

2020-2021 PhD Program Guidelines: Epidemiology

Department of Epidemiology

UPDATED August 2020

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Dear PhD Students and Faculty,

We are pleased to share with you the 2020-2021 PhD doctoral student guidelines. These guidelines incorporate all changes adopted in recent years. Please note we update these guidelines on a yearly basis prior to the start of the new academic year.

A quick overview of the information presented in this guide:

- **Section I** provides an introduction to the goals, structure, and administration of the PhD program in the Department of Epidemiology.
- **Section II** addresses the basics of admissions, registration and covering the costs of a doctoral degree.
- **Section III** provides a roadmap to help doctoral students optimize their educational experience through engagement with faculty and peers in the department.
- **Section IV** covers the program requirements. Its four subsections address the following:
 - overview of the program
 - pre-dissertation components, including courses, research, teaching, and qualifying exams
 - the dissertation process
 - administrative details including waivers, exemptions, and the honor code
- **Section V** describes faculty mentoring of student, procedures to monitor students' progress through the doctoral program, and resources for issues students may encounter during their time in the program.

It is our sincere hope that these guidelines will enable our students to have an optimal educational experience in the Department of Epidemiology. We welcome and encourage any suggestions for their improvement.

Our very best wishes,

The PhD Doctoral Committee

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Section I- Introduction

The goal of doctoral training

The overarching goal of the Columbia University PhD program in epidemiology is to train students for careers as leaders in research and training in academic, not-for-profit, clinical, governmental and private sector settings. Our graduates have achieved prominence as faculty in academic institutions, in national and local public health institutions, as clinical epidemiologists, researchers in national and international NGOs, and in industry.

The PhD or the DrPH

The Department of Epidemiology offers doctoral training through two different degrees, the Doctor of Philosophy (PhD) and the Doctor of Public Health (DrPH). Either degree can be a route to a career in academic public health, clinical epidemiology or public health leadership but the PhD is oriented towards preparing students specifically for academic research careers in epidemiology, while the DrPH provides experienced professionals in public health or a clinical field with the skills and competencies to excel as effective leaders grounded in evidence based, epidemiologic research. The PhD offers a rigorous methods sequence of advanced courses designed to prepare doctoral students for a career in which they develop, implement, and disseminate research in their fields. This document includes guidelines for the PhD program; guidelines for the DrPH are described in a separate document.

Competencies for the PhD

By the time students receive their PhD degree, they will be able to:

- identify and address critical public health issues that merit epidemiologic investigation
- design, implement, and publish independent, scholarly research that advances knowledge about the causes, prevention, outcome and alleviation of human disease
- train graduate students or health professionals in academic and other settings
- work collaboratively with health professionals in other disciplines on research and applied projects that include epidemiologic elements

Administration

The PhD program is led by the Epidemiology PhD Doctoral Steering Committee under the auspices of Columbia's Graduate School of Arts and Sciences (GSAS) and administered by the Mailman School of Public Health. GSAS rules are followed for tuition payment, residence requirements, and preparation and defense of the dissertation.

Departmental structures administering the doctoral programs

The PhD Doctoral Steering Committee is responsible for all aspects of the PhD program and, in cooperation with the Department Chair, the Vice Chair for Education, and the Director of PhD Doctoral Programs (called the Director of Graduate Studies in the GSAS), sets policy, reviews student progress, and evaluates program success. The PhD Doctoral Steering Committee acts on behalf of, and with agreement of, the faculty. It consults with students regarding policy issues. In collaboration with the departmental Curriculum Committee, it reviews and agrees on required coursework. Courses themselves are reviewed and evaluated by both the departmental Curriculum Committee and the MSPH Curriculum Committee.

Though the overall policy is determined by the PhD Doctoral Steering Committee, there are three subcommittees of the Doctoral Steering Committee relevant to the PhD program: the Admissions Committee, the Methods Examination Committee, and the Foundation Essay Committee. These three have explicit functions. The Admissions Committee reviews applications and offers admission to the PhD program. The Methods Examination Committee sets the exam protocol and plans and grades the Methods Examination annually. The Foundation Essay Committee sets the exam protocol and plans and oversees the grading of the Foundation Essay.

The PhD Doctoral Steering Committee itself is composed of the Director of PhD Doctoral Program, Deputy Director of the PhD Doctoral Program, the Chairs of the three subcommittees, the Vice Chair for Education, the Chair of the Curriculum Committee, a representative from a funded training program and two at-large committee members as well as two student representatives. The committee and subcommittees receive administrative support from the Director for Academic Programs and the Project Manager for Academic Programs.

SECTION II- Admission, Registration, and Covering Costs

1. Admission to the PhD Program in Epidemiology

Timeline

Applications for admission to the PhD program are available online through SOPHAS (sophas.org) and follow the SOPHAS requirements and deadlines. Applications are reviewed in January and February and applicants are notified of the committee's decision by early March. Funding decisions are conveyed to recipients as early as February but others may be offered throughout the spring and summer as opportunities become available.

Prior degree requirements

All students must have received a master's degree as specified below before matriculating in the PhD program. Students enrolled in a master's program at the time of application must provide evidence of completion prior to entry. Individuals who have earned a doctoral degree in a program that does not confer a master's degree (e.g., MD, JD) are also eligible, although prior experience or training in epidemiology is expected as outlined in the section for [Sequence of Required and Recommended Courses in Section IV](#). An exceptional student with an unrelated master's degree may be admitted directly to the doctoral program contingent on initial successful completion of the prerequisites listed under the section for [Expectations for prior training, skills and knowledge in Section IV](#).

Recommended background

Successful applicants should demonstrate commitment to public health, a clear understanding of what epidemiology entails, and research interests and career goals appropriate to a career linked to epidemiology. In their Statement of Purpose, an essential component of their admissions submission, applicants should explain how their background experience qualifies them for admission to the program. The successful applicant will have a strong academic record, particularly in epidemiology and biostatistics, relevant work or trainee experience. This must be supported by persuasive recommendations from their academic or work supervisors and mentors, documenting their capacity to undertake the challenging courses and research engagement required for independent thinking and leadership in research. Coursework in mathematics (e.g., algebra, calculus) and/or statistics and prior courses in epidemiology is required. A strong background in the natural and/or social sciences is highly recommended. The admissions committee carefully reviews the statement of purpose and the required writing sample to determine whether the candidate has the ability to write clearly and persuasively.

2. PhD registration and tuition

The PhD requires continuous registration and the completion of six Residence Units (RUs) prior to undertaking the qualifying exams. Tuition is calculated on a flat-fee basis, and not by individual course. Students entering with a master's or other terminal degree (e.g. MD) are eligible for "advanced standing" which reduces the number of RUs required to four. Advanced standing is determined after they have completed one semester of coursework in the PhD program. Students may register for a full or a half RU. The four RUs may be accumulated as four full RUs, eight half RUs, or a combination of both. Students registered for a full RU are considered full-time. While the RU is not itself a course, it is assigned a course ID number for registration purposes. PhD Students registered for a full RU can take as many courses as they want; students registered for a half RU may enroll in three courses per semester. Matriculation & Facilities (M&F) registration entitles the student to use university facilities but not to take courses.

After completion of all required courses (described in [Section IV, 2Bi](#)), teaching experience (described in [Section IV, 2Biii](#)), students maintain continuous registration through Matriculation and Facilities (M&F), according to the following guidelines:

- Students who are defending a dissertation must register for M&F unless they have already distributed the dissertation.
- Students may register for part-time M&F if they live more than 200 miles from the University, if they do not need to be full-time certified by the Department and if they do not require Student Health Service or Health Insurance.

After successfully passing the Methods Exam and the Foundation Essay, students are awarded the MPhil degree.

3. Covering the costs of a doctoral degree

If accepted to the PhD program, your [tuition, health insurance and a benefits](#) package is covered by the Department. This support is guaranteed for five years, as long as you remain in good academic standing with timely and satisfactory progress towards completion of your doctoral program requirements. It is expected that you will successfully complete your program of study and defend your dissertation within five years.

