Doctoral Program Course Selection Guide available in the doctoral office. Information about the various sections of microeconomics, the course sequence required for policy students, may be found here as well.

Students should consult with their academic advisors upon entering the program in order to determine an appropriate choice of social / behavioral science. All students must declare their chosen social / behavioral science, and have it approved by their advisor, by the beginning of the 3rd semester.

Students may choose from the following social/behavioral sciences:

- Anthropology
- Economics
- Geography
- History
- Organizational Theory
- Political Science
- Psychology
- Sociology

Students in the policy concentration may choose to count one semester of their microeconomics courses toward the social / behavioral science requirement.

Field of Practice Tutorials

In addition to the basic course requirements for each of the social work method concentrations, students select a field of practice based on their substantive interests and career goals. Decisions about the field of practice should relate to both the student's social or behavioral science courses and dissertation planning.

Students typically complete a field of practice tutorial with a social work faculty member during their third semester in the program. These doctoral level courses are signified by the course number T8003. Students must receive a letter grade for the course.

In order to take the T8003 tutorial, students should first contact faculty a semester in advance to see if they will offer a tutorial during the upcoming semester, or if they would be willing to work with a student on a newly devised tutorial. After obtaining permission to work with a faculty member on the tutorial, students should contact the doctoral office to ensure that the section number and title is added to the Directory of Classes so that they may register for it just as they would their other coursework.

The tutorial usually requires students to meet with the faculty member on a regular basis during the semester and discuss issues in their chosen field of practice. T8003 involves an extensive reading list that guides the semester's discussions and forms the body of knowledge from which questions for the comprehensive examinations will be derived.

The following tutorial topics have been offered under the T8003 heading in recent years.

- Families, Youth and Children
- Gerontology/Aging
- Women
- Health/Mental Health
- World of Work
- International Social Welfare
- HIV / AIDS
- Alcoholism and Substance Abuse
- Disability
- Poverty and Inequality
- Immigrants and Refugees
- Human Services Organization

Alternatively, students may elect to take a course that focuses on their substantive area(s) in another department or school, so long as they receive approval from the doctoral office.

Please consult the CUSSW Registrar's Office and/or website in order to determine what courses are currently being offered.

Doctoral Courses Offered within the School of Social Work

The following courses are regularly offered by the School. Please note that some courses are offered in alternating years only, so it is best to check the latest course offerings in the Directory of Classes.

Social Work T8002. Doctoral Proseminar in Social Work Research

0 credits. Required of all degree candidates. The proseminar introduces incoming students to social work research enterprise and the broad range of faculty at the School and their scholarly activities. It also provides some ongoing group advisement.

Social Work T8003. Field of Practice Tutorial

3 credits. Required for all degree candidates. Field of practice tutorials offer students a venue in which to focus, with the guidance of faculty experts, on research and readings related to their respective areas of substantive interest. They also provide an opportunity for students to further hone their list of seminal readings in preparation for the comprehensive exams. Students solicit faculty with expertise in their area to initiate a tutorial, usually in the fall of the second year.

Social Work T8202. Ecosystems Perspective: Theory, Research and Practice

3 credits. Required for practice students. Focuses on exploration of the knowledge bases and research issues for the understanding and supply of 1) the transactions between people and their environment and 2) related practice.

Social Work T8203. Seminar in Advanced Social Work Practice

3 points. Required for practice students. This seminar is designed to examine issues in the development and research of knowledge for social work practice.

Social Work T8403. Social Administration

3 credits. Required for administration students. An elective for other students. This is a course on basic macro and micro organizational theory and research designed to give students a grounding for their dissertation research. General organizational theory as well as human service organizational theory are covered. Depending on the interests of students in the class, there also are opportunities to explore more specific organizational theory and research to allow students to advance their research interests. Since human services now occur in all three sectors, the course prepares students for interests in the nonprofit, public and for-profit sectors, and for cross-sector activities. This is a reading intensive course that requires students to critically examine diverse organizational phenomena.

Social Work T8404. Comparative Social Policy

3 credits. Required for policy and administration students. This course introduces the student to the literature and data on social policies across the world. Most of the readings focus on similarities and differences within the rich world, but attention is also paid to policies in low and middle income countries. Students work in small teams to produce a paper with a quantitative analysis of differences in policies or outcomes across countries.

Social Work T8407. Seminar in Social Policy Analysis

3 credits. Required for policy candidates. This course is designed to enhance students' ability to conduct social policy analysis by acquainting them with several key analytic tools, e.g., cost-benefit analysis, literature reviews, regression analysis, social experimentation, and micro-simulation analysis.

Social Work T8502. Research Methods in Social Work

3 credits. Required for all students. A review of research methods from the perspective of social work research concerns. Topics include problem formulation, research design, data-gathering techniques, and measurement and data analysis. Selected aspects of these areas are intensively reviewed in terms of social work research. Students enroll in this course in the first semester of the first year.

Social Work T8505. Dissertation Seminar

1.5 credits. Required for all students. The dissertation seminar is taken in the 5th semester of the program. It is a working forum that permits students to explore the process of initiating their dissertation research with peers. Students prepare and discuss an outline of their proposed dissertation research, develop an Institutional Review Board protocol for the protection of human research participants, learn practical strategies to manage their dissertation writing, and become familiar with a range of interpersonal, scholarly, and institutional resources that can assist in the dissertation process. While the dissertation seminar is meant to assist students with their individual dissertation work, the seminar also emphasizes the development of collegial relationships and peer review skills.

Social Work T8506. Inequality, Poverty and Public Society (elective)

3 credits. This course will address issues relating to wealth and income inequality in American society, the definition of poverty, the composition of the poverty population, and the causes of poverty. Evidence will be examined regarding trends in inequality, duration of poverty spells, repeat stays on welfare, and the perpetuation of inequality across generations. Several large data sets which contain information on inequality and poverty issues, and which will be made available for class use. Either individually, or in teams, students will formulate research projects and undertake analyses from one or more of the data sets. A written research paper at the end of the semester will be required from each student or team. This course may be taken for research methods credit.

Social Work T8507. Intervention Research Methods (elective)

3 credits. Focuses on the science of behavioral intervention research and provides students with the knowledge and skills to design and evaluate such research. Covers research design, theory and its relationship to study aims, methodology, measurement and outcomes, efficacy and effectiveness clinical trials, different types of intervention research, sampling, recruitment, the process of intervention development, the use of process measures to examine intervention implementation, assessing fidelity and adherence, conducting data analysis, and the importance of research ethics. This course can count toward the research methods requirement.

Social Work T8509. Qualitative Research Methods I (elective). *Not offered in 2011-2012.*

3 credits. Prerequisite: T8502. First part of a two-semester sequence course designed to introduce students to the theory, method, and practice of qualitative research. Different approaches to inquiry and methods of qualitative research are examined, as are ethical issues and analytic strategies. Students are required to conduct a small study in the area of their choosing. This course may count toward the research methods requirement.

Social Work T8510. Qualitative Research Methods II (elective). *Not offered in 2011-2012.*

3 credits. Prerequisite: T8509 or permission of instructor. Second part of a two-semester sequence course designed to introduce students to the theory, method, and practice of qualitative research. Different approaches to inquiry and methods of qualitative research are examined, as are ethical issues and analytic strategies. This course may count toward the research methods requirement.

Social Work T8511. Advanced Methods for Policy Analysis (elective)

3 credits. Prerequisites: A course on causal inference or the equivalent plus strong familiarity with STATA. This advanced course focuses on the use of empirical methods in policy analysis. Through a

series of directed readings on major policy topics, students learn how policy research methods have been used and what their strengths and limitations are. This course may count toward the research methods requirement.

Social Work T8801. Comparative Histories of Social Welfare and Social Work

3 credits. Required of all degree candidates. Taken in the first semester, this course provides a comparative historical and philosophical perspective on the development of social welfare and social work institutions, concepts, issues and paradigms in the U.S. and two other nations or parts of the world.

Social Work T9800. Doctoral Research Instruction

6 credits. Required for all degree candidates. The Dissertation Research Instruction requirement carries a tuition fee that accounts for 6 credits of dissertation advisement. While the student is enrolled in T9800, supervising faculty are expected to guide the student in selecting a study topic, developing an approved proposal, implementing the research, and writing the dissertation. Students maintain library and computer privileges, and supervising faculty are expected to be available for consultation. Students usually register for T9800 in the 5th semester.

REGISTRATION

Student Status

One of the fundamental considerations pertaining to registration at Columbia concerns the maintenance of *student status* during your studies. Students may register as full-time students (9 credits or more) or as half-time students or part-time students (less than 9 credits). Differences in connection to registration status are significant, and the type of status that you have can affect your health insurance coverage, University housing eligibility, loan payments, access to University facilities, or visa status. Doctoral students are required to be registered full-time in the program for at least *three consecutive semesters*.

As a **full-time student**, you are accorded a number of important student privileges. Full-time students are eligible to lease University housing, and make use of University facilities such as the library or the fitness center. In many instances, your financial aid coming from the Doctoral Program or from lenders or other funders is contingent on the maintenance of your full-time status. As a full-time student you are also automatically enrolled in Columbia University's student health insurance plan. For current information about health insurance plans offered by the University, as well as information on waiving the University's plan and using alternative coverage, please consult: <http://www.health.columbia.edu/ins/index.html>.

Generally, you will be registered as a full-time student for your entire stay in the Doctoral Program. In the first two years of the program, your typical course load should automatically keep you in the desired range of credits needed to activate full-time status. After you have finished the bulk of your coursework, you will continue to be a full-time student as long as you are registered for Continuing Doctoral Registration, or T0003.

Problems can arise if your full-time student status elapses. If you are an international student you must retain full-time status at all times; otherwise your student visa may be placed in jeopardy, and you could potentially be deported. If you have taken out loans as part of your financial aid, and you are not registered as a full-time student, there is a great likelihood that your loans will be recalled. Your e-mail is also tied into student status -- if you are no longer a full-time student, you will be removed from all your subscribed e-mail distribution lists. Therefore, it should be noted that it is one of your primary responsibilities as a doctoral student to monitor your registration status. Many of the above scenarios can be avoided by making frequent and timely checks of your student status through your Student Services Online (SSOL) account. You should check your registration status shortly before you register, after you have registered, and at intermittent times throughout the semester.

If you are *not* listed as a full-time student but wish to be, you should inform the Doctoral Office as soon as possible. The Doctoral Office can facilitate this change.

Half-time or **part-time** student status is accorded to those students registered for 8 credits or less. Usually, if you are registered as half-time or part-time, it will only be because you have a class or two to finish for your requirements after the first years of full-time coursework. Note that when your coursework is completed, you should be registered for Continuing Doctoral Registration (T0003), in which case your status will once again be listed as full-time in the system.

How to Register: Adding and Dropping Courses

Each semester, students must register for courses during dates that are designated by the School of Social Work or by the other schools in the Columbia University system. Often the dates for registration are similar between schools, but sometimes they do differ. Please refer to each school's registrar office in order to confirm these dates. Registration periods always take place a semester in advance (students register for Fall courses in the Spring, etc.), but students are also given a 10-day period after classes begin in which to add or drop courses to and from their schedules.

Students register for School of Social courses via the Student Services Online system (note: in order to use this system, you must have your Columbia e-mail account activated.) Please note that you will need to have the five-digit call number found in the course schedule of the online Directory of Classes (<http://www.columbia.edu/cu/bulletin/uwb/>) in order to process any add/drop transactions. Note that other schools in the Columbia University system use their own separate registration procedures, which are detailed in the next section.

To register via Student Services Online, go to <https://ssol.columbia.edu> and log in with your UNI and password.

You may also access this website via the Columbia University website by clicking on the "Students" section. Please remember that you will have to enter your University Network ID (e-mail address) and your network password. Under "Your Academic Records" click on Registration.

If you experience any difficulties with the system when adding and/or dropping a class or if you have questions about your registration, please see the Doctoral Office. *Please note that CUSSW PhD students are only allowed to register online for courses offered by the School of Social Work (those course numbers preceded by department code SOCW). To register for courses outside the School, please read below for department-specific cross-registration instructions.*

Students are only allowed to add a course within 10 days of the first day of classes for the semester. If you try to add a class after this time period you may incur a late fee on your account. Please check the academic calendars for individual schools or departments for specific deadlines for dropping courses, as they can vary.

For complete information regarding enrollment policies and procedures, please consult the CUSSW Office of Enrollment and Student Service Systems:

<http://www.columbia.edu/cu/ssw/students>

For courses outside of the University and general information concerning the registration process, please see the University's main registrar site:

<http://www.columbia.edu/cu/registrar/>

For more information about choosing courses to fill your schedule, consult the Doctoral Student Course Selection Guide.

Registration Procedures for Outside of the School of Social Work

Several schools in the Columbia University system have their own distinct processes for cross-registering into their schools. You will not be able to sign up for courses at these schools by the traditional telephone or Student Services Online means. Some of these schools may have registration periods that only overlap with those of CUSSW on certain dates (if at all), so you should be sure to check each school's website to know when to register. The PhD office maintains links on its website to class listings, registration forms, and cross-registration instructions for other Columbia University schools on the program website. Please note that these procedures are subject to change. Students should visit the Office of Enrollment and Student Services on the 5th floor of the School of Social Work for help with registering. Cross-registration paperwork for other schools (with the exception of SIPA) should be brought to him for processing. If you have any questions, please contact the Doctoral Office.

School of International and Public Affairs (SIPA)

How do I cross-register for SIPA classes?

Before registering, you should identify what type of registration process has been designated for the course. There are three types of SIPA registration processes. Each course's designation can be obtained online at the SIPA website:

- 1) Instructor Permission Courses:* You should first submit a "SIPA Instructor Permission Courses" online form for consideration. If admitted, you will be able to register in an Instructor Permission Course at the SIPA registration site. Please note that deadlines for these on-line requests may come earlier than the respective add/drop periods.
- 2) Open classes:* All Columbia students can enroll in open SIPA classes beginning on the second day of classes. You should do so at the SIPA registration site.
- 3) Departmental Approval (Limited Enrollment) classes -* These classes are limited to SIPA students only. Students from CUSSW are generally not allowed to register for these classes, although cross-registration may be offered if space is available.