As of the academic year 2020-21, our offer also includes an annual stipend that is our standard for all doctoral candidates in the Department of Epidemiology. The annual stipend (\$10,000) is guaranteed for three years. As part of the research practicum rotations, and prior to year 3, predoctoral scholars are strongly encouraged to work with their faculty mentors to apply for extramural fellowships and identify additional funding sources; availability varies from year to year. These include:

- [Training program fellowships \(departmental or institutional\)](#), funded through the National Institutes of Health, are available in a number of research areas. Application procedures and deadlines for NIH training program fellowships vary by program; please check the MSPH

Section II- Admission, Registration, and Covering Costs

website or ask training program directors/ coordinators for details. Fellowships usually require an *additional program specific* application and an interview.

- Other scholarships and fellowships arising both inside and outside the University. Several other training programs in the University are open to doctoral students in Epidemiology. These programs provide focused, structured training in a substantive area while providing predoctoral fellowships with tuition support and stipends.
- Research-based employment—Graduate Research Assistantships (GRAs) that are both funded by the department as well as funded by NIH grants and [diversity supplements](#) that are funded by NIH grants.
- Serving as a teaching assistant
- NIH individual dissertation grant awards ([F31](#) and [R36](#))

For the duration of your program of study, the department will work closely with doctoral students to identify and secure opportunities to supplement their base stipend through teaching and research assistantships and extramural fellowships. Doctoral students are strongly encouraged to be proactive and pursue funding alternatives inside and outside the university. With this supplementation, student support is anticipated to be \$35,000, plus full tuition, student fees, and benefits, annually.

A student must be up to date with any financial responsibilities to the University prior to course registration each year and before registering to take the qualifying exams. All financial requirements must be discharged before the PhD is conferred.

Section III- Advising and Departmental Engagement

Engagement between department faculty and students is at the heart of the doctoral program in Epidemiology at Columbia. There are many ways in which a candidate can engage, some optional and some built into the structure of the program. These include working with an academic advisor and/or other faculty, later, a dissertation sponsor and dissertation committee, membership in a department research unit, journal club, joining a research team, and forming or joining student work groups or interest groups.

1. Advising

Upon admission to a doctoral program in Epidemiology, each student is assigned an academic advisor. During the student's first years in the program, the academic advisor provides information and recommendations regarding coursework, qualifying examinations, and other academic issues. Although the academic advisor initially assigned often serves through the qualifying examinations and sometimes through to the dissertation defense, students may request a change once they become familiar with the faculty and their interests become more focused. The academic advisor may or may not later serve as the dissertation sponsor. When a student chooses a sponsor for the dissertation, that person may become the student's academic advisor as well. However, students should feel free to keep an academic advisor in addition to a sponsor. The academic advisor and later the dissertation sponsor discuss ongoing progress with the student and complete the required Annual Progress Report Form with the student. Please see [here](#) to find more information on sponsor for the dissertation and [here](#) for more information on mentoring.

Students are also encouraged to talk with the Director for Academic Programs and the Director of PhD Doctoral Programs about courses, exams, upcoming activities, administrative procedures, etc. Other students are a good source of advice as well.

During the course of their graduate work in the Department of Epidemiology, some students may encounter problems requiring additional help. Please also see the section on "Available resources and getting help" for a list of resources that may prove useful for a range of issues.

2. Unit membership

The Department of Epidemiology is comprised of units, reflecting areas of research and training strength. A list of faculty members, along with their areas of interest, publications, and brief biographies can be found on our [faculty directory](#).

Many areas are organized into Units which offer seminars and other academic resources. Some are linked to funded training programs. [Departmental Units](#) include chronic disease epidemiology, infectious disease epidemiology, violence and injury epidemiology, psychiatric epidemiology, neuroepidemiology, environmental epidemiology, substance use epidemiology, and social and spatial epidemiology. Doctoral students are required to participate in a department unit although they may choose to join several units. Unit seminars are open to all students regardless of unit membership.

The unit provides an intellectual and administrative home for students and faculty and meets regularly, often through offering seminars. Some also sponsor workshops, discussions of work in progress and symposia. Usually, though not always, the student's academic advisor is a member of the same unit. These units may or may not have attached training programs that fund students.

Students are also encouraged to join the research group of a member of the faculty working in an area of the student's interest and to participate in implementing that group's research studies. Faculty members generally welcome student participation in their work. We expect students to gain a grounding in areas beyond that of their unit through coursework, research engagement, and seminar attendance.

3. Peer engagement and mentorship

Doctoral students are involved in formal and informal doctoral student organizations and often form interest groups within units or on topics of interest in addition to more or less formal writing groups and study groups. The doctoral student representatives assigns each incoming PhD student a "buddy" who is already a PhD student who provides peer mentorship and the "ins" and "outs" of being a PhD student at Columbia. Peer-to-peer interaction is one of the most effective approaches to learning in a doctoral program.

4. Staying in the loop and voicing your opinion

Getting a PhD involves more than coursework, exams, and a dissertation. Our doctoral students are a vital part of the overall intellectual community of the department. This entails building a network of friends and colleagues and becoming part of—and helping create—the community within the Epidemiology Department. We expect students to spend time in departmental "spaces," attend seminars, form study groups, work with faculty, collaborate with other students, etc. We also encourage students to get involved in departmental activities by participating in the doctoral and masters student groups, serving on departmental committees, and the like. Many of the improvements made in our program (e.g., new courses, exam formats, events) stem from students' suggestions and willingness to participate. Important mechanisms for communicating ideas or concerns include student organizations, formal student representation on the doctoral and curriculum committees, meetings with the Director of PhD Doctoral Programs and Director for Academic Programs and meetings with the Vice Chair for Education and Chair of the Department.

Representation on Departmental Committees

Many procedures and requirements affecting doctoral students are formulated and implemented by the departmental or Schoolwide committees and sub-committees. In addition to the Doctoral Steering Committee, these include the Curriculum Committee and the Schoolwide Doctoral Policy and Planning Committee. Students who volunteer or who have been selected by their peers may serve on these bodies, provide input, represent student interests, and communicate with the PhD Doctoral Steering Committee and their fellow students. There are also opportunities for student input at the school and university level.

In summary, maintaining a strong program and creating an environment that serves both students and faculty requires everyone's input. Students are encouraged to voice their opinions and to get involved.

Section IV- Program Requirements

1. Overview

The following section provides details of the required coursework, the qualifying examinations, the dissertation process, and waivers, exemptions, grandfathering and the honor code.

It is the expectation of the department that most full time students will complete the doctoral program, including the dissertation, within five years. Students with full time jobs may take longer. Full-time students who enter with a master's degree in epidemiology typically spend two years taking courses and any other requirements of the program outside of the qualifying exams and the dissertation. Students may only defend their dissertation proposal after passing the two qualifying exams and obtaining permission from the Director of the Doctoral program. In general, students will then spend an additional 6–12 months completing and defending a dissertation proposal, followed by 1–2 years completing and writing the dissertation.

2. Pre-dissertation components

A. *Expectations for prior training, skills and knowledge at matriculation*

Students entering with a master's degree in epidemiology typically spend two years completing the required methods coursework which is designed to be integrated and sequential. Before undertaking the advanced methods courses required for the doctoral program, students should have mastered the following:

- introductory epidemiology
- observational epidemiology
- intermediate epidemiological analysis
- introductory biostatistical methods
- categorical analysis
- applied regression analysis.

Incoming doctoral students with little prior coursework in epidemiology or biostatistics should plan to take these courses before matriculation or in their first year. Students attending another institution for their masters may review the relevant syllabi for courses at MSPH to determine whether they have mastered the required material. These syllabi may be obtained from the Director for Academic Programs.

Matriculating students missing more than one of the prerequisite courses will need three years to complete coursework. Epidemiology III, P8400, is offered in the summer and the fall and can be taken before matriculation if that is the only missing prerequisite.

In advance of beginning in the PhD program, any student who has not completed an MPH will be required to take the online course required by the Mailman School: PUBH P6025 Introduction to Public Health.

B. PhD Course requirements and recommendations

Required courses are designed to provide students with a solid foundation in epidemiologic methodology and to develop professional skills, and it is builds upon introductory coursework in epidemiology and biostatistics. Required courses may not be taken pass/fail.

Students are encouraged to take elective courses to build detailed expertise in substantive and methodologic areas of interest and to gain additional skills. Not all courses are offered every year (especially electives); many courses have prerequisites; some have limited enrollment; and some require the permission of the instructor. It is the student’s responsibility to ascertain and meet any prerequisites or permission requirements, and to plan their schedule far enough in advance to ensure that courses are taken in the proper order.

i. Sequence of Required and Recommended Courses

YEAR, SEMESTER	PHD COURSE REQUIREMENTS, EXAMINATIONS, AND DISSERTATION TIMELINE^{a,b,c}
YEAR 1, SUMMER^d (Pre-matriculation)	Introduction to Public Health^d
YEAR 1, FALL	Doctoral Seminar Epidemiology III: Applied Epidemiologic Analysis^e History of Epidemiology Biology and Physiology for Epidemiologists Mentored research
YEAR 1, SPRING	Epidemiology IV: Critical Thinking in Epidemiology Applied Regression II Publications, Presentations, and Grants Substantive courses / Biostatistics elective Mentored research
YEAR 2, FALL	Study Design Epidemiology V: Concepts in Causal Inference Substantive course / Biostatistics elective Mentored research
YEAR 2, SPRING	Applications of Epidemiology Research Methods II Epidemiology VI: Advanced Techniques in Epi Methods Mentored research
YEAR 3, SUMMER	Methods Exam^f
YEAR 3, FALL	Foundation Essay^f
YEAR 3, SPRING	Dissertation Proposal

YEARS 4 & 5	Dissertation
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^a The above sequence of courses and requirements are provided for a “full-time” student. There is sometimes confusion because for PhD student’s status can be defined in two different ways: one based on payment mechanism and the other based on course load and prior experience of Epidemiology and Biostatistics. These have different implications for length of time in the program. It is difficult to be a “full-time” student in terms of course load if you are working a full-time job off campus. If students only take 1–2 courses per semester, they will need to spend 3 years on coursework (instead of 2).

^b Those students who begin the program taking masters level Epidemiology and Biostatistics courses may also have to add an extra year of coursework and will not follow the timeline in the table above.

^c Students may not take required courses pass/fail, with the exception of the Doctoral Seminar.

^d In advance of beginning in the PhD program, any student who has not completed an MPH will be required to take the online course required by the Mailman School: PUBH P6025 (Introduction to Public Health).

^e Any student who has not completed an MPH or MS at the Mailman School are highly recommended to register or audit the Epidemiology III course.

^f Only students in good-standing may sit for the methods examination and foundation essay.

ii. Additional coursework and electives

Students should work with their academic advisors to determine the additional coursework required to meet the specific competencies of the program and to meet their individual career goals. Additional statistical and methods courses should be taken as needed. It is also expected that students gain substantive public health and epidemiologic knowledge outside their area of concentration through attendance at seminars and courses, and participation in mentored research.

iii. Additional Requirements

Seminars

Doctoral students are expected to attend their unit and departmental seminars (i.e., Columbia University Epidemiology Grand Rounds (CUEGRs). They should also attend as many of the dissertation proposal and final dissertation presentations of their peers as possible.

Teaching experience

All students are required to fulfill at least a one-semester teaching requirement by serving as a teaching assistant before they undertake the qualifying exams. The goal of this activity is to provide experience in graduate level teaching and in mentoring students, to reinforce knowledge and skills in epidemiologic principles, to offer exposure to a broader array of substantive courses in the department. After completing the non-paid teaching requirement, any future teaching assistantship receive compensation as per departmental and MSPH policy. The [Center for Teaching and Learning](#) provides training sessions in teaching for faculty and doctoral students. Students are strongly urged but not required to take advantage of these in developing their competencies in teaching and training.

Teaching assistants are expected to conform to a high standard of professionalism both in their interactions with students and in working closely with the professor. Please consult with the Director for Academic Programs when you are interested in a teaching assistant position. Eligibility is determined by Human Resources and final decision on choosing a teaching assistant sits with the instructor of the class.

Pre-dissertation research experience

It is expected that all doctoral students will be actively engaged in epidemiologic research throughout the doctoral program. This can be arranged in consultation with their academic advisor.

Course on the responsible conduct of research/research ethics

Students are required to take one of the following courses addressing the responsible conduct of research: P9630 or G4010 before undertaking the qualifying exams.

Training program fellows

Students who are funded by training programs or fellowships may have additional program or fellowship-specific course requirements and should plan their schedules accordingly.

iv. Criteria to remain in good academic standing

To remain in good standing, students must (1) receive grades of B or higher in all *required* courses and (2) achieve an overall grade point average (GPA) of B+ (3.3) or higher in *required* courses. Students whose grades do not qualify for good standing will be reviewed by the Doctoral Committee with input from the course director, the student, and their academic advisor. Based on this review, the Committee will determine whether the student should:

- 1) Continue in the program in good-standing without further conditions; or
- 2) Continue on a probationary basis until specified conditions (e.g., additional remedial coursework, tutoring) are met (at which point the student returns to good-standing); or
- 3) Be dismissed from the program. Dismissal from the program requires review by the Department Chair and review by the MSPH Office of Student Affairs.

Only students in good-standing may sit for the qualifying examinations.

B. The qualifying examinations

i. Overview

There are two qualifying examinations, one focusing on epidemiologic methods (the Methods Examination) and the other requiring synthesis and application of epidemiologic principles (and other relevant research) addressing a substantive and unresolved question in an area of interest to the student, most likely related to plans for the dissertation (the Foundation Essay). The time interval required for preparation, administration, and grading of the methods exam should be no more than four months. Students are expected to submit the Foundation Essay within six months of passing the Methods Exam.

These examinations are designed to test students' understanding of, and ability to apply, epidemiologic concepts and reasoning to substantive areas and methodologic problems. Because of the different purposes and structures of the two exams, there are separate protocols for each which are updated annually and briefly summarized below. Students will not be examined on competencies/concepts not included in the formal doctoral training unless they are so notified. Changes to exam protocols will be transparent, with clear communication between students and faculty.

Students undertake the examinations only after successfully completing all course work requirements and the teaching requirement. The Foundation Essay can only be undertaken after successful completion of the Methods Examination. The examination protocols provide more detail.

The first qualifying examination, the Methods Examination, is generally taken during July of the academic year after completing coursework. Any student planning to take an examination should let the Director for Academic Programs know of their intention at least two months in advance of the examination. Students usually form informal study groups to prepare for the exam in early part of the year (e.g., March) of their exam. Copies of previous Methods exams are available from the Director for Academic Programs.

Students with documented learning disabilities should work with the Office of Disability Services (ODS) to receive an accommodation agreed upon with that office; ODS and the student should notify the Methods Exam Committee Chair and the Director for Academic Programs if an accommodation is granted. Due to the approximate 3 week time frame to be evaluated, all requests to ODS should be done early. Those for whom English is a second language may petition the Chair of the Exam Committee for extra time.

ii. The Methods Examination

Purpose

The purpose of the examination is two-fold. First, it is intended to provide doctoral students with the opportunity to integrate and synthesize epidemiologic methods from courses and most importantly from the larger research literature. The literature on epidemiologic methods changes and develops and the purpose of this exam is to understand the standard and advanced methods and how these methods improve on overall inference. The exam is intended to indicate to the department that the student understands epidemiologic methods sufficiently to proceed to the next stage in the doctoral program.