Please note that you may not complete the registration process for SIPA courses either online or via the telephone system. The registration process for SIPA is handled entirely by SIPA's registration site, which is located on the 6th Floor of the International Affairs Building. You will have to complete your registration in person there, but you will not need to file any additional paperwork with CUSSW's Registration Office. Please check SIPA's website to see when students from other schools can cross-register for SIPA courses—the first day is usually a few days after the first day of classes.

Mailman School of Public Health

In order for CUSSW students to cross-register for a course offered by the School of Public Health, they must:

- 1) Go to the School of Public Health and obtain a Cross Registration Application (722 West 168th Street, 212-305-3927). The office is located on the Main Floor (to the left of the security desk). Alternatively, this form may be found online at the School of Public Health's website:

<http://www.mailman.columbia.edu/sites/default/files/9.1.1.6%20Cross%20Registration%20Application.pdf>

This Cross Registration Application is used only for registering for School of Public Health courses.

- 2) Complete the Cross Registration Application and be sure to obtain the required approval signatures of both the course instructor / department coordinator and the Associate Dean of the School of Public Health.
- 3) Bring the Cross Registration Application form back to CUSSW. Then, complete a CUSSW Add/Drop form (available from either the Registration Office or the Doctoral Office), and have bring it to the 5th floor enrollment office to be registered.

Students may view course schedules on the Mailman site:

<http://www.mailman.columbia.edu/academics/courses>

Teachers College

For cross-registration into a class at Teachers College, submit a CUSSW Add/Drop form (with the instructor's signature if instructor permission is required for the course). Bring the form to the enrollment office on the 5th floor of CUSSW in order to be registered.

Students may find Teachers College course schedules via the TC site:

<http://www.tc.columbia.edu/tc-schedule/schdsearch.cgi>

Graduate School of Arts and Sciences (GSAS)

Students may cross-register at GSAS by submitting out a CUSSW Add/Drop form to the enrollment office on the 5th floor of CUSSW (with proof of instructor permission if required).

GSAS course schedules can be found via the Directory of Classes:

<http://www.columbia.edu/cu/bulletin/uwb/> Note that GSAS courses are listed individually by department.

Columbia Law School

Applications to cross-register for a Law course are accepted during the Columbia Law School's change of program period. See the University registrar's calendar for dates by semester.

To obtain a Law School cross-registration form, go to the Law School registration site.

1. The course instructor must provide a signature approving you to cross-register for their class.
2. Return the completed form to the Law School's Office of Registration Services (William & June Warren Hall, Room 500).
3. After processing your form, the Law School Registrar will give you a printout of your confirmed registration, as well as a copy of their registration form. Bring those forms to the CUSSW Office of Student Services, Room 523.
4. NOTE: If you are registering for a 2-credit Law School class but wish to take it for 3 credits, you must

arrange to do a Supervised Research for 1 credit with that professor. This form can be found on the Law School's Registration Services site. It is the "JD Research and Writing Form." Note that the deadline to drop a Law School course is the last day of the change of program period. Students who drop a course after this period will have a W on their transcript.

Columbia Business School

The Business School has a web-based cross-registration site that usually opens approximately one month before the first day of classes. Students should check their email for details on dates and deadlines.

Log on to the following site with your UNI and password to select your preferred choices of Business School courses: <http://www3.gsb.columbia.edu/crossreg/>

Students will later be notified of their cross-registration status. If approved to cross-register for a course, the School of Social Work's Office of Student Services will register then register the student for the course. Students with questions on cross-registering at the Business School should speak with the CUSSW Office of Student Services on the fifth floor.

Inter-University Doctoral Consortium (IUDC)

The Graduate School 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, New School for Social Research, New York University (including the Institute of Fine Arts), Princeton University, Rutgers University, and 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. M.A. students are not eligible for this program.

Ph.D. Students in years 2 through 6 (or years 1 through 6 for advanced standing students) register at Columbia for the course(s) they plan to take at the visiting institution by using an IUDC form. It is possible that the host institution will also require students to register there. Tuition is paid to the Graduate School. Classes may be taken for a grade or for audit and will appear on the Columbia transcript. Students will receive a letter or ID card allowing them library reading privileges at the host institution. Columbia students going to New York University may use their CUID card. Students can get information on registration deadlines from Craig Knobles (see below).

Information and application forms are available in 301 Philosophy Hall. Questions may be directed to Craig Knobles at 212-854-2861 or email: jck2@columbia.edu.

URL: <http://www.columbia.edu/cu/gsas/pages/cstudents/std-ser/consortium/>

Registering for "R" Credit

"R" officially stands for "Registered for the course; no qualitative grade assigned." The main difference between a letter grade and "R" credit is that the latter may not require students to complete certain requirements (i.e. final examinations, possible other written assignments). Therefore, students may choose to take a course as an "R" if they are looking for exposure to certain course content without the added burden of final examinations. School of Social Work policy states that no more than the equivalent of 9 credits of the required 30 University credits may be taken for "R" credit. *No courses*

applied toward the PhD program's distribution requirements (listed on pp. 7-9) may be taken for R credit. School of Social Work classes are generally not available for R credit.

Courses taken for "R" credit (with the exception of T9800 Doctoral Research Instruction) generally do not receive academic credits, meaning students cannot take an "R" course as a means of working toward the 30 required Columbia credits. While counting toward each term's credit points, "R" credit course points do not count toward the cumulative number of completed Columbia points. Once a course has been taken for "R" credit, the grade is not subject to change, nor may it be repeated later for a letter grade. "R" credit courses do appear on your transcript, and the University does charge full tuition for "R" credit registration.

In order to register for "R" credit, you must have the approval of the course instructor. If the request is granted, the student is not required to take the final examination, but may be required to meet any requirements established by the instructor of the course. All other requirements should be established at the time the professor grants permission to take the class. The instructor will award an "R" grade if you perform in accordance with the agreement.

In selecting courses for "R" credit, students should note the following:

- "R" credit is not permitted for the social work method courses, for any of the required 21 credits in research or statistics, for a field of practice tutorial, the nine credits of required social / behavioral science courses, or for the *Changing Histories of Social Welfare and Social Work (T8801)* course. Generally, the only courses taken for "R" credit are electives taken elsewhere in the University.
- While registering for "R" credit may allow a student to become acquainted with course content without the burden of certain assignments, registration does require full tuition payment. Students may thus prefer to audit as an alternative.

Auditing Courses

The University has no formal audit procedure. Students must get the approval of the instructor in order to audit a course. Audited courses do not appear on the student's transcript, nor do they require the payment of tuition. Audited courses may not count for any academic credit.

In selecting courses for audit, students should note the following:

- Students may audit the appropriate Master's level field of practice platform course, when available, for the field of practice tutorial. However, students will be required to complete additional requirements.
- Students may audit courses they have previously completed for credit in order to prepare for examinations.
- Students may wish to audit courses at the Master's level to keep abreast of developments that have transpired in the field if it has been a number of years since they completed their own Master's education.
- Students may find auditing certain courses to be a helpful preparation for future teaching.

Waiving Course Requirements

Specific course requirements may be waived at the discretion of the appropriate instructor if the student can demonstrate that they have prior course work that is equivalent to the content of the course that they wish to waive. This is most commonly done with introductory courses in research methods or statistics. If a student seeks a waiver of any other required coursework, they must seek the approval of both their academic advisor and the Doctoral Chair, though it should be noted that waivers in areas other than the introductory statistics and research methods classes are very rare.

Students who have completed prior graduate research courses may be eligible to waive up to two semesters in either research methods or statistics. It is important to note, however, that when a course is waived it does *not* mean that a student may take less than the minimum total of seven courses in the research methods and statistics areas. It merely means that students are allowed to enroll directly into more advanced courses.

When appropriate, entering students are urged to meet statistics and/or research methods requirements by waiving one or two of the basic level course requirements and completing advanced courses in their stead. Appropriate waiver forms are available both online and in the Doctoral Office.

Account Holds

Students who have accrued more than \$1000 in debt on their student account will automatically have a hold placed on their account, and will not be able to register in subsequent semesters. In order to be allowed to register, students will need to pay off their debt such that the charges on the account amount to less than \$1000. Students are responsible for checking their accounts on SSOL well ahead of registration in order to resolve any holds. Failure to resolve a hold may delay registration and possibly lead to additional late fees.

The table below illustrates the different types of holds and respective consequences:

Office Placing Hold	Reason	Consequence
Student Financial Services	Financial Obligation	Not allowed to register. Transcript & diploma withheld.
Library	Financial Obligation	Transcript & diploma withheld.
Dean	Academic Issue	Not allowed to register. Transcript & diploma withheld.
Health Services	Immunization Compliance	Not allowed to register. Transcript & diploma withheld.

Late Registration, Late Tuition Payment and Late Fees

Students who register after the designated registration period will be assessed a \$150 late fee on their accounts. The same fee also applies when students try to add or drop courses after the 10-day add/drop period has expired. A \$150 fee may also be assessed if a student does not pay their tuition bill by the appropriate due date.

In certain cases, students may appeal the late fees placed on their account. However, the Doctoral Office can only remove late fees from a student account if there were extenuating circumstances involved in the

assessing of the fee. For example, if a student's tuition was not fully paid because the student was waiting for financial aid to be applied from the School of Social Work or from an outside fellowship, this would be an appropriate case for removing the late fee. If, however, the late fee was assessed because the student was late in registering or in resolving a foreseeable hold on their account, the late fee will not be rescinded.

One of the best ways to avoid a late fee is to simply register for any class prior to the end of the regular designated registration period. Even if you are not sure what classes you will end up taking for the semester, you should register for *something*. Then, when the add/drop registration period arrives in the following semester, you may choose to add or drop courses in order to finalize your schedule.

RESEARCH PRACTICUM

The aim of the research practicum is to link classroom learning to the dissertation process by providing students with a research internship in conjunction with a current faculty research project. Students may count their hours in service as a graduate research assistant (GRA) toward the required total number of hours. Students should complete the practicum before their third year of study. In all cases, students *must* complete the practicum before submitting a dissertation proposal.

Matching students and faculty

Each fall, faculty submit proposals for practicum opportunities to the Doctoral Office, which in turn publicizes the various opportunities. Students either contact faculty on their own or consult with the Doctoral Office to help match their interests and learning goals with a professor's needs. In consultation with the sponsoring faculty member, the student then selects a practicum that best meets his or her learning objectives, normally initiated in the spring semester of the first year. Students may also solicit faculty who have not submitted a proposal to enquire if they might join a project.

Once matched, students sign a practicum contract with the supervising professor that specifies the purpose of the research, responsibilities of each party, scheduled hours, and expected outcomes (e.g., a paper submitted for publication, a conference presentation).

Hours and nature of work

Students complete a total of 360 hours, the equivalent of 8-12 hours per week for 30-45 weeks. The practicum should be fully completed within a three semester time span. Students determine specific tasks and learning goals to be accomplished in consultation with their supervisor. Students must monitor and record their own working hours and submit time sheets signed by their faculty supervisors to the Doctoral Office. Once they have completed 360 hours, they must also turn in a research practicum evaluation form, to be filled out and signed by their practicum supervisor. Only when the doctoral office receives the above forms is the research practicum requirement considered fulfilled.

The student is expected to perform the usual tasks of a research assistant, not support staff duties (e.g., Xeroxing, errand running, typing) beyond those needed to meet his or her educational goals.

Responsibilities of faculty

Faculty members willing to supervise a research practicum must submit a brief description of available research projects, learning opportunities their project(s) will provide, and a structured plan for supervision and mentoring. Projects must provide an educational experience that orients students to several phases of research and affords them opportunities to participate in as many of these phases as is feasible. Faculty members must also prepare a brief evaluation of the student's performance vis-à-vis established learning goals and of the structure of the practicum experience. Ideally, they will also provide an opportunity for students to collaborate in making a conference presentation and/or writing a paper for print publication. If necessary, faculty may supervise more than one student at a time.

Responsibilities of the student

1. Fulfill time requirements and perform at a satisfactory level.
2. Keep track of hours worked and tasks performed. Turn timesheets in to Doctoral Office.
3. Turn in written evaluation from practicum advisor to Doctoral Office.
4. Achieve all learning goals, including production of a publishable paper if at all feasible.

Credits, grades and termination

The research practicum does not involve credits, fees, grades, or pay. If a student fails to complete the requisite number of hours or begins to perform at an unsatisfactory level, his or her practicum may be terminated and he or she will not receive credit for fulfilling the requirement. If the student and faculty member conclude that they cannot work together (for reasons other than poor performance) the Doctoral Chair will endeavor to rematch the student.

Graduate Research Assistantships (GRAs) and the Research Practicum Requirement

In recent years, the program has become increasingly involved in matching students with faculty research projects within the first year of the program, in the form of paid graduate research assistant (GRA) appointments. GRA appointments typically carry a time commitment of 20 hours per week during the 9-month academic year. Students appointed during the summer months are eligible to work for up to 35 hours per week. Given the complementary goals of GRA appointments and the research practicum to provide students with structured research mentorship, students may count their hours worked as GRAs toward the required 360 hours of required research practicum experience. Those who complete a minimum of 360 hours of supervised research as a GRA, therefore, will have fulfilled the research practicum requirement, and should have their supervisor(s) submit the Research Practicum Evaluation form on their behalf. The requirement is not considered fulfilled until this form is on file.

COMPREHENSIVE EXAMINATIONS

When students have completed all required coursework—or during the semester in which they will complete all requirements—they may sit for the comprehensive exams.

Goals

The comprehensive exam aims to help students synthesize, integrate, and critically assess the ideas in courses related to their social work concentration, social science, and substantive area of interest. Students should demonstrate knowledge of the primary theories, empirical findings, and methodologies that apply to their chosen areas of focus.

Expectations

Students taking the comprehensive exams are expected to demonstrate the following:

1. Ability to demonstrate a thorough understanding of relevant social and behavioral science theories, including:
 - ability to explain why this/these are the most appropriate theory(ies) for the particular area/question -- demonstrating that they have considered a range of potential theoretical approaches and have a credible rationale for their choice
 - ability to describe the development of selected theoretical approach(es) with an emphasis on current thinking and use
 - ability to manipulate and apply key concepts- an example might be: to link theory(ies) with social work and research methodologies
2. Ability to demonstrate a thorough understanding of the social work method, including:
 - ability to critique key historical arguments in the method area and how these have led to present-day models
 - ability to effectively apply this knowledge of theories and practice models to a specific illustrative population or practice problem
3. Ability to demonstrate a thorough working knowledge of a selected **substantive area**
 - ability to critique the development and current status of interdisciplinary scholarship in the substantive area
 - ability to demonstrate the main contextual factors that influence the topic, including domestic and global contexts

- ability to identify 'significant' knowledge gaps in the substantive area and to formulate 'significant' researchable questions and appropriate analytic strategies to address these gaps.

Structure

Social/Behavioral Science

- Students must declare their choice of social/behavioral science by the end of the first year/beginning of the second year. Social/behavioral science declarations must be approved by their advisor, with the doctoral program chair providing ultimate oversight.

The Reading List

- Students will propose a reading list of at least 30 seminal articles or books relevant to their field of practice, from the perspective of their social science theory and their method, for review and approval by their Comprehensive Exam (CE) committee. Though there is no set number of required readings that must be included on the list, a guideline is 30 to 50 publications. The committee may add to the list readings it deems important or suggest removal of certain readings that may not be considered seminal, prior to approval. Students will be expected to become very knowledgeable about the designated readings, from which questions will be drawn. Students should have their individual lists approved by the end of the 2nd year (4th semester). The student and CE committee members will schedule the exam. Students should be advised that while they will be asked to draw heavily on their reading list for the examination, they are also expected to utilize their accumulated knowledge from their required coursework.

The Exam

- Drawing mostly (but not necessarily exclusively) from the approved list, faculty on the student's CE committee will draft a total of 6-8 questions incorporating the student's social science perspective, social work method, and area(s) of substantive interest. Questions may be specific to a particular article or book, or may focus on the integration of the student's various areas of knowledge.
- Additionally, students may be asked to draft and submit their own exam question(s). It is up to the discretion of the committee to decide 1) to solicit student-generated questions; and 2) to incorporate any of the student's questions into the exam.
- Students will be asked to answer a total of 4 questions.
- Students will choose to take the exam either as a 7-hour in-school closed-book exam or as a 3-day 30 page (double-spaced) maximum take home exam. All students will also take an oral exam after the CE committee has reviewed the written component. Exams are to be completed only by the student, without substantive or editorial assistance from others.
- Students electing the closed-book in-school exam are not allowed to take the exam on personal computers with internet access, nor are they allowed to bring flash drives into the exam.
- Students are required to sign a pledge of academic honesty, to be submitted with the completed exam.
- Comments to the students need not be provided in the case of satisfactory answers to all questions. In the case of unsatisfactory answers, faculty will indicate areas of deficiency prior to the oral portion of the exam. Feedback should be given to students as quickly as possible after the written exam.
- The oral exams should be scheduled as soon as possible after the written portion, ideally within a couple of weeks. However, if the student and committee are in agreement, a later date may be set.
- The CE committee will designate two of its members to administer the oral exam. During the oral portion of the exam, students will be given the chance to elaborate on answers from the written portion of their exam.
- A unanimous committee vote is required to pass the exam.

- In the event of a failed exam, the student will be given the opportunity to retake the comprehensive exam once. While students are encouraged to retake the exam as soon as is feasible, they are allowed up to 12 months maximum to retake. The committee may remain the same or be reconstituted, the reading list will have to be reapproved, and new questions will be asked.
- Students who have not successfully defended the dissertation 5 years from the date of their comprehensive exams will be required to retake the exams if they wish to be considered for continued program enrollment.

The CE committee

- Students will be responsible for assembling a 3-person examination committee from the CUSSW faculty. The committee should contain at least 1 faculty member from the student's social work method concentration (practice, policy or admin). The committee will approve the student's reading list, draft questions, meet as a group to determine whether the student performed satisfactorily on the written portion of the exam, and (a subset of the committee) administer and evaluate the oral portion of the exam. The committee can enlist assistance from outside faculty with specific expertise for any or all stages of the examination process, as deemed necessary. The committee will determine with the student the schedule for the written and oral portions of the exam.
- The CE committee will designate one member to act as the committee chair, and inform the doctoral office of its selection. The CE chair will take the lead in finalizing questions for the CE exam, coordinating the delivery of the exam with the doctoral office, and formalizing the logistics of the oral exam.

Integration with the Field of Practice (FOP)

- The structure of the FOP will not change but the CE will now integrate knowledge from the field of practice.
- The student will declare a social science expertise by the end of the first year/beginning of the second year, subject to the approval of their advisor. The social science should be relevant to the field of practice and to the social work method
- The doctoral handbook will list possible fields of practice that cut across the different social work methods and social/behavioral sciences.
- Students should be allowed some flexibility to specialize in more than one social science (e.g. organizational theory).

Approved Social/Behavioral Science Concentrations

- Anthropology
- Economics
- Geography
- History
- Organizational Theory
- Political Science
- Psychology
- Sociology

THE DISSERTATION

The Dissertation Stages

The writing and successful defense of the dissertation is the final eligibility requirement for the Ph.D. degree. Students are judged on the basis of their potential for independent scholarship and on the soundness of their work and its contribution to the chosen field of study.

Dissertation planning begins earlier in the course of studies, but becomes more focused after completion of the social work method and research courses and the field of practice tutorial. Additional consultation and guidance is gained from the dissertation seminar, students' advisors, and faculty members within their fields of interest.

Dissertation Seminar (T8505)

The dissertation seminar is a working forum that permits students to explore the process of initiating their dissertation research with peers. Students prepare and discuss an outline of their proposed dissertation research, develop an Institutional Review Board protocol for the protection of human research participants, learn practical strategies to manage their dissertation writing, and become familiar with a range of interpersonal, scholarly, and institutional resources that can assist in the dissertation process. While the dissertation seminar is meant to assist students with their individual dissertation work, the seminar also emphasizes the development of collegial relationships and peer review skills. Students register for T8505 in their fifth semester. Those who defend their dissertation proposals before or toward the beginning of the fall term may apply for a waiver.

Doctoral Research Instruction (T9800)

The Dissertation Research Instruction requirement accounts for 6 credits of dissertation advisement. While the student is enrolled, supervising faculty are expected to guide the student in selecting a study topic, developing an approved proposal, implementing the research, and writing the dissertation. Students maintain library and computer privileges, and supervising faculty are expected to be available for consultation. Students usually register for T9800 in the fifth semester.

Continuing Doctoral Registration in Social Work (T0003)

Once all other program requirements (including T9800) have been fulfilled, students must register for Continuing Doctoral Registration in Social Work (T0003). This registration allows students to retain their full-time status and all attendant privileges (library, gym and e-mail access, etc.) while completing their dissertation. When they are no longer taking other courses, students *must* register for (T0003) *every semester* until they complete the dissertation defense. Students who fail to do so may be required to pay back registration fees in order to be able to reenter the program, or may have their candidacy in the program terminated. Continuing Doctoral Registration carries with it a fee for each semester it is taken.

Master of Philosophy (M.Phil.) Degree

After completing all requirements for the Ph.D. degree (with the exception of the dissertation proposal and dissertation), students are awarded a Master of Philosophy, or M.Phil. degree, in Social Work.

Students are normally expected to submit their dissertation proposal within six months after receiving the M.Phil. degree. Students who have fulfilled all of the above requirements should stop by the doctoral office to make application for the M.Phil.

The granting of the M.Phil marks the point at which the Dissertation Office (located in 107 Low Library) first officially begins to oversee the affairs of doctoral students. The Dissertation Office primarily serves to answer student questions concerning the dissertation deposit and defense process. Once the M.Phil. is awarded, a file (known as "the blue folder" due to its trademark color) is created for the student in the Dissertation Office. This file tracks a student's progress from the dissertation proposal phase to the awarding of the Ph.D. degree.

Dissertation Sponsors

Students usually select their dissertation sponsor and committee members while enrolled in the dissertation seminar during the third year, although some may have been identified at an earlier time. They typically choose a faculty member with whom they have already collaborated -- an academic advisor, course instructor, practicum supervisor, or mentor in some other type of research capacity. Though the transition from faculty advisor to dissertation sponsor is not formalized until the dissertation proposal is approved, students are encouraged to discuss their dissertation ideas in depth with their selected sponsor during the third year or earlier.

No faculty member may sponsor a dissertation unless the Doctoral Program has nominated him or her to GSAS and he or she has been approved by GSAS. A current list of approved faculty can be found on the Dissertation Office website: <http://www.columbia.edu/cu/gsas/diss-sponsors/departments/social-work/faculty-list.html>

Faculty members may sponsor dissertations in their own specialized field of current research as well as in related subjects in which they have adequate command of pertinent literature and/or research methodology. If a non-tenured faculty member is asked to sponsor it is important that the dissertation chair be a tenured faculty member.

Students should receive continuous supervision from their dissertation sponsors. Ordinarily, sponsors are expected to read chapters or groups of chapters in progress rather than waiting to review a complete draft of the dissertation. The approved proposal should provide readers with a sense of the whole in order to make the review of drafts of individual chapters valuable. Faculty members should provide written or oral responses on drafts within a reasonable time period. Generally, during the academic year, three weeks to one month should be considered a sufficient timeframe. A full draft of a dissertation should generally be responded to within one to two months of receipt of the material.

While absence from campus during summer months may cause some delay, sponsors should try to continue to provide some supervision. When on leave, sponsors should arrange for continued and regular supervision of doctoral students whose dissertations they are sponsoring. If this is not possible, the sponsor should ensure that during his/her absence the second reader will assume primary responsibility for such supervision during the period in which the sponsor cannot be reached.

Note regarding Professors of Professional Practice: Students should note that faculty members holding the position title of "Professor of Professional Practice" are ordinarily not eligible to sponsor dissertations, however an exception can be made by the Doctoral Chair. Students should also note that only *one* Professor of Professional Practice may serve on a dissertation committee.

The Dissertation Committee

A key step in every student's dissertation process is to assemble a dissertation committee. There are five members of the dissertation committee. At least three of the members of the final defense committee must be on the list of approved PhD sponsors, and at least one of the five must be either:

1. A faculty member, clinician or practitioner who holds a position at another university or research institution.
 2. A full-time faculty member at Columbia University outside the student's own department or program
 3. A Research Scientist at Columbia University outside the student's own department or program
 4. An Adjunct Professor at Columbia University outside the student's own department or program
 5. A full-time faculty member whose appointment is in Barnard College, Jewish Theological Seminary, or Union Theological Seminary
- OR
6. A full-time faculty member in the student's interdisciplinary program whose field is outside of the student's dissertation field.

[In cases where the "outside" member satisfies criterion 6 above, the department/program must include with the defense application a brief explanation with the defense application to clarify how the fifth examiner's primary field differs from the focus of the student's dissertation.]

When submitting the Dissertation Defense Application, the Dissertation Officer must be provided with evidence of the examiner's qualifications, usually a curriculum vitae for approval by the Dean's office. Students are generally advised to have tenured faculty sponsor their dissertations.

Final approval of the members of a final defense committee rests with the Dean of the Faculty of the Graduate School of Arts and Sciences.

When proposing defense committee members who have not been previously approved to serve on a defense committee and who

- do not have a Columbia affiliation, and/or
- do not serve at Columbia in an adjunct capacity, and/or
- do not hold a PhD,

PhD programs must submit to GSAS a copy of their curriculum vitae together with the final defense examination.

Students should plan ahead in assembling their committees. Many faculty serve on numerous committees, therefore it is to the student's advantage to secure commitments early once the focus of the dissertation is clear. While students are ultimately responsible for forming their committee, the Doctoral Chair and Doctoral Office may assist them if necessary. If for some reason a change in the student's committee must ever be made, it is the student's responsibility to inform both the Doctoral Office and the Dissertation Office as soon as possible.

The Dissertation Proposal

Each student must submit a dissertation proposal (15-20 pages—see pp. 37-38 for more detailed specifications) that details the problem for study, summarizes relevant theoretical and empirical literature, specifies the expected contribution of their study, and provides detailed study methodology and data analysis plans.

The proposal *must* be approved within **one year** of completing the comprehensive examinations, and the dissertation must be defended within **three years** after the approval of the proposal. Students should be familiar with the following program policies concerning dissertation work:

Use of Statistical Consultants in Dissertations

All doctoral candidates must demonstrate that they performed their own data analysis for their dissertation. They may consult with faculty and with outside consultants as needed, but they must be able to understand, execute, and defend the major analytic procedures themselves.

Undertaking a Qualitatively Based Dissertation

All students seeking to write a dissertation utilizing qualitative methods and analysis are required to have completed at least one qualitative research methods course, and are strongly recommended to have completed at least two courses (6 credits) in qualitative methods. These courses should be completed prior to drafting the dissertation proposal.

Independent Research and the Morningside IRB

Ethical concerns in the field of social work research are treated very seriously by Columbia University. The Institutional Review Board (IRB) at Morningside is the organization that reviews *all* human subject research conducted by faculty, staff, and students, *regardless* of the location of the research activity, source of funding, or whether the research is exempt under the Code of Federal Regulations for Protection of Human Subjects (45 CFR 46, see <http://www.columbia.edu/cu/irb/documents/exempt.pdf>).

All research intended to be distributed in a public forum must be reviewed according to IRB guidelines. Usually the dissertation is the first doctoral student publication that must pass IRB review. However, a doctoral student might undertake a study earlier in the program that would also require IRB approval.

The dissertation proposal *must* include actual or pending IRB approval and should identify any expected difficulties and explicit plans for dealing with these obstacles. Many students will need to satisfy specific IRB requirements for the Protection of Human Subjects, and all students are required to complete an online training course known as RASCAL (see pp. 35-36).