The methods exam is designed to cover the central issues in epidemiologic methods. These include:

- Epistemological questions about causation
- Causal inference
- Relationships among theory, hypotheses, and empirical testing
- Study design (including sampling and measurement strategies)
- Basic and advanced data analysis
- Confounding, bias, measurement error, mediation, and effect modification
- Interpretation of study results

Methods Examination Committee

This Committee is a subcommittee of the PhD Doctoral Steering Committee and its Chair sits on the Doctoral Steering Committee.

The Methods Examination Committee is responsible for the exam protocol and evaluates whether the exam is functioning as expected and evaluates the outcomes. The exam questions are written by faculty members on the Methods Exam Committee members. A copy of the full protocol is available from the Committee chair.

Students preparing to take the Methods Examination meet as a group with the Chair of the Committee in the fall of their second year of coursework to discuss the process, review the reading list, and answer questions. There is a reading list, updated each year and distributed to the students. The exam, generally given in July, consists of four pairs of questions. Students must answer one question from each pair. The exam is take home, written under the honor code, closed book, and lasts approximately 8 hours on a single day. Graders are blinded to the identities of the students.

Passing and Failing the Methods Examination

Students will receive a letter grade for each exam question. Students who receive a grade of B or better on all questions have passed the methods examination. Grades will be completed and returned to students within 45 days of receipt of the exam.

Rewrites/Failing: Students who receive a B- or lower on a single question must rewrite the question they have failed and answer the other question in that section. Rewritten questions receive a grade of excellent essay, passing essay or failing essay. If the student receives a grade of “failing essay” during the rewrite period, the student must complete a remediation task designated by the Methods Exam Committee. Remediation tasks receive a grade of excellent task, passing task or failing task. If the student fails this task, the student fails the methods exam. Students can (and are encouraged) to meet with the Methods Exam chair and the members who wrote that section for feedback to help them prepare the rewrites or remediation tasks.

Failure to submit an answer to one question: Students who fail to submit an answer to one question will not have passed the exam and will not be allowed to complete a rewrite for that question within that year. Such students will have to take the omitted question the following year.

Failing examinations: Students who receive a grade of B- or lower on two or more questions have failed the exam and must retake it the next year. Students may only take the exam twice. If a student fails the Methods Exam the first time, the Doctoral Committee will review their progress in consultation with both the student, their academic advisor and the Chair of the Methods Exam Committee prior to the student’s second attempt in the following year. They will discuss whether they perceive a need for any specific remediation prior to retaking the exam. If the student fails a second time, the Doctoral Steering Committee will recommend to the Chair and the Mailman School Academic Standards Committee that the candidate be terminated from the program, in line with department, Mailman, and university policies, subject to provisos outlined in Section IV.B-iii.

iii. The Foundation Essay

Overview

As a second qualifying exam, students will write a background essay that for many may lay the foundation for their dissertation proposal. This essay should be submitted by the third bi-monthly deadline after successfully passing the methods exam (deadlines are specified in the detailed protocol; for most students this is typically six months after passing the Methods Exam).

The Foundation Essay may only be submitted after a student has successfully passed the Methods Examination. A passing grade on this essay is required to move forward to the dissertation stage.

The Foundation Essay Committee oversees the Foundation Essay by setting the protocol and timeline, providing a rubric to guide the grading process, and administering the grading itself. A copy of the full protocol can be obtained from the Chair of the Foundation Essay Committee.

Requirements

Under the supervision of the student's dissertation sponsor or other faculty mentor chosen by the student, the student should write an essay of no more than single-spaced 12 pages that includes the following:

- A statement of the research question(s)
- An analytic synthesis of relevant literature
- Identification of barriers to resolution
- Articulation of and justification for at least two specific aims

Topic

The research question to be approached often evolves into the student's dissertation although this is not a requirement. Students may also address a broader topic looking to discover key research gaps and later settle on a research question for the dissertation.

Evaluation

Two graders initially blinded to the student's identity and who are members of the Foundation Essay Committee will determine whether the Essay provides sufficient evidence of the candidate's ability to write a defensible dissertation. Grading will be based on a detailed rubric to be distributed to students, covering the following domains:

- Writing a logical, coherent argument supporting the selected research question
- Providing a synthesis of the literature to support this argument
- Identifying unresolved questions or barriers to resolution of the research question
- Articulating specific aims supported by this argument
- Quality of writing

Two graders, blinded to the student's identity, will decide if the essay provides sufficient evidence of the candidate's ability to write a defensible dissertation. They will submit their recommendation to the Foundation Essay Committee, who will confer a grade of pass, conditional pass, or fail, typically within four weeks of submission. If the Foundation Essay

Committee considers the essay acceptable, the candidate may move on to complete and defend a dissertation proposal. In the case of a conditional pass indicative of minor but correctable weaknesses, the candidate will have an opportunity to meet with the graders to discuss perceived deficiencies, and to submit a revision. If the revision is not acceptable, then the candidate will have a second and final opportunity to submit a foundation essay at one of the agreed submission dates. If the second submission is not acceptable, the Doctoral Steering Committee will recommend to the Chair and the Mailman School Academic Standards Committee that the candidate be terminated from the program in line with department, Mailman and University policies, subject to provisos outlined in Section IV.B-iii.

iv. Examination results, appeals, and good academic standing

Getting examination results

The Chairs of the two examination committees will inform students in writing of their examination results and enclose a copy of the comments of the graders. They will also inform the Director of PhD Doctoral Programs in writing of the grades (for the Methods Exam, it will include the grade for each question as well as the overall grade for each student). A copy of the examination questions and answers will be retained in the student's file, though exam grades will not appear on a student's transcript.

Appealing an examination grade on either the Methods Examination or the Foundation Essay

Students who wish to question the grade for the examination should first speak with the Chair of the appropriate examination committee and request that the examination (or the relevant exam question or essay section) be reviewed by the graders, following the procedures set down by that exam committee. The graders may adjust the grade following this informal review. If the student is not satisfied that the exam has been appropriately graded, he or she may appeal formally within 30 days from receipt of the grade to the relevant exam committee explaining the grounds for the appeal.

The relevant exam committee sets the format and timeframe for the appeal. Should that appeal fail and the student wishes to further challenge the grade, they may direct the appeal to the Chair of the Doctoral Steering Committee (GSAS uses the term Director of Graduate Studies) within one month of the rejection by the exam committee. The Chair of the Doctoral Steering Committee will then forward the appeal, the exam protocol and question as well as the original exam to an ad hoc subcommittee of the Doctoral Committee Faculty who will make a final determination regarding the grade in question. If the appeal is turned down and the student believes that the decision is not just or possibly biased, the student may appeal (within two weeks of receiving the appeal rejection) to the Chair of the Department. If that is rejected,

the student may appeal to the MSPH Vice-Dean for Education who will decide whether there are grounds to the appeal. There is no further appeal.

Examination grades needed to remain in good standing

In order to continue in the program and undertake the dissertation, students must pass both exams. Students who do not meet this standard will be reviewed by the Doctoral Steering Committee, with input from the student and their academic advisor. Based on this review, the Doctoral Steering Committee will assess whether there are extenuating circumstances that justify continuation in the program or whether to recommend that the student should leave the program and not go forward to the Dissertation stage. In the former case, the committee may require that the student complete additional coursework, tutoring, written work, and evaluation to the standard of the exams before proceeding to the dissertation. If a student passes both exams successfully but does not complete and successfully defend a dissertation by the University time limits, the PhD student will leave the program with an MPhil. In the event that the Doctoral Steering Committee recommends that a student is asked to leave the doctoral program at any stage, before or after the receipt of the MPhil, the student's performance will be reviewed by the Department Chair and the Dean of Students. This is in accordance with MSPH and GSAS guidelines.