Stipulations, guidelines, and forms for the IRB approval process may be found on the Office of Projects and Grants website: <http://www.columbia.edu/cu/opg/> and at the Morningside IRB website: <http://www.columbia.edu/cu/irb/>

The IRB holds a number of workshops related to human subjects research and the CU IRB process. Students are encouraged to consult the Morningside IRB website (see above) and to sign up for the IRB listserv for announcements.

Purpose and Scope of the IRB

A guarantee that all human subject research will be reviewed by the IRB has been given to the Department of Health and Human Services (DHHS) in a Federal Wide Assurance (FWA00003831). Therefore, investigators conducting human subject research at the School of Social Work should be familiar with the terms of the Assurance.

The intent of the institutional policy to review all human subject research regardless of location, source of funding, and exempt status is to foster high ethical standards in the conduct of research and to assure that uniform criteria are applied to protect the human subjects who take part in research.

The IRB reviews research in accordance with current Department of Health and Human Services (DHHS) regulations. The main purpose of the IRB is to protect the rights and welfare of human subjects who take part in research. More specifically, the IRB assures that:

1. Risks to subjects are minimized. For example, the IRB evaluates whether procedures to be performed on subjects are consistent with sound research design and do not unnecessarily expose subjects to risk.
2. Risks to subjects are reasonable in relation to any benefits that might be expected from taking part in a research study and to the importance of the knowledge that may result.
3. Selection of subjects is fair and equitable. For example, the IRB seeks to determine that no eligible individuals are denied the opportunity to take part in any study, particularly those from which they may benefit, based on an arbitrary criterion such as gender or national origin.
4. Participation is voluntary and informed consent is obtained from each prospective subject or where appropriate, from the subject's legally authorized representative.
5. The research plan provides for monitoring the data collected to ensure the safety of subjects.
6. There are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of data.

How to Apply for IRB Approval

1) The first step towards securing IRB approval for your research is to complete the required Morningside Human Subjects Training Course. This course is available through RASCAL at <https://www.rascal.columbia.edu>. Go to the RASCAL home page and click on "Testing Center" to take the course. You will need to log in using your UNI and email password (*note that* if you are logging into RASCAL for the first time, you will be prompted for personal contact information). Then select the Morningside Human Subjects Training Course from the course listings. The course should take less than an hour to complete and will give you an introductory understanding of the IRB process. You are required to take this test before the IRB will review your research. At the conclusion of the exam you may print up a certificate citing that the course has been passed. When the RASCAL course has been completed, you should forward a copy of this certificate to the Doctoral Office, where it will be placed in your permanent record.

2) The second step is to go to the IRB web site to review the current guidelines and policies. The web address is <http://www.columbia.edu/cu/irb>. You should review all the policies that may apply to your research.

3) The next step is to create a proposal in RASCAL. This will be your IRB application. Go to the RASCAL home page and click on "Human Subjects" and then log in. Once you have logged in, click on "Create a Protocol" to begin creating your IRB application. **Your *dissertation sponsor* should be named as the Principal Investigator on your project.**

Your IRB application should include the following:

- A detailed description of your research, including your hypotheses, methods or procedures to be used, a description of the population you will be studying, and a description of steps you will take to minimize risk to participants and to ensure confidentiality.
- Any grant proposals or dissertation proposals associated with your research.
- Any surveys, questionnaires or sample questions you will use.
- Any recruitment materials you may use to enlist human subjects in your research (e.g., contact letters, e-mails, phone scripts, flyers).
- A detailed description of any secondary data you will use, including its source, the variables it contains, any merging you will do with other data sources, and any agreements you have made with the owners of the data.
- Consent /Assent forms, and any applicable translations.

Note that Consent and Assent forms can and should be built using RASCAL's Consent Form Builder. A short tutorial is available through the RASCAL Testing Center. If your research will be conducted through collaboration with another organization, you will need to document that organization's approval of your research. If that organization has an IRB, you will also need to secure IRB approval from them. Similar requirements exist for research conducted overseas. Please be sure to see the IRB's policy concerning international research if this applies to you. Also, if you will be conducting research involving patients' medical records, you may be required to use a HIPAA authorization form. For more information about HIPAA, go to <https://www.rascal.columbia.edu/comply/hipaa.html>.

No dissertation research requiring IRB approval (as per University guidelines) should begin until IRB approval has been obtained.

Sample Outline for the Dissertation Proposal

1. *Student's Name*
2. *Preliminary Title.* A Proposal for a Dissertation Tentatively Titled "_____." A working title is appropriate, but should adequately describe the topic.
3. *List of advisors/sponsors who are involved in supervising the proposal*
4. *The problem that you are investigating.* What question(s) do you wish to answer? What problems are you studying? How are you advancing knowledge in your area? Why is the topic worthy of investigation? The question or problem should be clearly and succinctly stated in about one half-page. Then, as appropriate, and varying with the overall research design, state the major hypotheses and their sources and operationally define the main concepts.
5. *What does the relevant literature reveal?* The literature review should be limited to 3-5 pages. It should focus on the relationship between the research question and extant knowledge, including gaps in knowledge, in the field. A more comprehensive literature review may be submitted to the advisor, although it will not be circulated to the other committee members.
6. *Justification of research methodology.* Describe in detail the research design and justify its relationship to the research question and methodological developments in the field. Quantitative studies should discuss the sampling strategy (including strengths and weaknesses) and a power analysis; measurement issues (including descriptions of major variables; instrumentation, validity and reliability); hypothesized relationships between and among key variables; data sources; and a preliminary plan for data analysis that includes anticipated statistical procedures.

Proposals for qualitative studies should discuss the choice and rationale for the method selected, research site and selection of informants; role management issues and strategies; data collection techniques, (e.g., interviewing, observations, document analysis); strategies for managing, recording, and assuring the quality of data; and a data analysis plan.

Ethical and political ramifications of design choices should also be considered in the proposal and/or the Institutional Review Board protocol.

When appropriate, include drafts of instruments in Appendices.
7. *Information about available resources, sources of data, cooperation, project feasibility, staff.* Focus on anticipated problems and how you will overcome them. The proposal should report on: relationships to larger projects, whether permission to use data sources has been obtained or is in process, and the status of the IRB application, if required.
8. *Report on pilot work completed or planned, if relevant.*
9. *Relation to a larger project.* If the dissertation is part of a larger research project, specify the extent to which and how the design, methodology, collection of data and interpretation of findings will be your responsibility. Also indicate your obligations to the larger project to make data available, and restrictions, if any, on publication. What agreements have been made about manuscripts or material review?

10. *Major limitations.* Make explicit any obstacles or difficulties expected in execution of the study, and ways in which you plan to address these.

11. *Human subjects review.* Have you satisfied these requirements to conduct the research? Have you filed appropriate evidence of satisfying these requirements to the Doctoral Office?

12. *Preparation.* Have course work and other experience fully prepared you for the dissertation? If not, what steps can you take to ameliorate gaps? Note that historical dissertations are approved only after students have completed relevant history electives and at least one course on methods or research in history or use of documentary sources.

13. *Timetable.* Demonstrate that the timeframe estimated for completion of the dissertation is realistic and within prescribed GSAS time limit, given your employment, fellowship, etc., circumstances.

14. *Methodology appendix and instruments.* Submit as a separate document, if relevant.

The proposal is limited to 15-20 double-spaced typed pages (minimum 11 point font and 1 inch margins). The student will distribute 1 copy to each committee member and 1 copy to the Doctoral Office at least one month in advance of the proposal defense.

Students will defend the proposal with the dissertation committee, and once approved, may begin work on the dissertation. If the proposal is not approved, the committee will make clear recommendations for revisions and, once completed, the student may schedule a new defense.

Students are responsible for scheduling the proposal defense with their committee members. They should also notify the Doctoral Office when a defense time has been scheduled so that a room can be scheduled for the defense. For information about resolving common scheduling difficulties, please see the "Dissertation Defense" section.

Dissertation Format

There is no single format that all dissertations follow. However, dissertations tend to follow one of two main formats. The first is a format that resembles a book, in that the document proceeds from introduction to conclusion, including a series of chapters that build on one another sequentially. Such dissertations may include one extended set of analyses or a series of analyses, using one (or sometimes more than one) dataset(s) and/or methodology(ies), but with each tightly linked to the question and each chapter building on the one that came before.

A second type of format is the 3-paper dissertation. Briefly, the 3-paper format is a dissertation in which the student writes three papers which all relate to an overall topic or area of interest. Typically, each paper is a stand-alone empirical paper, which contains its own literature review, background, motivation, theory, data, methodology, results, and conclusions. Papers may use the same data set (to explore different questions or apply different methods) or different datasets. What links the 3 papers is the common topic, which is described in the introduction to the dissertation; there may also be some common implications for social work, policy, practice and/or research, which can be described in the introduction or a brief conclusion.

Students should specify in their proposal what format they intend to use for the dissertation and this needs to be approved by the sponsor and committee, taking into account the kind of work the student is

proposing and the best way of presenting and organizing the results that will be produced in the dissertation research.

Students should be aware that in order for their dissertation to be accepted for deposit by the Dissertation Office, (and thereby, to be granted the Ph.D.), they must follow specific formatting rules. Guidelines for these requirements can be found on the Dissertation Office website (<http://www.columbia.edu/cu/gsas/pages/cstudents/diss-office/dissertation/index.html>) as well as in the information packet described below. It is recommended that students review the formatting requirements before and during the writing of their dissertations in an effort to save time between defense and deposit.

The Dissertation Defense Process

Applying for the Defense

When a doctoral student is in the final stages of writing their dissertation, they should stop by the doctoral office to pick up a packet of information pertaining to the defense and deposit of the dissertation. Included in this packet is the Application for the Dissertation Defense. When the student is ready to defend the dissertation, they must begin by submitting the two-part Dissertation Defense Application form. The student should fill out both the Intent to Distribute & Defend form and submit it to the Dissertation Office by the due date if targeting a specific degree date (please submit a copy to the doctoral office so that it may be placed on file). The Application for Dissertation Defense form should be submitted to the Doctoral Office for approval by the doctoral chair. The Doctoral Office will then send the forms to the Dissertation Office in 107 Low. (Students should note that they do not necessarily have to have the time and date of the defense determined when they submit the application to the Doctoral Office.) In order to ensure that the Dissertation Office has adequate time to process the application, it is recommended that the student submit the application for defense several weeks prior to their defense date. Students should consult the Dissertation Office website for details on various deadlines: <http://www.columbia.edu/cu/gsas/sub/dissertation/forms/dates/index.html>. Deadlines for 2011-12 are listed on page 43.

After receiving the application, the Dissertation Officer confirms that the candidate possesses an M.Phil. and is correctly registered as a defending student. The Dissertation Officer also confirms that the committee as proposed is in accord with GSAS guidelines on committee composition. If the application is in order, the Dissertation Officer signs the form for the Dean's Office, and a "blue folder" is created.

Registration

The dissertation defense is the last occasion for which a Ph.D. candidate needs to be registered. The doctoral candidate must be registered the semester that the dissertation (approved for defense by the advisor) is distributed to the five defense committee members. If distribution takes place prior to the *first day of classes of the semester*, the previous semester's registration applies.

T0003 (Continuing Doctoral Registration) is the correct course for students under the flat fee tuition system to register for unless they are taking any classes. T0001 is the corresponding course for those under the per point tuition system (i.e., those who entered the program prior to Fall 2003).

Distributing Dissertation Copies to Committee Members

While the deadlines for distributing dissertation copies are somewhat flexible, 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. Four weeks is generally considered an appropriate amount of time.

Scheduling the Defense

After distributing the copies of their dissertation, students should proceed to contact their committee members and determine a potential date for the defense. The student should be aware that, given professors' busy schedules, several weeks or more may be needed to find a workable defense date and time. The dissertation defense may only be scheduled with the approval of the sponsor and all other committee members. Students may not be allowed to schedule defenses during the summer, when many faculty members are absent.

The dissertation committee is permitted to convene if one member must be absent due to an emergency or other compelling circumstances. However, students should avoid recruiting committee members who will foreseeably be on sabbatical, overseas or otherwise traveling during the time of their dissertation defense. In order to conduct a defense with an absent committee member, the student must obtain permission from the Doctoral Chair. If the Doctoral Chair grants permission for the defense to take place, the absent member and the student must try to arrange for the member's participation in the defense via conference call. Failing that, the member must write a detailed letter in advance of the defense containing all comments and questions that he or she would raise at the defense. The absent member should also provide his or her provisional vote concerning the dissertation (pass, fail, etc.). The Chair of the committee will present these questions to the candidate on the day of the defense and rule on the candidate's responses. If circumstances that prevent the member from being present cannot be anticipated, the absent member is requested to comply with the above regulations as soon as possible after the defense. The vote will not be considered final until that person's letter has been submitted to the Chair of the committee. Under no circumstances should a student convene their committee with more than one committee member absent.

When an agreeable time for the defense is determined, students should contact the Doctoral Office to schedule a room for the defense.

Students must notify the Doctoral Office of any changes in time or location of their dissertation defenses.

When the time and place of the defense has been determined, the student should inform the Doctoral Office of this information. When the Dissertation Office has obtained a complete application for the defense (including both sheets, as well as the time, date and place for the dissertation) it then produces a dissertation defense folder (a.k.a. "the blue folder") for the student wishing to defend. The blue folder contains important documents relating to the defense and deposit process (for instance, the voting sheet on which defense committee members indicate their decision on the student's pass or fail status.). The Doctoral Office receives this blue folder prior to the defense. The candidate receives all deposit documents at the conclusion of the defense, while the Doctoral Office is responsible for returning the signed voting sheet to the Dissertation Office.

The Dissertation Defense

On the day of the defense, the doctoral candidate's chair should arrange to get the candidate's blue folder from the Doctoral Office. The dissertation defense normally lasts two hours. Generally, the candidate begins by briefly summarizing the study. The Chair monitors the time, allowing each committee member sufficient opportunity to examine the candidate. Committee members may have editorial comments and suggestions, and they typically ask questions that help the students expound on their rationale, data sources, findings, interpretations, methodology and conclusions. Once the examination is completed, the candidate is excused while the committee has a final discussion and registers a vote (see below). The defense is private; it is not open to members of the public, the student body, or to faculty members outside of the dissertation committee.