3. The dissertation process

A. Overview

There are several steps to getting a dissertation off the ground and completed listed here and explained in detail in later sections. These steps include:

- Finding a dissertation topic and question
- Finding a sponsor and negotiating a project
- Forming a PhD dissertation committee
- Writing and revising the dissertation proposal
- Defending the dissertation proposal
- Obtaining IRB review and approval of the dissertation research
- Writing and revising the dissertation
- Meeting additional requirements for papers submitted as part of the PhD dissertation
- Preparing for the dissertation defense
- Conducting the defense
- Depositing the dissertation
- Participating in commencement ceremonies

Some important points to note:

- Many of the rules about setting up a dissertation committee, defending a proposal, formatting the dissertation, and defending the final product are set by GSAS for PhD candidates. The GSAS rules for the PhD are available online [here](#).
- It is essential that both the student and sponsor read and follow GSAS guidelines.
- If you have questions, ask the Chair of the PhD Doctoral Committee and/or Director for Academic Programs; it is easier to fix a problem at the outset than at the end of the process.

B. Finding a dissertation topic and question

Students are encouraged to begin thinking about potential dissertation projects while completing their coursework and preparing for qualifying exams. The Foundation Essay qualifying exam is designed to facilitate and help the student explore a likely topic. While there is no single or “best” way to choose a dissertation topic (and many students consider multiple possibilities before making a final selection), there are strategies that help. Those include:

- Reading journals, attending seminars and conferences, and talking with faculty and students may generate ideas.
- Identifying available data sets (e.g., from projects of faculty members or public use data) may help narrow the field of interesting questions to those that are “doable”.
- Looking over proposals and dissertations filed with the department may clarify what and how much is expected in dissertation research.
- “How-to-write- a-thesis” books and seminars in grant writing may also be of assistance.
- Thinking about what type of career, you aspire to may also influence choices.
- And, perhaps most important, talk with your academic advisor and other faculty about next steps!

C. Finding a sponsor and negotiating a project

Once a student has identified a potential topic or question of interest, it is time to find a sponsor, i.e., someone who conducts research in the chosen area, meets [GSAS list of Approved Dissertation Sponsors](#) in Epidemiology, and is willing to provide guidance and support on an ongoing basis. The sponsor need not be the person who “owns” or provides the data, although that person may be a member of the dissertation committee. Students work closely with their sponsor to develop a dissertation proposal and conduct their dissertation research.

Two strategies used by many students to identify potential sponsors are joining a research group while taking courses and/or serving as a teaching assistant for faculty members whose

research appears interesting. These strategies help students find faculty networks that may lead to a dissertation. Students who are having difficulty locating potential sponsors are encouraged to talk with their academic advisor to secure their academic advisor's assistance in contacting faculty whom they may not know personally. Adding the line "I am contacting you at the suggestion of Dr. XYZ" increases the likelihood of a quick response from faculty. In addition, students may schedule an appointment with members of the Doctoral Committee or any member of the faculty to brainstorm ideas about possible projects and sponsors. Further guidance can be found in the doctoral program policy on mentoring available in **Appendix 3**.

Once a potential sponsor is identified, the student and sponsor work together to define a dissertation project, identify appropriate data, discuss possible committee members, and construct a timeline for completing proposal and research steps. This is essentially a negotiation from which either party can withdraw if a mutually agreeable project is not found. Note, whereas some potential sponsors suggest an area for a dissertation to a student, which the student then develops into a research question with specific aims, other potential sponsors expect students to take the lead in choosing an area and defining a research question, and see their role as providing suggestions and advice along the way. Whichever of these approaches is followed, the student must conceive of and execute the specific aims, the hypotheses and the approach.

D. Forming a PhD dissertation committee

The responsibility for selecting and recommending the defense committee members rests with the Sponsor, Department or Program Chair, and the Director of Graduate Studies (DGS).

Students may not select their own defense committees. Furthermore, students should not be placed in the position of having to ask particular faculty members to serve on their defense committees. It is the responsibility of the sponsor—*not the student*—to identify potential committee members and to obtain their agreement; however, it is expected that the student will have input into their selection and be introduced to faculty they may not know.

The doctoral committee is ultimately composed of exactly five members. The sponsor must choose the Committee Chair and the Second Reader, the two other members who must be in the Epidemiology Department; these members must be selected **before the Internal Proposal Defense**. Though optimally selected very early in the dissertation process, the Chair, and Second Reader, (both members of the Approved Dissertation Sponsors in Epidemiology) must be selected early enough in the process to read the dissertation proposal, participate in the internal proposal defense, and attend the public proposal defense. The Chair and Sponsor must attend in person but the Second Reader may be teleconferenced in. These three must approve and sign the dissertation proposal approval form before the student proceeds further with the dissertation.

After the proposal defense, the sponsor, with input from the student, selects the final two members. The GSAS delegate at MSPH reviews the committee membership at the time when the Application for Defense form is submitted.

At least three of the members of the final defense committee must be from the list of Approved Dissertation Sponsors, and at least one of the five must fit one of the following categories:

- A faculty member, clinician or practitioner who holds a position at another university or research institution
- A full-time faculty member at Columbia University outside the student's own department or program
- A research scientist at Columbia University outside the student's own department or program
- An adjunct professor at Columbia University outside the student's own department or program

OR

- A full-time faculty member whose appointment is at Barnard College, Jewish Theological Seminary or Union Theological Seminary

The final member may be drawn from the groups indicated above or 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 to clarify how the fifth examiner's primary field differs from the focus of the student's dissertation.

If a sponsor proposes for membership on the dissertation committee someone who

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

and who has not been previously approved by the University to serve on a defense committee the sponsor must submit a copy of the curriculum vitae of the committee member to the Director for Academic Programs for Epidemiology who will send a copy of the curriculum vitae of this committee member to GSAS for approval ([See here for further details](#)). Please see committee member roles below for further description.

Committee member roles

The **Sponsor** is a member of the Department of Epidemiology with prior experience on dissertation committees and works closely with the student from the start. Though the student must shape their own aims, hypotheses, and study design, the sponsor mentors the student as they refine the aims, hypotheses, and design throughout the process

It is suggested that the sponsor and the student jointly agree on a written learning contract as outlined in the department mentoring policy in Appendix 3. In addition to regular meetings regarding the development of the dissertation, the sponsor has the responsibility to review annual progress with the student annually as set out in the guidelines.

It is expected that the **Chair** and the **Second Reader** will be actively involved in the process, usually commenting on several drafts and providing comments on the aims, design, and analytic approaches. They will, at a minimum, read and critique at least one draft of the proposal, attend the internal proposal defense and, after the public defense, approve the final proposal. Later, they will carefully review and critique the chapters in the dissertation itself before the dissertation defense and with the Sponsor decide when the dissertation is ready to be formally distributed to the committee in preparation for the defense.

The **Chair** should be a senior member of the Epidemiology Department, a professor or associate professor with experience of dissertation committee membership. Their role is to guarantee that the dissertation process moves forward smoothly in accordance with the university and departmental guidelines. In the event conflicts arise between a student and sponsor or other committee member, the Chair may be able to mediate the disagreement and enable the process to move forward without recourse to the Director of the PhD Doctoral Committee or the Vice Chair for Education. The Dissertation Committee Chair chairs the internal proposal defense, the discussion at the public proposal defense and the discussion at the final closed dissertation defense. If sudden unexpected circumstances dictate that they cannot be present, arrangements must be made for someone else to run the public defense.

All three core committee members must agree that a dissertation proposal is ready to be defended before the sponsor schedules the proposal defense with the Director for Academic Programs. Later, these three must also agree that the final dissertation itself is ready to be defended.

The fourth and fifth committee members provide both needed expertise (statistical expertise or content expertise or skill with particular methods) and also provide independence. They may be involved from the early stages or just participate at the final defense.

E. Timing of choosing a sponsor and formation of the committee

Most students choose a sponsor after undertaking the Methods Exam, however, some choose a sponsor prior to the student's successful completion of the qualifying examinations. The

student may begin planning for the dissertation with the appropriate faculty support. However, a student may not defend a dissertation proposal before having successfully completed both qualifying examinations. Working with a sponsor on the preliminary stages of a dissertation before completion of the qualifying examinations may in no way be interpreted as permission to defend a proposal or to defend a dissertation.

Students who plan to collect their own data for their dissertation are strongly advised to begin working with a sponsor before attempting to decide on study design, instrument selection, or questionnaire development. The sponsor will decide in consultation with the candidate on the timing of committee formation.