The following rating system is used to evaluate the dissertation:

PASS: The dissertation is deemed acceptable subject to minor revisions. The candidate makes recommended changes, with revisions supervised by the student's sponsor. Upon completion of the required revisions, the candidate is recommended for the degree. All revisions must be completed and the dissertation deposited no later than six months from the date of the dissertation defense. A unanimous vote or a vote with only one dissent 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 CUSSW Dean for further review and a decision.

INCOMPLETE: The dissertation is deemed acceptable subject to major revisions. All revisions must be completed no sooner than three months and no later than one year from the date of the defense. The Chair of the committee shall appoint a subcommittee composed of one to three of the original members of the committee. Usually, the sponsor chairs this group, and the other two are committee members who recommended the most extensive revisions. Once all revisions are completed, the student will submit them to each committee member for review. If each member states in writing that the new text is satisfactory, the vote of incomplete is changed to a pass.

FAIL: Because a dissertation approved for defense by a sponsor and other readers will most likely earn at least an INCOMPLETE rating, a failure is extremely rare. If a student does fail, they will not be recommended to receive the Ph.D. degree.

Awards of distinction:

After the committee has voted to pass the dissertation, the question of awarding the degree "with distinction" may be moved. A vote on this question is taken by secret ballot. In order for a degree to be awarded "with distinction" the ballots must be unanimous.

If the committee votes to award distinction, a member of the examining committee other than the sponsor must prepare a letter to the GSAS Dean outlining the qualities of the dissertation that merit the award of distinction, including the nature of its distinctive contribution to scholarship in its field and its broader significance to advancing knowledge. There can be no rigid quota on the number of dissertations to be awarded distinction, but the standard of merit is that **no more than ten percent** of all dissertations (over time) should be awarded with 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/her dissertation, receive a letter of commendation from the GSAS Dean; the student's permanent transcript and the Ph.D. Convocation Program shall be annotated accordingly.

Students and committee members alike should note that the original copy of the voting sheet must be signed by all committee participants (even those who may have been unable to attend the defense) before a student may deposit his/her dissertation.

Dissertation Deposit and Commencement Ceremonies

If the candidate defends and passes (i.e. with minor revisions), the only remaining academic requirement is the dissertation deposit. At the conclusion of the defense, the student will receive a listing of the materials that are prepared for the final deposit at the Dissertation Office in 107 Low. The deposit has transitioned to an electronic format, instructions for which will be given to the candidate at the conclusion of the defense. All deposits must be accompanied by an Approval Card signed by the student's sponsor and department chair. The candidate is to deposit no later than six months after the defense.

In publishing their dissertation manuscripts for deposit, students must follow University guidelines regarding the acceptable format. The guidelines dictate everything from the margin and spacing length to the style of the font, footnotes, page numbering, title page, and type of paper used to print the dissertation if the student is required to deposit a hard copy. A list of these guidelines is available at both the dissertation office in 107 Low and in the Doctoral Office.

Degrees are awarded in October, February, and May of each year. The student is eligible to receive the degree on the next conferral date following complete deposit, provided that the deposit is completed by 4:00 p.m. on the Friday preceding the degree date. Commencement for the three conferral dates is held once each year in May. There are no conferral ceremonies held in October or February. For employment or other purposes, candidates may obtain official certification of the completion of all degree requirements from the Office of Student Information Services.

Information about the annual Ph.D. Convocation held two days before commencement is mailed from the Office of the GSAS Dean in March. Information about the commencement ceremony in May is mailed from the Office of the President around the same time. Information about commencement tickets and academic attire, etc. will also be sent to graduates in the Spring semester (usually around April). Graduates who have not received this information by April should contact the Doctoral Office as soon as possible.

For other details regarding dissertation defense and deposit, see "The Ph.D. Dissertation: Research Proposal, Sponsorship and Defense", the "Graduate School of Arts and Sciences General Announcement Bulletin", and the "Dissertation Defense, Format and Deposit Requirements". All are available in 107 Low, as well as on the Dissertation Office website: www.columbia.edu/cu/gsas/pages/cstudents/diss-office/dissertation/index.html

Defense and Deposit Deadlines

If targeting the October 19, 2011 degree conferral date:

Submission of Intent to Distribute & Defend	August 5, 2011
Submission of Application for Defense	September 2, 2011
Dissertation Deposit Deadline	October 14, 2011, 4:00 p.m.

If targeting the February 8, 2012 degree conferral date:

Submission of Intent to Distribute & Defend	December 2, 2011
Submission of Application for Defense	December 16, 2011
Dissertation Deposit Deadline	February 3, 2012, 4:00 p.m.

If targeting the May 16, 2012* degree conferral date:

Submission of Intent to Distribute & Defend	March 2, 2012
Submission of Application for Defense	TBA
Dissertation Deposit Deadline to increase likelihood that printed diploma is available for pick-up on campus (all others are mailed)	TBA
Dissertation Deposit Deadline to be included in Convocation Booklet	TBA
Dissertation Deposit Deadline to be included in Convocation Addendum	TBA, 4:00 p.m.
Dissertation Deposit Deadline	TBA, 4:00 p.m.

**Students may find updated information on the Dissertation Office web site <http://www.columbia.edu/cu/gsas/sub/dissertation/rules/dates/index.html>*

GENERAL PROGRAM POLICIES

Course Content and Grading Policies

The overall content and criteria for evaluation (e.g. papers, oral presentations, examinations, etc.) in each doctoral course is left to the discretion of individual faculty members. Students are reminded that for *all* graded courses, students must receive a grade of *B minus* or better in order to receive credit toward the degree for the course. Any course in which the student fails to receive a B minus must be retaken (if it is a required course) or the student may select a different course in order to fulfill the degree requirement in question.

If a student does not fulfill the requirements of a course they will be assigned an "incomplete." Thereafter, the student must complete the requirements and receive a letter grade before the beginning of the same term in the following year. Failure to do so will result in the course grade automatically becoming an "F."

Academic Discipline and Personal Conduct

Each student is responsible for observing traditional canons of scholarly discourse, scientific research, and academic honesty. Students and faculty are expected to exhibit the high level of personal and academic integrity required of members of an academic community. Plagiarism, cheating, and fraud in research will not be tolerated, and may be grounds for termination of a student's degree candidacy.

Students are expected to conduct themselves in accordance with the individual and collective rights of others in the University community. Behavior which is disruptive, coercive, profane, or harassing is not permitted.

Both the Graduate School of Arts and Sciences and the School of Social Work expect that, in and out of the classroom, on and off the campus, students will act in an honest and considerate manner and will respect the rights of others. While every subtlety of proper behavior cannot be detailed here, Columbia University policy states that harassment of others because of their race, sex, religion, or sexual orientation is unacceptable behavior and will be dealt with very severely. Every Columbia student is required to live up to these standards so that we can be confident that all will benefit fully from the rich diversity to be found here.

- More detailed policies regarding academic discipline and personal conduct may be found on the GSAS website under Section IX of the GSAS Rules and Regulations <http://www.columbia.edu/cu/gsas/rules/main-menu/pages/main/index.html#N101AB> and in the latest edition of FACETS (Facts About Columbia Essential To Students) <http://www.columbia.edu/cu/facets/>
- Students should also check out the CUSSW MSW Student Handbook (<http://www.columbia.edu/cu/ssw/students/index.html>) for descriptions of policies pertaining to behavioral standards, Dean's Discipline and discrimination and harassment, among others.
- Finally, students should familiarize themselves with the Code of Ethics of the National Association of Social Workers (NASW): <http://www.socialworkers.org/pubs/codeweb/code.asp>

Satisfactory Academic Progress

Permission to register each term is contingent, in part, on satisfactory progress in the program. A student who fails to maintain satisfactory progress will have his or her candidacy terminated. The doctoral program considers progress to be minimally satisfactory when it is at a rate that will allow a student to complete the Ph.D. within seven calendar years.

Satisfactory progress is assessed on the basis of grades, including the absence of incompletes and timely completion of all the doctoral program credit, exam and thesis requirements. It is in the context of these criteria that the doctoral program assesses each student's progress with respect to both quality and quantity. The Graduate School of Arts and Sciences (GSAS) requires each student, beginning in their 4th year, to complete a report on academic progress with their dissertation sponsor (or advisor) for each year that they remain in the program. The doctoral office sends out the progress report to all students in the 4th year and beyond, as well as their sponsors. For your reference, please note the following table regarding timing of the program's degree requirements:

Deadlines for Completing the Degree Requirements

Requirement	Deadline
Field of Practice Examination / Paper	<i>Must be completed prior to comprehensive exams</i>
Research Practicum	<i>Must be completed before the third year</i>
<ul style="list-style-type: none">• Social Method Courses• Social / Behavioral Science Courses• Research & Statistics Courses• Field of Practice Tutorial	<i>All must be completed by the end of the semester in which the comprehensive exams are completed</i>
Comprehensive Examinations	<i>Should be completed by the end of the 6th semester</i>
Dissertation Proposal	<i>Within 1 year of completing comprehensive exams</i>
Dissertation Defense	<i>Must be completed within 3 years of approved proposal, and within 5 years of completing the comprehensive exams.</i>
Dissertation Deposit	<i>Must be completed within 6 months of successfully defending the dissertation</i>
Completion of all Ph.D. requirements	<i>7 academic years after entering program</i>

Termination from the Doctoral Program

Students who fail to meet the criteria of satisfactory academic progress as outlined above will jeopardize their candidacy in the doctoral program. If, in the Doctoral Chair's judgment, a student is not progressing at a satisfactory pace, that student will be sent a warning letter and will be asked to submit a detailed timeline for completion of the degree requirements. The Chair will either approve the student's timeline for completion, or revise it as deemed necessary. If the student fails to meet the new deadlines for completing the degree requirements, the student's candidacy may be terminated at the discretion of the Doctoral Chair.

Extension of the time allowed for completion of a degree may sometimes be granted on recommendation of the student's sponsor or advisor when specific, compelling circumstances warrant it. Students may initiate a request for extension by submitting a statement of work in progress and a schedule for

completion together with a recommendation from the student's sponsor or advisor. Students must note that such extensions are very rare.

Once a student has been terminated from the program, they will not be allowed to apply for readmission. A student may appeal a termination decision to the Committee for the Doctoral Program, that will decide on whether or not the student should be granted a time extension for completing the degree. The outcome of the Committee's decision will be considered final.

Leave of Absence

A student who must interrupt studies for a compelling reason (e.g., medical or family related matters) may request a leave of absence for a period up to but not exceeding one year. The request should be made in writing to the Doctoral Chair, and must be approved by the Chair as an acceptable condition for a leave of absence. Students requesting a leave for medical reasons must submit a note from their physician when applying for the leave, and another note when requesting clearance to re-enroll at the end of their leave.

Since students are not registered during a period of leave, they are ineligible for University facilities, including libraries and housing. In addition, students on leave usually cannot defer payment of University and government loans. Leaves of absence are recorded on a student's academic record, but do not count toward the deadlines for completing the degree requirements.

It is expected that students who do take a leave of absence will be able to resume their studies promptly and complete their remaining degree requirements in a timely manner.

Readmission

A student who leaves the University without obtaining a leave of absence is usually not readmitted. The special approval of the Chair, contingent upon the merits of the student's request and the recommendation of the department, is required for readmission.

If readmitted, the student becomes subject to all current degree requirements in the program, as interpreted by the Chair to fit the student's case. In cases involving prolonged interruption of studies, departments may require students to retake exams and/or courses as appropriate.

Because an unauthorized absence does not relieve a student of the obligation to register continuously until the completion of all degree requirements, readmitted students are also required to pay a reinstatement fee equivalent to the cost of the matriculation and facilities fee for each term of absence, ordinarily for a maximum of eight terms. (Students who are absent for more than eight terms and who have continued work toward the degree during the entire period may be liable for additional payment.)

Maintaining Your Contact Information

At all stages of their doctoral education, students are responsible for keeping the Doctoral Office apprised of their whereabouts. This is especially crucial when students take a leave of absence or advance into the dissertation stages and leave the local area to pursue their research. As long as doctoral students are in the program, they should continue to provide a current mailing address, phone, and e-mail

address. If after reasonable effort the Doctoral Office is unable to contact a student, that student may have their doctoral candidacy terminated.

Students are encouraged to update their contact information within their Student Services Online (SSOL) accounts whenever it has changed. SSOL accounts may be accessed via the following web page: <https://ssol.columbia.edu/>. Additionally, students should contact a member of the doctoral office to apprise them of their new contact information.

Documentation and the Degree Requirements

For each of the following degree requirements, students are required to file an application or contract that indicates their intent to complete that particular requirement. These documents go on file in the student's folder, and comprise part of the permanent record of the student.

Documents required include the following:

research practicum

(required: contract signed by student and faculty supervisor, timesheet by student and faculty supervisor, evaluation by faculty supervisor)

comprehensive examinations

(required: application filed at various stages, evaluation by faculty readers)

dissertation proposal defense

(required: application filled out by student, evaluation form filled out by dissertation committee)

dissertation defense

(required: dissertation office application filled out by student according to GSAS Dissertation Office deadlines, evaluation filled out by dissertation committee)

All forms are available online at the Doctoral Program website or at the Doctoral Office.

Teaching Opportunities

There are numerous opportunities for students to serve as teaching assistants, and a few advanced students are typically invited to serve as preceptors. Students interested in pursuing a teaching opportunity should alert the Doctoral Office staff.

In order to determine which doctoral students will teach in the M.S. program, the Associate Dean consults with the Doctoral Program Chair, the student's advisor, and the appropriate curriculum area coordinator in the Master's program. Only doctoral students who have no incomplete or missed degree requirement deadlines are eligible for teaching assignments at CUSSW.

Students are advised that they are required to have TA experience before they are allowed to act as a course preceptor, and that they are strongly encouraged to complete a course on teaching.

In accordance with University policy, doctoral students are allowed to hold only one research or teaching appointment within a given semester. Please contact the doctoral office if you have any questions about your eligibility for an appointment.

Outside Employment

Since the doctoral program is a full-time program and students must complete three semesters of full-time residency, they are strongly discouraged from spending excessive time in outside employment. It may be feasible for students who do not have research or teaching assistantships to work one or two days a week. Full-time employment, by contrast, has consistently proven to be a major deterrent to the successful and timely completion of the program.

FINANCIAL AID

The Doctoral Program offers a comprehensive program of student financial aid. We recognize that doctoral programs represent a long-term investment of time, intellectual commitment, and financial resources. We are committed to assisting students in securing financial support from a variety of sources, including institutional and non-institutional fellowships, teaching and research assistantships, federal and alternative loan programs, and other appropriate employment.

Typical sources of Columbia's financial aid funds include general University funds, endowed fellowships, annual gifts and grants from government agencies, and alumni groups.

Three things to keep in mind:

- 1) There is **no specific form** for Doctoral Program applicants to complete in order to request financial assistance from Columbia University. The Doctoral Program allocates fellowships and tuition scholarships on a need-blind basis.
- 2) Students are encouraged to explore external fellowships early in their candidacies. The CUSSW Office of Sponsored Projects also maintains resources on a number of search engine links as well as information on applying for funding. Students are welcome to discuss possible options with the doctoral office.
- 3) Students are required to keep the program informed about non-University fellowships or prizes they are receiving, as it may affect their University aid. Students should supply copies of any external award letters to the doctoral office.

Sources of Funding

School of Social Work Financial Aid: A number of tuition scholarships are derived from general University funds awarded to the School.

Teaching and Research Assistantships: Many students obtain valuable experience and partially finance their studies through a wide range of research and teaching assistantships at the School of Social Work. Assistantships vary in their time commitment (up to 20 hrs/week) and may provide a salary or stipend.

Fellowships are awarded in recognition of academic achievement and with the expectation of continued scholarly success. Among the named fellowships that the Doctoral Program awards directly to incoming students are the Willie G. Perry Award, the Eveline M. Burns Award and the James A. Jones Scholarship Fund. The amounts of these awards vary slightly year-to-year owing to endowment conditions.

Applicants are strongly urged to compete for national, regional, and foundation fellowships for which they are eligible. These awards are often more generous than those granted by the University. For more information, students may contact the Doctoral Office.

Tuition Assistance Program (TAP) Awards

Any student who has been a legal resident of New York State for twelve months is eligible to apply to the Tuition Assistance Program (TAP) for each term in which he or she is registered as a full-time degree candidate. Further information and application forms may be obtained from the New York State Higher Education Services Corporation, Albany, NY 12255 (518) 474-5642. To ensure timely processing, applications for awards should be filed three months in advance of the beginning of the term for which the grant is to apply.

Social Work Research Network (SWRnet) has compiled a listing of several funding opportunities for doctoral and dissertation funding on their website: <http://www.bu.edu/swrnet/>. Students are also encouraged to sign up for the SWRnet listserv for biweekly emails containing announcements on conferences, calls for papers, funding opportunities, and other news.

Student Loans

With University funding, fellowship funding and/or work assistantships at the School, many students are able to cover tuition costs. Others may need to take out loans to cover the balance.

Applicants for student loans must fill out the Free Application For Student Aid (FAFSA) form. It can be completed and submitted online at www.fafsa.ed.gov

All loan programs assume that the primary responsibility for financing graduate education rests with the student and his or her family. Students who must borrow to finance their education are advised to keep loan amounts as low as possible to avoid unreasonably large repayments after graduation. Loan aid is limited to the difference between the cost of attendance and the sum of all non-loan aid, and loan applicants must be degree candidates who demonstrate satisfactory academic progress and financial need. Because federal aid applications often take six to eight weeks to process, applicants must submit all required application forms and documents by June 1 prior to entering the program. Students are also advised that many states maintain scholarship programs for their residents, and they may do well to investigate this possible resource before reaching decisions about loans.

Federal Subsidized Stafford Loan Program (Formerly GSL)

The Federal Subsidized Stafford Loan is a guaranteed, federally insured loan obtained through a bank, savings and loan association, credit union or other participating lender, and is usually administered by a state guarantee agency. Repayment of interest and principal begins six months after the student ceases at least half-time registration. Eligibility for a Stafford Loan is limited to U.S. citizens and permanent residents and is based on an analysis of financial need, so the Free Application for Federal Student Aid (FAFSA) is required. The federal processor will return a Student Aid Report (SAR) to the applicant. In order for the school to determine eligibility, the applicant must forward the SAR to the financial aid office. Federal regulations require that certain information about the student's financial status be verified by the financial aid office. Applicants are therefore also required to submit a copy of their most recent federal income tax return.

Federal Unsubsidized Stafford Loan Program (Formerly SLS)

Unsubsidized Stafford Loans are available to graduate students who are U.S. citizens or permanent residents through a participating lender (bank, savings and loan, credit union). They are federally insured loans available for those who cannot demonstrate financial need according to Subsidized Stafford criteria or who need to borrow funds in addition to a Subsidized Stafford. Repayment of principal is deferred

while the student is enrolled full time. Students may choose to make interest payments or request that the interest accrue and capitalize. The Unsubsidized Stafford may not exceed the cost of attendance minus all other aid. Complete current information about eligibility requirements, borrowing limits, and repayment conditions may be obtained at the Office of Student Affairs, 107 Low Memorial Library.

Federal Perkins Loan Program

The Federal Perkins Loan Program, institutionally administered federal funds, is available to U.S. citizens and permanent residents who demonstrate need that exceeds the Stafford. Graduate School policy restricts Perkins Loans to full-time students who are registered for Residence Units. Federal regulations mandate that priority for Perkins Loans be assigned to students who show exceptional need, as determined by a federally approved need analysis. For this purpose, the SAR, and copies of income tax returns (see Stafford above) must be submitted to the financial aid office. Repayment of interest and principal is deferred while a student is registered at least half-time. Complete current information about eligibility requirements, borrowing limits, and repayment conditions may be obtained at the Office of Student Affairs, 107 Low Memorial Library.

For further information about specific loans or the FAFSA form, please make an appointment with the Financial Aid office at the School of Social Work at (212) 851-2295.

Doctoral Program Cost Analysis

For your reference, here is a summary of the costs generally incurred by students in the CUSSW Doctoral Program. These figures are based on tuition rate estimates for the **2011-12** academic year only. Student tuition payments vary, of course, by the amount of financial aid that a student receives either from the School of Social Work or from outside sources. Health insurance fees are not included, as they may vary from student to student. Standard health services fees have been listed.

These are estimated figures for tuition rates and student fees for 2011-12, and are subject to change.

Summary of tuition costs for 2011-12

Flat Fee System (Students entering Fall 2003 or later)

Tuition cost for one full-time year	\$ 37,708.00
Tuition cost for one full-time semester	\$ 18,854.00
Tuition cost for one half-residence unit semester*	\$ 10,214.00
Continuing Doctoral Registration**	\$ 1,574.00

**Students are generally registered for a half-residence unit semester during the 5th semester (third year) of doctoral candidacy.*

***Paid each semester from the end of regular credit-bearing course work until the completion of the dissertation*

Per Point System (Students entering prior to Fall 2003)

Tuition cost per point (or credit)	\$ 1,176.00
Tuition cost for one standard 3-credit course	\$ 3,528.00
Tuition cost for a standard 4-course semester	\$ 14,112.00

Continuing Doctoral Registration** \$ 400.00

***Paid each semester from the end of regular credit-bearing course work until the completion of the dissertation*

Fees paid each semester

Health Services Fee	\$ 450.00
Technology Fee	\$ 200.00
University Facilities Fee (full-time)	\$ 361.00
University Facilities Fee (part-time)	\$179.00
Student Activity Fee	\$ 75.00
International Services Charge (paid by international students only)	\$ 50.00

Additional one-time fees

Orientation and Events Fee	\$ 400.00
Deposit of the Dissertation Fee	\$ 85.00

CUSSW STUDENT GRIEVANCE PROCEDURES

Columbia School of Social Work believes that students, administrators and faculty have the right to express their views freely, within an atmosphere of tolerance and civility, and in an environment that is open to divergent views. Faculty and administrators must also, of course, treat students with civility and respect.

The following procedures specify how student complains about faculty behaviors or language in the classroom, within the School, or at School-related events are to be addressed. The behaviors of concern are those that may appear to go beyond established bounds of academic decorum and that may appear to threaten or dismiss either an individual or a collective group or undermine basic understandings and recognized standards of conduct within our community.

I. Mediation

A. Students are strongly encouraged to seek resolution to their complaints by talking directly with their professors. In general, the School seeks to resolve issues in a timely manner and on an informal basis. Students reluctant to communicate a complaint directly because of a reasonable fear of reprisal have the following alternative avenues:

1. Students who believe that a faculty member has engaged in improper behavior in an instructional setting, as defined in section II C of this statement, may report the incident to the Associate Dean for Academic Affairs. Doctoral students may **also** report an incident to the Chair of the Doctoral Program.
2. For concerns about a field instructor or field education issues, the student may speak first to the Associate Director of Field Education with whom she or he planned her or his field placement. If the student does not feel that the complaint has been adequately addressed, she or he may present the issue to the Assistant Dean for Field Education. The Associate Dean for Academic Affairs is another possible resource for the pursuit of a resolution, if neither the Associate Director nor the Assistant Dean for Field Education has been able to bring the matter to resolution with the student.
3. Matters related to general student life at the School of Social Work that nonetheless relate to a particular member of the faculty may be taken to the Senior Assistant Dean for Enrollment and Student Services who will work with the Associate Dean for Academic Affairs to resolve the matter.

B. After meeting with the student and gathering pertinent information about the complaint, the administrator will then seek to resolve the issue through a discussion with the faculty member involved. With all these options, the strictest confidence is to be maintained at all times, among both the students and concerned faculty and among intermediaries such as student representatives, faculty mentors, or members of the administrative team.

C. Students may also take their problems to the University's Ombuds Officer, who serves as an informal, confidential resource for assisting members of the University with conflict resolution. The Ombuds Officer provides information, counseling and referrals to appropriate University offices. The

Officer will also mediate conflicts if both parties are agreeable. The Officer does not have the authority to adjudicate disputes and does not participate in any formal University grievance proceedings. **Further information on the Ombuds Office may be found at <http://www.columbia.edu/cu/ombuds/>.**

II. Formal Procedures

- A. Students are encouraged, but not required to seek an informal resolution to their complaints. They may elect, instead, to file a formal grievance. They may also file a formal grievance if informal mediation fails.
- B. If the faculty member holds an appointment in the School of Social Work, students may use the procedures described herein to address the issues listed below. If the faculty member belongs to another school, its procedures are applicable. Students may, however, ask for help from officials of the School in identifying and understanding relevant procedures.
- C. Issues that may be grieved under these procedures include:
 1. Alleged failure to show appropriate respect in an instructional setting for the rights of others to hold opinions differing from their own;
 2. Alleged misuse of faculty authority in an instructional setting to pressure students to support a political or social cause; and
 3. Any other conduct in the classroom or another instructional setting that adversely affects the learning environment when that conduct displays an intolerance for different views or a lack of civility.
- D. These procedures may not be substituted for extant grievance procedures that address disputes over grades, academic dishonesty, or behavioral concerns as they related to student conduct. Students should also use alternative procedures in the following situations:
 1. If the alleged misconduct involves discrimination and sexual harassment, a student should file a complaint with the Associate Provost for Equal Opportunity and Affirmative Action. The procedures for handling such complaints are described in the statement, *Discrimination and Sexual Harassment Policy and Procedures*, which is on the web at www.columbia.edu/cu/vpaa/eoaa/docs/discrim_sexharass.html
 2. Complaints against the School's faculty that allege scientific or scholarly misconduct are also evaluated using other procedures. These are contained in the statement, *Guidelines for Review of Misconduct in Science for The Columbia University's Health Sciences*, which is available at www.cumc.columbia.edu/research/priv/miscond/.
- E. Any student currently enrolled in the University and directly affected by the behavior of a faculty member of the School may file a formal grievance under the procedures in this statement.
- F. A student initiates the formal grievance procedure by submitting a written statement to the Dena documenting the grievance. The request must be submitted no later than 30 days after the end of the semester within which the misconduct was supposed to have occurred.
- G. The Dean serves as the final resource for complaints within the School if all other avenues fail or if a student believes that his or her concern cannot be pursued via any other avenue. The Dean

may seek the advice of appropriate faculty, generally relying first, unless otherwise appropriate, upon the Committee of Academic Appointments for their counsel.

H. The Dean will review the complaint to determine if there are sufficient grounds to proceed or if the issues raised by the student can be resolved in another manner. If the Dean determines that a formal investigation is warranted, he or she will appoint an *ad hoc* committee to operate as a fact-finding body and report back on whether the complaint is justified.

I. The Dean will appoint three members to serve on the ad hoc committee. The composition of such a committee cannot be determined before the event. The Dean may seek the advice of appropriate faculty in determining the composition of the committee and for their expertise related to the issues raised. The membership will normally consist of faculty members, and, at the discretion of the Dean, could include a student and/or senior administrator.

J. The faculty member is given the student's letter of complaint and invited to provide the *ad hoc* committee with a written response. The committee reviews both statements and is provided access to any other written documents relevant to the complaint. It will normally interview both the grievant and the faculty member and may, at its discretion, ask others to provide testimony.

K. The Committee ordinarily convenes within 10 working days of being appointed by the Dean and ordinarily completes its investigation and sends the Dean its written report within 30 working days of convening. When appropriate, the committee may also recommend remedies to the student's complaint and disciplinary action against the faculty member. Such remedies may include an agreement to terminate the specific behavior, a letter to the personnel file, or withdrawal of the complaint.

L. The investigative committee serves in an advisory capacity to the Dean of the School. The Dean may accept or reject in whole or part its findings and recommendations.

M. The Dean normally issues his or her decision within 30 working days of receiving the committee's report. The Dean will inform both the student and the faculty member in writing of the decision rendered. The faculty member and the student will also have access to the committee's report.