F. Writing and revising the dissertation proposal

The dissertation proposal should follow NIH guidelines for research though the proposal can be up to 25 single-spaced pages long. The proposal should include the sections listed below. To ensure that the proposal does not become unduly long, page limits are suggested for each section. The first four sections should not exceed 25 pages in total.

- **Specific Aims:** State concisely and realistically what the research described in the application is intended to accomplish and/or what hypotheses are to be tested. (1-2 pages)
- **Significance:** Briefly sketch the background to the proposal, critically evaluate existing knowledge, and identify specific gaps that the project is intended to fill. State concisely the importance of the research described in the proposal by relating the specific aims to longer-term objectives. State the relevance to public health. (3-6 pages)
- **Preliminary Studies (optional):** This section may be used to describe preliminary research of the student that is pertinent to the proposal and/or other information that will help to establish the experience and competence of the student to pursue the proposed project. (1-3 pages)
- **Research Design and Methods:** Discuss in detail the research design and the procedures to be used to accomplish the specific aims of the project. Describe the protocols and data to be used and the tentative sequence or timetable for the project. Include the means by which the data will be analyzed and interpreted including a DAG (unless a DAG is not appropriate). Justify the proposed sample size with statistical power calculations. Describe the chosen methodology and its advantage over alternative methodologies. Discuss the potential difficulties and limitations of the proposed procedures and alternative approaches to achieve the specific aims. (12-20 pages)

- **Literature Cited:** Although no page limitation or number of references is specified, make every effort to be complete but judicious in compiling a relevant and current bibliography.

When submitting the final proposal to the core committee, the student must include a Turnitin summary report for the sponsor. This rule took place as of September 1, 2014.

G. Defending the dissertation proposal

The proposal defense consists of two sequential steps: [internal](#) and [external defense](#) of the **proposal**.

[Internal defense](#)

Students must defend their proposal to their three-member committee (the sponsor, chair, and the second reader), however, they can include the other two-committee members in the internal defense if the sponsor and student think their expertise is necessary.

As noted earlier, the three committee members must review the proposal and agree that it is ready to be defended. At the internal defense, the student meets in person with their sponsor, chair, and second reader. Absent members may be included via teleconferencing. The student typically provides a brief five minute introduction to the proposal, raising issues they wish to address and the committee questions the student on any aspect of the proposal. The internal defense usually lasts one and a half to two hours.

Sometimes, the discussion following the internal defense presentation raises important questions about the aims, study design, or analyses that need to be addressed before the proposal is presented for the public defense. In some cases, the committee may decide that the defense was premature and agree to repeat it, with no negative consequences for the student. If revisions are major, the proposal should be revised and reviewed by the sponsor or committee before scheduling the public proposal defense. If the requested revisions are minor, the student may proceed to the second stage of the proposal defense – the public defense.

[External defense](#)

Following successful defense of the proposal before the three-member committee, the student delivers an oral presentation of their proposal at a public seminar, which is primarily scheduled at 11:30-1 on Wednesdays.

The public external defense presentation must take place at a publicly announced open meeting. At least two of the three committee members approving the proposal, the Sponsor and the Chair, must attend the external defense. In addition, two members of the epidemiology faculty who are not on the committee are invited by the student's sponsor to serve as

discussants of the presentation having reviewed the proposal prior to the meeting. Students should send the proposal to the discussants at least four weeks prior to the scheduled external defense. **The role of the two discussants is to** comment on the oral presentation in terms of both content and methodology. At least one discussant should be expert in the methods and the other in the substantive content area. The external defense lasts one hour and a half, the candidate presents for about 45-50 minutes, leaving at least 30-40 minutes for discussion first by discussants, followed by students and then the rest of the audience. Committee members may not ask questions at the external defense nor do they answer the questions put to the student.

A new policy for proposal defenses that are scheduled to take place after December 31, 2019 is in effect. **After the external defense, the two discussants will submit comments to the student and committee within three days.** The comment will note if any recommendations for major changes to the proposal exist. Discussants have the option of commenting “no major changes recommended”. The discussants, as always, are free to share any other comments on the proposal informally with the students and committee. The committee will review these and decide on any changes the student needs to make to the proposal before moving on to complete the dissertation. The Sponsor will inform the discussants as to whether the committee have adopted the recommendations or not. The Sponsor, Chair, and Second reader will then sign the proposal defense form and return it to the Director for Academic Programs to be filed.

H. Obtaining IRB review and approval of the dissertation research

All researchers, including doctoral students and sponsors, must obtain IRB approval from Columbia University and other participating sites (if applicable) for research involving human subjects prior to recruiting participants, collecting data, or analyzing data. Columbia Policy on students as researchers is set out in <https://gsas.columbia.edu/sites/default/files/inline-files/StudentresearchPolicy.pdf>

Students must comply with all IRB regulations that may be related to their work. Students are advised to speak with their sponsors (and whoever “owns” or provides their thesis data, if different) early in the process of developing their proposal to ensure that IRB applications are filed and approvals are received in a timely fashion. The principal investigator of a previously approved study that has generated data that a student plans to analyze for their dissertation must obtain approval to add that student to the list of research personnel listed on that protocol. Students need to have completed the relevant CITI modules (also available on the IRB testing site). Those who are undertaking research with minors must complete a specific additional module. Students are also advised to check the IRB website for related materials and speak with IRB representatives if they have questions regarding procedures.

I. Writing and revising the dissertation

Students may choose between two formats for their dissertation: 1) “traditional” book-like format, and 2) or a “manuscript”-like format. Please see descriptions below. The student must select one format only. A “hybrid” dissertation combining two formats is not permissible. The student may later change the format selected, provided all members of the Dissertation Committee approve. The choice of format does not affect other requirements for fulfilling the doctoral degree. Since 2005, all candidates have chosen the “manuscript”-like format and the department is discussing eliminating the book format.

The **“traditional” book-like format** consists of a comprehensive, integrated set of chapters that provide a rationale for the thesis specific aims, review of the relevant literature, description of study methods, presentation of findings, and a conclusion. Examples of dissertations following this format are available online at ProQuest/UMI and Academic Commons (Columbia’s online research repository). The option for the book format may be dropped in the next year.

The **“manuscript”-like format** consists of a brief introductory chapter usually distilled from the proposal, a series of three publishable papers, the first of which is some type of systematic literature review addressing a central aim of the dissertation followed by two empiric papers, and an integrative concluding chapter. There may be an appendix that more fully describes the study methodology. The second format is designed to give students supervised experience in preparing the kind of succinct and focused manuscripts required by most scientific journals as well as to encourage the publication of doctoral dissertation research.

The department has established that the dissertation in manuscript-like format should consist of the following:

- **Chapter 1:** A brief introduction summarizing the rationale and overall aims
- **Chapter 2:** A comprehensive literature review addressing a question of importance to the specific aims of the dissertation. The literature review must be either a systematic or structured review, current, and otherwise suitable, if adapted to meet journal requirements, for standalone submission to a journal as a review article. Conforming to the standards of a systematic or structured review, the chapter must include the search criteria, data sources, quality standards, and plan for the extent of the search. It should address relevant theories, methods and arguments in the field, as well as the biological, environmental, psychological and socio-historical contexts of the disease or condition, and include any other material necessary to build a logical and persuasive justification for the focus of the dissertation. The systematic or structured review should be of

publishable quality. Though it is difficult to define publishable, the committee should adopt standards similar to those used in reviewing papers for epidemiological journals.

- *Chapters 3 and 4*: Two empiric papers of publishable quality consistent with the standards of a peer-reviewed journal in the field of epidemiology. Though it is difficult to define publishable, the committee should adopt standards similar to those used in reviewing papers for epidemiological journals.
- *Chapter 5*: A final chapter that integrates and discusses the findings of the papers. It should include discussion of the conclusions of the research and their relationship to the specific aims, and should make recommendations for further studies. It should note the contribution to science and to the health of the public.
- *Appendix*: An appendix outlining in detail the study methods and the rationale for decisions made. Tables too long and detailed for the text may be included in the appendix. If applicable, the appendix also includes papers submitted for publication (that are based on the dissertation aims and data).