N. The Dean may discipline faculty members who are found to have committed professional misconduct. Any sanctions will be imposed in a manner that is consistent with the University's policies and procedures on faculty discipline. In particular, if the Dean believes that the offense is sufficiently serious to merit dismissal, he or she will initiate the procedures in Section 75 of the University Statutes for terminating tenured appointments, and non-tenured appointments before the end of their stated term, for cause.

O. The lodging of a complaint is not in itself evidence of guilty behavior. A complaint shall not be taken into account during re-appointment, tenure, promotion, merit or other evaluation or review unless and until the grievance process is completed, including any appeals, and unless the faculty member is found to have committed the offense charged.

III. Appeal

A. Either the student or the faculty member may appeal the decision of the Dean to the Provost. Findings of fact, remedies granted the student and penalties imposed on the faculty members are all subject to appeal. A written appeal must be submitted to the Provost within 15 working days of the date of the letter informing them of the Dean's decision.

B. Normally, the Provost will take no longer than 30 working days to evaluate an appeal. The Provost usually confines his or her review to the written record but reserves the right to collect information in any manner that will help to make his or her decision on the appeal.

C. The Provost will inform both the student and the faculty member of his or her decision in writing. If the Provost decides that the faculty member should be dismissed for cause, the case is subject to further review according to the procedures in Section 75 of the University Statutes, as noted above. Otherwise, the decision of the Provost is final and not subject to further appeal.

IV. Confidentiality

All aspects of the investigations of a student grievance are confidential. The proceedings of the grievance committee are not open to the public. Only the student grievant and the faculty member accused of misconduct receive copies of the decisions of the Dean and the Provost. All participants in the grievance process, including the complainant and the faculty member, witnesses, mediators, members of the administrative team, and members of the ad hoc grievance committee, shall respect the confidentiality of the proceeding. Participants are authorized to discuss the case only with those persons who have a genuine need to know.

A full description of faculty obligations and rights may be found in the *Faculty Handbook* at <http://www.columbia.edu/cu/vpaa/fhb/main.html>.

CUSSW FACULTY

More extensive profiles of these faculty members may be found at the following website:

<http://www.columbia.edu/cu/ssw/faculty/profiles/>

SHEILA H. AKABAS. *Professor of Social Work*
B.S., Cornell University; M.B.A., Ph.D., New York University
sa12@columbia.edu, (212) 851-2257

DANA ALONZO. *Associate Professor of Social Work*
dl2298@columbia.edu, (212) 851-2254

MICHELLE S. BALLAN. *Assistant Professor of Social Work*
B.A., M.S.W. Rutgers University; Ph.D., University of Texas at Austin
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BARBARA BERKMAN. *Helen Rehr/Ruth Fisdale Professor of Health and Mental Health.*
B.A., University of Michigan; M.A., University of Chicago; D.S.W., Columbia University
bb151@columbia.edu, (212) 851-2398

DENISE BURNETTE. *Professor of Social Work*
B.A., B.S., M.S.W., University of Tennessee; Ph.D., University of California (Berkeley)
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FENG-PEI CHEN. *Assistant Professor of Social Work*
B.A., National Taiwan University; M.S.W., University of California, Berkeley; Ph.D., University of Wisconsin, Madison
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GRACE H. CHRIST. *Professor of Social Work*
B.A., Wheaton College; M.A., University of Chicago; D.S.W., Columbia University
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ACADEMIC CALENDAR

Religious Holidays

It is the policy of the University to respect its members' religious beliefs. In compliance with New York State law, each student who is absent from school because of his or her religious beliefs will be given an equivalent opportunity to register for classes, make up any examination, or complete any other work requirements which he or she may have missed. No student will be penalized for absence due to religious beliefs and alternative means will be sought for satisfying the academic requirements involved.

Officers of administration and of instruction responsible for scheduling of academic activities or essential services are expected to avoid conflict with religious holidays as much as possible. If a suitable arrangement cannot be worked out between the student and the instructor, they should consult the appropriate dean or director. If an additional appeal is needed, it may be taken to the Provost.

2011-12 Doctoral Program Academic Calendar

Please note that some dates, particularly those involving registration, are subject to change.

August

- | | |
|-------|--|
| 5 | Last day to submit an Intent to Distribute and Defend form to the Dissertation Office if targeting the October degree. |
| 29-16 | CUSSW registration dates. |
| 31 | Doctoral Program Orientation for Fall 2011 cohort |

September

- | | |
|------------|---|
| 2 | Last day for the department to submit an Application for Dissertation Defense if targeting the October degree. |
| 5 | Labor Day holiday observed university-wide. |
| 6 | Fall semester classes begin. First day to add/drop courses or apply to audit courses. |
| 6-9, 12-16 | Change of Program period for CUSSW and several other schools for Fall 2011. (Note that students allowed to register after this period specified must pay a late fee.) |
| 16 | Change of Program period for Fall 2011 ends. Last day to add/drop CUSSW courses, apply to audit courses, or submit written notice of withdrawal from the Fall term for full refund of tuition and special fees. |

October

- 11** Last day to drop a GSAS class.
- 14 (4:00 p.m.)** Last day to deposit dissertations for the October degree.
- 19** Conferral of October Ph.D. degrees.

November

- 7** Academic holiday observed university-wide.
- 8** Election Day holiday observed university-wide.
- 17** Last day to drop a class for certain other schools (see University calendar). Last day to exercise pass/fail option.
- 24-25** Thanksgiving holiday break.

December

- TBA** Doctoral Program Holiday Party
- 2** Last day to submit an Intent to Distribute and Defend form to the Dissertation Office if targeting the February degree.
- 12** Fall semester University classes end.
- 13-15** University Study Days
- 15** Fall semester CUSSW classes end.
- 16** Last day for the department to submit an Application for Dissertation Defense if targeting the February degree.
- 16-23** Final Examinations
- 24-1/16/12** Winter holiday break.

January

- TBA** Second registration period for Spring 2012 (in Early January). Note that students allowed to register after this period specified must pay a late fee.
- 16** Martin Luther King Jr. Day holiday observed university-wide.
- 17** Spring semester classes begin.
- 27** Add/drop registration for Spring 2012 ends. Last day to add/drop courses, apply to audit courses, or submit written notice of withdrawal from the Spring term for full refund of tuition and special fees.

February

3 (4:00 p.m.) Last day to deposit dissertations for the February degree date.

8 Conferral of February Ph.D. degrees.

21 Last day to drop classes without academic penalty.

March

Early-Mid Mar. Program planning between students and faculty advisors.

2 Last day to submit an Intent to Distribute and Defend form to the Dissertation Office if targeting the May degree.

12-16 Spring holiday break.

22 Last day to drop a class for certain other schools (see University calendar).
Last day to exercise pass/fail option.

TBA Last day for the department to submit an Application for Dissertation Defense if targeting the May degree.

April

TBA Fall 2012 early registration period for CUSSW courses. Students register by phone and have several appointments to choose from.

TBA Suggested dissertation deposit deadline to increase the likelihood that printed diploma is available for pick-up on campus (all others are mailed)

26 Last day of CUSSW classes.

30 Last day of University classes.

May

TBA Last day to deposit the dissertation in order to be included in the Ph.D. Convocation Book listing.

1-3 University Study Days

4-11 Final Examinations

TBA (4:00 p.m.) Last day to deposit the dissertation in order to be included in the Ph.D. Convocation Book addendum.

TBA (4:00 p.m.) Last day for Ph.D. candidates to deposit the dissertation in 107 Low Memorial Library for the May degree date.

Commencement 2012

TBA	Graduate School of Arts & Sciences (GSAS) Convocation, Morningside Campus
16	CUSSW Graduation
16	Columbia University Graduation Ceremony. Conferral of May degrees.

Doctoral Office Contact Information

In closing, we note that the Doctoral Office, located in Room 919 in the Social Work building, is the center of the administrative functions of the Doctoral Program. Lindsay Bennett (lrb2109@columbia.edu; 212-851-2389) is the associate director of the doctoral program. The Doctoral Program Chair, Julien Teitler (jot8@columbia.edu; 212-851-2385), can also be found in Room 917. If you have a specific question or concerns please feel free to stop by.

**Columbia University School of Social Work
 Doctoral Program Student Review: Current as of XXXX YYYY Semester**

Student Name

Concentration:

COURSE PLAN

	Course No.	Course Name	Completed	Currently Enrolled	Semester to be Enrolled
Doctoral Program Proseminar					
Courses in Concentration:					
Research Methodology & Statistics Courses (21 credits): * Three courses (9 credits) in research methodology, three courses (9 credits) in statistics, plus an additional course (3 credits) in either.					
History/Philosophy: (3 credits)					
Social/ Behavioral Science Courses (9 credits):					
Field of Practice Tutorial (3 credits):					
Elective Courses: (optional)					

DOCTORAL PROGRAM MILESTONES

	Completed	Semester to be Completed
Research Practicum		
Comprehensive Examinations		
Dissertation Seminar (T8505)		
Dissertation Research Instruction Credits (T9800)		
File for Master of Philosophy (M.Phil) Degree		
Dissertation Proposal Defense		
Dissertation Defense		

Notes:

I have reviewed this status report and have discussed my schedule for completing the degree requirements with my academic advisor.

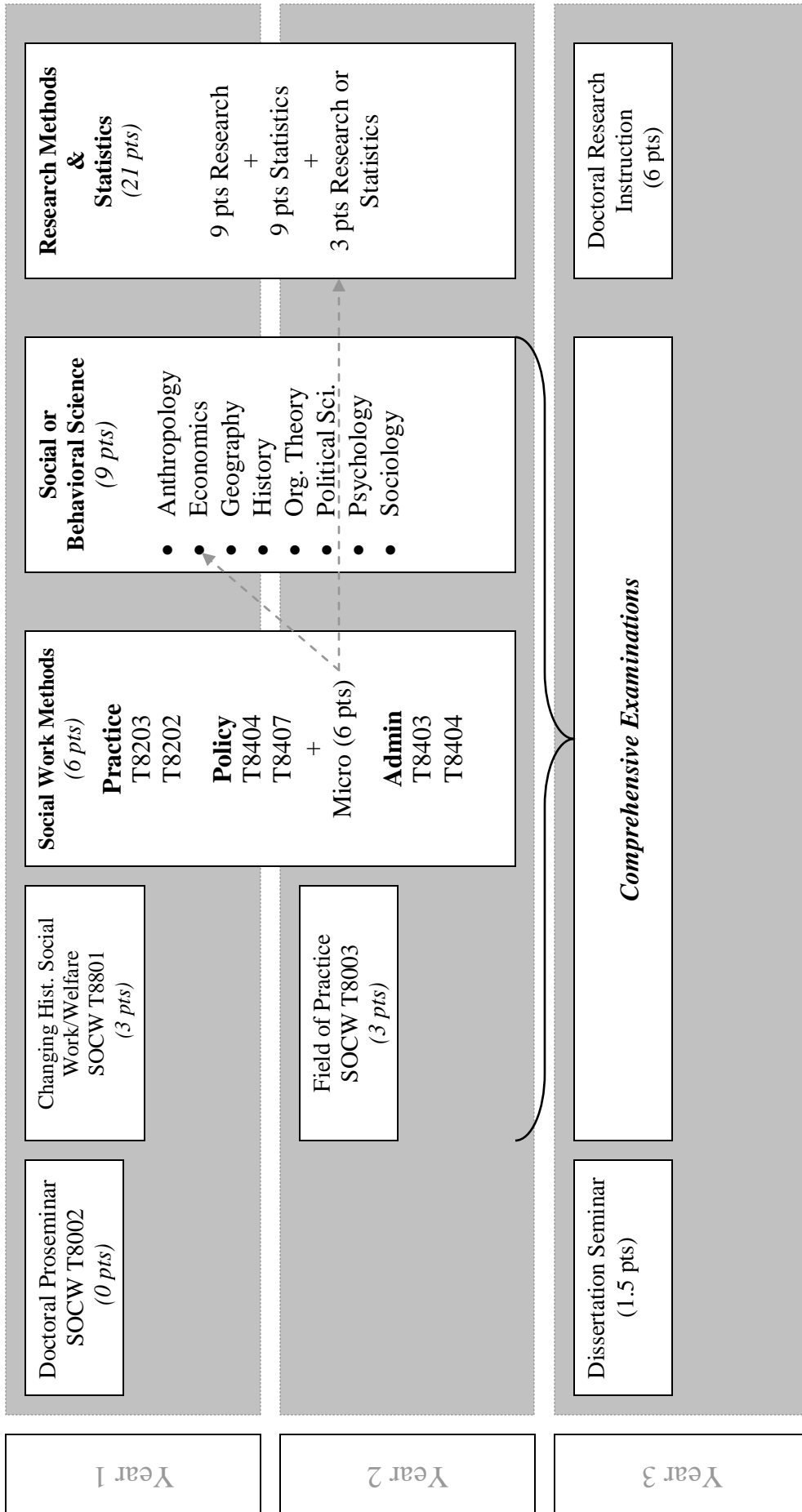
¹My chosen social science is: _____

Student's Signature: _____

I have reviewed this student's status report and approve of the student's proposed schedule for completing the degree requirements.

Advisor's Signature: _____

¹ Students must declare their chosen social science (and receive their advisor's approval) by the end of their 2nd / beginning of their 3rd semester.



RESEARCH PRACTICUM CONTRACT

Please print this form, fill it out, and return it to the Doctoral Office.

Student's Name: _____

Faculty Supervisor: _____

When will you work?

* Beginning date: _____ Completion date: _____

* Number of hours per week: _____ Days per week: _____

* How often will you have supervision? _____

* Who will be your supervisor? _____

Please consider your personal goals for the practicum experience and discuss them with your supervisor. Attach a separate sheet to the contract that answers in full the following questions:

1) Explain in detail your agreement with your faculty supervisor as to what activities/tasks you will perform during your practicum.

2) Indicate what knowledge or learning experience you expect to gain from this experience.

3) Do you expect to submit a research paper (written by yourself or co-authored with your supervisor) for publication that integrates the work of your practicum experience?