J. Meeting additional requirements for papers submitted as part of the PhD dissertation

i. Supervision and enrollment

The dissertation work must be done under the supervision of a Columbia faculty member with an appointment in Epidemiology and must be submitted while the student is enrolled as a doctoral student in epidemiology.

ii. Specific aims and hypotheses

Students must develop the aims, hypotheses and analytic approaches used in their dissertations. This means that a student's dissertation work may not simply fulfill specific aims already fully developed by someone other than the student. The student's dissertation work may relate to a specific aim already developed in a grant but not constitute sole fulfillment of that aim. The student's work must reflect their original development of ideas, analytic strategies, and interpretation.

iii. Epidemiologic content

Dissertations submitted in fulfillment of doctoral degree requirements in epidemiology must demonstrate the candidate's competence in the use of epidemiologic methods and concepts. Most dissertations in the Department of Epidemiology involve tests of hypotheses about exposures and outcomes. A few focus on problems or innovations in epidemiologic methods, and a small but growing number are interdisciplinary or transdisciplinary in nature, but all should have relevance to epidemiologic approaches to the health and well-being of the public. Such dissertations are acceptable if they include a significant focus on epidemiologic hypothesis testing via epidemiologic methods. For example, of two empiric chapters, one might deal with

laboratory characterization of biomarker or an exposure, and the other with a case-control study testing the association of that exposure, based on the results of the laboratory work, with an outcome (usually but not always health-related). The thrust of the literature review and the final chapter would be on the epidemiologic issues.

iv. Authorship

The doctoral candidate must be the sole author of the papers (after termed dissertation papers) that comprise the dissertation submitted to the candidate's committee as the basis for the defense and, thereafter, to the university in partial fulfillment of the requirements for the PhD. The doctoral student must have had the primary role in the design and execution of the studies, in the analysis, in the interpretation of the data, and in the writing of the dissertation papers.

However, under the norms regarding authorship in epidemiology, members of the dissertation committee, as well as others, may ultimately meet the criteria for co-author-ship of papers submitted for publication (hereinafter termed papers for publication) that arise from the student's dissertation. Dissertation committee members may be and often are investigators on the project(s) from which the data that the candidate analyzes for the dissertation come. However, in agreeing to be dissertation committee members, they undertake to serve purely as mentors, challenging and guiding the doctoral candidate toward acceptable standards of logic, validity, and clarity, but allowing them to decide how to meet those standards. Within these constraints, the framing of the questions and the interpretation of the data should be left to the doctoral candidate. The candidate, committee members, and co-authors on later publications arising from the dissertation should be aware that the dissertation papers themselves are the candidate's work.

Any pressure from the dissertation data owner and/or sponsor to produce a publication within a given time frame should not be imposed on the student as he/she works to complete the dissertation papers. Before the candidate develops the dissertation proposal, it is helpful for the data owner and the candidate to prepare a data use agreement that spells out their expectations. That agreement should stipulate that, except in such cases as extreme delays in submitting for publication, the student will be first author of the papers for publication.

The dissertation papers may and should be revised for submission to journals. Papers arising from the dissertation when submitted for publication may have committee members and others as co-authors and may incorporate the co-authors' preferences regarding analytic approaches, graphic presentation, opinions, and interpretations. The papers for publication will reflect the criteria for authorship in the faculty obligation statement and those of the journals to which they are submitted.

It is preferable that papers based on the dissertation data not be submitted for publication prior to the defense. However, if a paper based on the dissertation data has been submitted for publication prior to the defense and has co-authors, it must be submitted as an appendix to the dissertation. The candidate must submit a manuscript that represents their sole work as the actual chapter of the dissertation (mentored of course by sponsor and committee) and a statement signed by the co-authors of the paper submitted for publication, affirming that the paper submitted as a chapter in the dissertation is the candidate's sole work.

K. Preparing for the dissertation defense

i. Planning

When the sponsor, chair, and second reader agree that the student is ready to distribute and defend the dissertation, a date for defense will be scheduled and the Director for Academic Programs will submit the Application for Dissertation Defense to GSAS. The department then sends the form to the Dissertation Office in 107 Low Library. The Dissertation Officer confirms that the student has accumulated the required number of Residence Units, possesses an MPhil, is correctly registered as a defending student, and has a dissertation committee that meets GSAS guidelines on committee composition; after confirming the above, the Dissertation Office provides the dissertation blue folder and the official dissertation form.

ii. Distributing dissertation copies to committee members

Dissertation sponsors typically read and provide feedback on multiple drafts of dissertation chapters/papers. The chair and second reader usually read "near-to-finished" drafts or may read multiple drafts of selected chapters. Students should talk with their sponsor about when to seek input from committee members. The degree of involvement of committee members varies substantially depending on the sponsor, the composition of the committee and the research topic. The fourth and fifth committee members often read chapter drafts as well.

Once all chapters and supporting documents have been completed and the sponsor, second reader, and the chair agree that the dissertation is ready to be defended, the student distributes the thesis to all five committee members. No less than four weeks should be allowed for committee members to read the full dissertation. Simultaneously, the Director for Academic Programs should be notified that the dissertation has been distributed so that a time, date, and place of defense may be arranged.

At this time, the student must also submit to the sponsor a report from Turnitin on the full dissertation.

iii. Scheduling the defense

Scheduling a dissertation defense entails several steps. First, the Office of the GSAS Dean must approve the dissertation committee. The candidate should talk with the Director for Academic Programs about the paperwork involved early on in the process (see above). The Department of Epidemiology schedules its own defenses and then provides the Dissertation Office with the time, date, and place. Given professors' busy schedules, four or more weeks will usually be needed to find a workable defense date and time. Once a date, time, and place are set, the Director for Academic Programs notifies the Dissertation Office, which then prints the Voting Sheet that the committee members will use at the defense. The student should not schedule the defense—either the sponsor, chair, or the Director for Academic Programs schedules the defense.

L. Conducting the defense

The final dissertation defense will be preceded by an open public seminar followed immediately (after a 15 minute break) by a closed defense, attended only by the five committee members.

The open public seminar, presided over by the candidate's sponsor, will include a talk of 45 minutes, leaving 15 minutes for discussion. Members of the dissertation committee may not ask questions at the public seminar. The student need not try to include all aspects of the dissertation, rather should craft and deliver an informative seminar designed for an audience who are not experts in their field. If appropriate, the student can focus on a single aim. The goal is to communicate well and share the approach and the findings with members of the department and others who attend. The talk should review the background, methods, and results and contextualize the contribution made by the dissertation to epidemiologic knowledge and, as appropriate, to public health.

The final closed defense is attended only by the student and the committee members and should not take longer than two hours. The chair of the committee runs the defense. First there is a short discussion by the committee without the student present to determine the general focus of the defense discussion. The student returns and the committee members ask questions about the research approach, findings and their implications. When the committee members have completed their questions, the student is asked to leave the room while the committee deliberates. Committee members discuss whether the dissertation merits the conferral of the degree, and decides what revisions are required. It is the responsibility of the sponsor to communicate with the student about required revisions. Depending on the level of revision needed, the sponsor and/or additional members of the committee will read the revised portions and determine whether the revisions are acceptable.

The committee may vote as follows:

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

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

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

Fail. The committee believes that the dissertation is not acceptable, and the candidate will not be recommended for the degree. No candidate may have a second defense unless the dean of GSAS approves.