Student's signature: _____

Practicum supervisor's signature: _____

Date: _____

RESEARCH PRACTICUM EVALUATION FORM

(to be completed by faculty supervisor)

Name of Student _____

Faculty Supervisor _____

1. Did the student fulfill the time requirements of the practicum? (360hrs., 8 hrs/week)

Yes _____ No _____

2. How often did the student receive supervision?

Weekly _____ Bi-weekly _____ Other (specify) _____

3. What type of research experience did the student receive on your project?

Performed a literature review _____

Prepared a grant application _____

Administered a mail survey _____

Gathered data _____

Developed a questionnaire _____

Interviewed subjects _____

Conducted focus groups _____

Participant observation _____

Analyzed qualitative data _____

Coded data _____

Conducted statistical analysis _____

Analyzed secondary data _____

Worked on large scale data set _____

Wrote report on research finding _____

Wrote a research paper _____

Made a presentation _____

Submitted an article for presentation _____

Other _____ Please describe: _____

4. Evaluate the student's performance on the tasks assigned.

_____ Excellent _____ Very Good _____ Good _____ Fair

5. What other learning opportunities was the student exposed to?

6. Did the student work with others on the project?

7. Rate the student's involvement in the project.

Completed tasks in a timely fashion?

What was the quality of the student's written work?

8. Was the overall learning experience a positive one?

9. Please comment on the quality of the student's overall performance.

Faculty Supervisor Signature: _____

Date: _____

COMPREHENSIVE EXAMINATIONS

APPLICATION

Students: Please print this form, fill it out, and return it to the Doctoral Office.

When a student has completed all required course work and the field of practice exam, they may sit for the comprehensive examination. The comprehensive exam, which aims to help students synthesize and integrate their social work methods, field of practice (substantive area) and social/behavioral science courses, is taken in two stages: first a **written exam** (either an in-school 7-hour or a 30-page double-spaced 3-day take-home), then an **oral follow-up exam** conducted by two members of your Comprehensive Examination Committee. A single evaluation of "pass" or "fail" covers both written and oral phases of the examination.

Student's Name: _____

Social work method area: _____ Practice _____ Policy _____ Admin.

Social/behavioral science concentration: _____

What is the specific area or focus of your research? _____

Please list all the courses you have taken in your social work method :

Course Number and Name	Instructor	Semester Completed
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Please list all the courses you have taken in your chosen social/behavior science concentration:

Course Number and Name	Instructor	Semester Completed
_____	_____	_____
_____	_____	_____
_____	_____	_____

Other relevant courses taken: _____

Comprehensive Examination (CE) Committee

Please list the 3 members of your CE Committee below. The 3 members (all CUSSW faculty) should among them have expertise that match your concentrations in social work method (admin, policy, practice), field of practice (substantive area), and social/behavioral science. You are welcome to suggest to your CE Committee any non-SSW Columbia University faculty with additional expertise whom they might wish to consult.

- 1) _____
- 2) _____
- 3) _____

Reading List

Students must compile a list of seminal readings (approximately 30-50) on which they will be examined in their social work methods, field of practice and social/behavioral science foci and have it approved by their CE Committee.

Approved _____ Not Approved _____

Comprehensive Exam Committee Signatures:

- | | | |
|------------|-----------|-------|
| 1) _____ | _____ | _____ |
| Print Name | Signature | Date |
| 2) _____ | _____ | _____ |
| Print Name | Signature | Date |
| 3) _____ | _____ | _____ |
| Print Name | Signature | Date |

Examination Options and Test Dates

Please select your **written** examination option.

In-School _____ Take Home _____

Date(s) of Examination: _____

In-School: 1 day (8 hrs including 1-hour lunch break)

Take Home: 3 days (9am Day 1 to 5pm Day 3 or equivalent)

Oral Follow-up

Date: _____

Student signature: _____ Date: _____

COMPREHENSIVE EXAMINATIONS

EVALUATION FORM

Examiners: Please print this form, fill it out, and return it to the Doctoral Office.

The comprehensive exam, which aims to help students synthesize and integrate their three methods courses, is taken in two stages: first a written exam, then an oral follow-up exam conducted by either two or three faculty members from the appropriate method area. A single evaluation of "pass" or "fail" covers both written and oral phases of the examination.

Student's Name: _____
Examining Committee: _____ (Chair)

WRITTEN EXAMINATION

ORAL EXAMINATION

Date(s): _____

Date: _____

RESULT: PASS _____
(check) FAIL _____

COMMENTS:

(Please attach a separate comments sheet if necessary.)

Signature of Chair, Examining Committee: _____

Date: _____

**COLUMBIA UNIVERSITY
SCHOOL OF SOCIAL WORK DOCTORAL PROGRAM**

**REPORT OF THE DISSERTATION PROPOSAL COMMITTEE
FOR THE DEGREE OF DOCTOR OF PHILOSOPHY
HELD ON _____, 20__.**

INSTRUCTIONS:

1. The candidate completes Part I and attaches one copy of the approved dissertation proposal.
2. Committee members sign in the appropriate columns in Part II.
3. The Committee Chair is asked to transmit this form and a copy of the approved dissertation proposal to the Doctoral Office, as soon after the date of the conference as possible.

PART ONE: Candidate's Statement

Candidate's Name:

Title of Proposed Dissertation:

	Name	Department/Affiliation
Dissertation Sponsor	_____	_____
Committee Chair	_____	_____
Readers:		
First	_____	_____
Second	_____	_____
Third	_____	_____

PART TWO: Dissertation Committee's Report

The Dissertation Committee, agreeing that the proposal is practicable and acceptable, that its plan and prospectus are satisfactory, and that the candidate is competent in the knowledge and techniques required, approves the proposal and recommends that the candidate proceed according to the prospectus and under the supervision of the dissertation committee.

Professors voting YES

Professors voting NO



To be completed by the degree candidate:

NAME: [last]			[first]	[middle]
M	F	CUID/PID: C00	UNI/EMAIL:	
DOCTORAL PROGRAM:				<input type="checkbox"/> I.C.L.S.
MAILING ADDRESS FOR CONVOCATION MATERIALS TO BE SENT IN APRIL:				

The purpose of this form is to provide GSAS information about your planned distribution and defense.

Please note that GSAS policy requires all doctoral students to register continuously until the term in which they distribute their dissertation to their examining committee. This distribution term is the final registration, even if the defense and deposit take place in a subsequent term.

If the distribution takes place on or after the first day of the fall term and before the first day of the spring term, then the student must be registered for the fall term.

If the distribution takes place on or after the first day of the spring term and before the first day of the summer term, then the student must be registered for the spring term.

If the distribution takes place on or after the first day of the summer

term and before the first day of the fall term, then the student must be registered for the summer term.

Dates for the fall and spring terms can be found here:
<http://registrar.columbia.edu/academic-calendar>

Dates for the summer term can be found here:
<http://ce.columbia.edu/summer-sessions/calendars>

Students whose time limit for completion of all requirements for the doctoral degree has expired must request an extension from their department or program, and request that the department or program notify the Dissertation Office that the candidate is eligible to defend.

Complete instructions regarding the distribution, defense, and deposit are available here:

<http://www.columbia.edu/cu/gsas/sub/dissertation/main/welcome/>

I intend to complete my dissertation and distribute it to my examining committee during the _____ term of _____. I understand that the term in which I distribute my dissertation is my final term of registration, and that if I do not distribute my dissertation in the above stated term, I will be required to maintain continuous registration until I do so, as permitted by current GSAS policy.

I intend to defend my dissertation during the month of _____, _____. I understand that students who pass the dissertation defense have up to six months to complete revisions and deposit the dissertation. My intention is to deposit in time for the _____ degree conferral.

Candidate's signature: _____ Date: _____

Please return this form to the GSAS Dissertation Office, either by scanning it and emailing it to dissertations@columbia.edu, or by delivering it to 107 Low Memorial Library.

GSAS USE:	<input type="checkbox"/> M.Phil.	<input type="checkbox"/> Dist. Reg.	Rec'd: _____	Processed: _____
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NAME:

M F CUID/PID: UNI/EMAIL:

DOCTORAL PROGRAM: I.C.L.S.

PROVISIONAL DISSERTATION TITLE:

This form must be completed and submitted to GSAS by the department or doctoral program office.
The sponsor must be an approved faculty dissertation sponsor for the candidate's department or doctoral program.
At least three examiners, including the chair, must be from inside the candidate's home department or doctoral program.
At least one examiner must be an outside examiner, unaffiliated with the candidate's home department or program.
At least three of the five examiners must be approved dissertation sponsors in a GSAS Ph.D. program.
No student may select, invite, or organize his or her own examination committee.

INDICATE BELOW
AT LEAST THREE
MEMBERS
APPROVED AS
GSAS
DISSERTATION
SPONSORS*

CHAIR OF COMMITTEE	<input type="text"/>	Email: <input type="text"/>	<input type="checkbox"/>
		Phone: <input type="text"/>	
	Department: <input type="text"/>		
SPONSOR	<input type="text"/>	Email: <input type="text"/>	<input checked="" type="checkbox"/>
		Phone: <input type="text"/>	
	Department: <input type="text"/>		
THIRD EXAMINER <i>(must be insider)</i>	<input type="text"/>	Email: <input type="text"/>	<input type="checkbox"/>
		Phone: <input type="text"/>	
	Department: <input type="text"/>		
FOURTH EXAMINER <i>(insider or outsider)</i>	<input type="text"/>	Email: <input type="text"/>	<input type="checkbox"/>
		Phone: <input type="text"/>	
	Department and Institution: <input type="text"/>		
FIFTH EXAMINER <i>(must be outsider)</i>	<input type="text"/>	Email: <input type="text"/>	<input type="checkbox"/>
		Phone: <input type="text"/>	
	Department and Institution: <input type="text"/>		

*A complete list of approved dissertation sponsors is available at <http://www.columbia.edu/cu/gsas/lis/sponsors.html>

DISTRIBUTION [HAS / HAS NOT YET] TAKEN PLACE:

Student must be registered for the term in which the dissertation is distributed. If not yet distributed, dept. must inform GSAS when distribution takes place.

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

Signed: _____
[DEPARTMENT CHAIR OR DIRECTOR OF GRADUATE STUDIES] [PRINT NAME AND TITLE] DATE

DEFENSE WILL TAKE PLACE ON:

Day of the week: Date: Time: Room:

GSAS USE:	<input type="checkbox"/> M.Phil.	<input type="checkbox"/> ZTXT	<input type="checkbox"/> Blue folder	Approved: _____ Date: _____
<input type="checkbox"/> Intent	<input type="checkbox"/> Dist. reg.	<input type="checkbox"/> COMM	<input type="checkbox"/> Notices emailed	

A Brief Glossary of Terms

ADR-OSP	<i>Office of the Associate Dean for Research and Sponsored Projects</i>	Facilitates the research endeavors of the faculty and research scholars of the CUSSW. Assists in the preparation of grant proposals and aids principal investigators in the management of sponsored projects. Disseminates information about current funding opportunities and provides mentoring in the grants process.
Comps	<i>Comprehensive Examinations</i>	Written and oral examinations aimed to synthesize, integrate, and critically assess ideas explored in their social work methods, social/behavioral science, and field of practice courses. The comps are currently undergoing restructuring.
T0001 or T0003	<i>Continuing Doctoral Registration</i>	Matriculation fee required of all students who have completed all course work. Students usually register for either T0003 (2003 cohort or later) or T0001 (2002 cohort or earlier) beginning in the 6 th semester. Students are required to register each semester until they graduate.
CourseWorks		A course management system for faculty and students. Students enrolled in a given course can access CourseWorks to find information on classroom location, meeting time, instructors' contact information, course syllabi, assignments, readings, online discussions, and library resources. Log in required.
CP	<i>Credit Pending</i>	Assigned in courses which regularly involve research or projects extending beyond the end of the term. Until such time as a passing or failing grade is submitted, satisfactory progress is implied.
CUIT	<i>Columbia University Institutional Technology (formerly known as AcIS)</i>	Provides computing and communications systems, services, and support to faculty, students, and administrators. Services include a support center, network access, telephony, email, desktop and LAN services for staff and faculty, business systems, academic computer labs, public access kiosks, and web services.
FOP	<i>Field of Practice</i>	Students select a field of practice based on their substantive interests and career goals. Decisions about the field of practice should relate to social or behavioral science courses and dissertation planning.

IN	<i>Incomplete</i>	Work Incomplete. Not to be used for absence from examination.
IRB	<i>Institutional Review Board</i>	The University organization that reviews all human subject research conducted by faculty, staff, and students, regardless of the location of the research activity, source of funding, or whether the research is exempt under the Code of Federal Regulations for Protection of Human Subjects.
PID	<i>Personal Identification Number (also known as CUID)</i>	A nine-digit identification number preceded by the letter "C" (e.g., C00000000), used to identify a student in the University system in lieu of the Social Security Number (SSN). A student's PID may be located in his/her SSOL account. It is <i>not</i> the number to be found on his/her student identification card.
R Credit	<i>Registered for the course; no qualitative grade assigned</i>	A non-evaluative grade which confers credit for registration, without designating a letter grade. Taking a class for R credit is not the same taking a class for pass/fail or auditing.
RASCAL	<i>Research Compliance and Administration System</i>	A web-based application developed to simplify the University's research compliance and research administration processes. Designed to help researchers and administrators manage ongoing research projects and related compliance activities at Columbia. Provides the required Morningside IRB Human Subjects Training Course.
SPA	<i>Sponsored Projects Administration</i>	Formerly Research Administration, serves as a central resource to support the research community at Columbia University by providing guidance and stewardship for the researchers and administrators on all campuses.
SSN	<i>Social Security Number</i>	A nine-digit unique identifier for individuals in the United States. While some paperwork within the University may still require students to provide an SSN (e.g., loan applications), for security purposes internal administrative functions have increasingly switched to utilizing the PID (see above).
SSOL	<i>Student Services Online</i>	Web-based database allowing student access to account, course record, and additional information. Log in required.
UNI	<i>University Network ID</i>	The key to accessing computer services

		and electronic resources at Columbia, including one's email, CourseWorks, and SSOL accounts. Usually consists of the individual's initials followed by a 1-4 digit number.
--	--	--

Where should I go to ...