M. Depositing the dissertation

Once the student has successfully defended the dissertation (i.e. passed with minor revisions), the only remaining academic requirement beyond these revisions is the final dissertation deposit. The dissertation deposit, not the defense, is the final requirement for the PhD. The availability of the dissertation to interested scholars is an integral part of the requirements for the doctoral degree. Note: it is the student's responsibility to see that the dissertation text, tables, etc. comply with the required GSAS format. If the candidate does not follow all the regulations concerning format, the Dissertation Office will ask the student to correct the dissertation before accepting the final deposit. The deposit-related material received at the defense includes a listing of the materials that are to be included in the final deposit, which are now deposited electronically. Depending on the committee decision as noted on the form, the dissertation must be deposited no later than one to six months from the date of committee recommendation for the award of the degree.

The digital version of the dissertation is uploaded to both ProQuest and Academic Commons. Degrees are awarded in October, February, and May of each year. The candidate is eligible to receive the degree on the next conferral date following completed deposit. Commencement for the three conferral dates of the academic year is held once each year in May. There are no conferral ceremonies held in October or February. Once the candidate has deposited their dissertation, the PhD can be awarded.

N. Participating in commencement ceremonies

A doctoral student may choose to participate in May Commencement Ceremonies if they have distributed their dissertation to their committee before the date named as the deadline to be included in the Commencement or Convocation Program. This policy represents an operational definition of a reasonable expectation of defending and depositing a dissertation before the University deadline for conferral of October degrees. This date is published on the University website under the [academic calendar on the gsas website](#).

4. Waivers, grandfathering, and the honor code

A. Obtaining waivers for required courses.

Student may request to waive required courses of the PhD program. We have provided specific guidelines for three such courses: 1) the Publications course, P9494, 2) the R course, P9489: Application of Epi Research Methods II, and 3) the Biology and Physiology/Pathophysiology for Epidemiologists, P9410.

Publications course, P9494: To apply for a waiver from the requirement for the Publications course, P9494, a student needs to demonstrate all of the following:

Section IV- Program Requirements

1. At least two epidemiology-focused articles first-authored by the student and published (or accepted) in a quality scientific journal
2. At least one first or presenting author conference poster or slides from an oral presentation at a scientific meeting
3. Oral presentation experience, which may include scientific and/or work-related presentations
4. Formal review of at least one manuscript submitted to an epidemiology-focused journals or planned mentored experience (see #5)
5. The student needs agreement from a departmental faculty member that s/he will be working on manuscript writing at least over the course of the semester, and, if the student has not completed a formal review of a submitted manuscript that the advisor will ensure the student completes this requirement.

This waiver will be reviewed and granted by the course director with documentation provided to the Chair of the Doctoral Committee and Director of Academic Programs.

Application of Epi Research Methods II, P9489: To apply for a waiver from this required course, a student should supply appropriate documentation of the competency outline in the syllabus. This waiver will be reviewed and granted by the course director with documentation provided to the Chair of the Doctoral Committee and Director of Academic Programs.

Biology and Physiology/Pathophysiology for Epidemiologists, P9410. To apply for a waiver from this required course, a student with a prior medical/clinical degree or extensive experience in biological science (including at least one course in human physiology and pathology) should provide documentation to the course director. This waiver will be reviewed and granted by the course director with documentation provided to the Chair of the Doctoral Committee and Director of Academic Programs.

Currently, doctoral students who believe they have already passed an equivalent doctoral level courses (with a grade of B+ or higher) may apply for a waiver for other required courses. Applications should be addressed to the Director of PhD Doctoral Programs and the course director. These should include a clear rationale, a course syllabus, and transcript from the institution where the course was taken.

B. Exemptions from program requirements

Students seeking a waiver from any other program requirement should send an email to the Director of PhD Doctoral Programs explaining the request and explaining the rationale for the request for waiver.

C. Grandfathering students when requirements change

In general, the applicability of program changes depends on the stage within the program that the student has reached. The procedures and requirements before taking the comprehensive exams described in these guidelines apply to all doctoral students entering in 2012 (those few who entered before 2012 are subject to previous guidelines). Students who have completed both qualifying examinations are not affected by subsequent changes in course requirements or examinations. Those who have successfully defended their dissertation proposal are not affected by changes in requirements pertaining to coursework, qualifying exams or the dissertation proposal defense. Changes in doctoral dissertation format or content will be in effect for all students who have not yet defended their proposal or as dictated by GSAS or the Mailman School. Changes in final dissertation defense policies, such as the final defense seminar, outlined in these guidelines will pertain to all students who have not yet defended their proposals. Where a change in program requirements has an impact on students currently undertaking program elements other than as noted here, affected students will be notified by email. Students who have questions about whether requirements apply should talk with the Director of PhD Doctoral Programs; those wishing to seek an exemption should send a letter by e-mail to the Director of PhD Doctoral Programs outlining the request and offering a cogent justification.

D. Academic honesty and honor code

All students enrolled at Columbia are expected to adhere to the required standards for academic and scientific integrity. MSPH and GSAS have slightly differing policies, found at the URLs below:

- [Mailman School Honor Code of Academic Integrity](#)
- [GSAS statement on Academic Integrity](#)

PhD students must comply with both MSPH and GSAS. These policies are compatible with each other and do not represent any conflicts for the PhD students who must follow both.

Section V. Mentoring, Satisfactory Progress, and Getting Help

1. Mentoring

The Doctoral Committee places strong emphasis on appropriate mentoring by faculty and has endorsed mentoring guidelines to inform both faculty and students of the department's expectations. This is a close mentorship relationship and the department policy on mentoring and doctoral students (Appendix 3) offers advice and ground rules on developing this relationship and what students can expect. Mailman also has a [useful site](#) for faculty on the role of a mentor.

2. Annual review of progress

In order to monitor student progress, trouble-shoot potential problems, and allow for student input, all PhD students and their academic advisors are required to review their progress against the Doctoral Program Competencies and to complete an Annual Progress Report Form and submit an updated CV. This should include a thoughtful evaluation of the progress made in the previous year, including discussion of any barriers faced. The plan for the coming year should be detailed and measurable. The completed forms will be reviewed annually and included in students' folders. The Director of PhD Doctoral Programs also reviews students' progress throughout their training, including annual reviews of student transcripts, grades on qualifying examinations, and progress on completing dissertations. In the event of questions or problems, students are asked to meet with a member of the Doctoral Committee and/or other appropriate faculty (e.g., their academic advisor, dissertation sponsor) to discuss progress and formulate a plan for moving forward. We encourage students to talk with their academic advisor on a regular basis in order to plan next steps and address problems before they become serious. Students may also request a meeting with the Director of PhD Doctoral Programs. Students are required to complete the review, discuss it with the academic advisor or sponsor and submit it to the Director of PhD Doctoral Programs. A student who fails to submit this within the specified time frame is not in good standing in the university and will not be allowed to register for the following semester.

3. Satisfactory progress

The satisfactory progress of doctoral students is assessed annually on the basis of academic performance, including the timely completion of all certifying and qualifying exams and dissertation requirements such as the development of the dissertation proposal, grades, and performance in any required teaching or research requirements.

Failure to make satisfactory progress

A student who fails to maintain satisfactory progress will be alerted to their deficiencies, advised of the means to remedy them, and told the consequences of their failure to do so. A student who fails to maintain satisfactory progress after such a probationary period will have their candidacy terminated.

In cases of egregious failure to achieve progress, a student may be dismissed from the degree program without a probationary period.

The GSAS regulations in this regard are found at gsas.columbia.edu/content/satisfactory-academic-progress: <https://gsas.columbia.edu/student-guide/policy-handbook/satisfactory-academic-progress>

4. Allowable time for completion of all requirements

The ultimate University policy for making satisfactory academic progress is that the PhD degree must be completed within at most 18 semesters of full time study; however, students are expected to complete more quickly.

Students who enter a PhD program are allowed up to nine years of continuous registration to satisfy all requirements for the doctoral degree. Students who do not complete all requirements for the doctoral degree by the end of the ninth year will no longer be considered doctoral degree candidates and will be notified accordingly in writing. To request an extension of one or two semesters to the nine year rule, a student must submit their most recent progress report and indicate all the steps they will take, on a timetable, in order to complete the dissertation and defend it by the end of the extension. A sponsor's letter of support is required and should indicate support of the student's written plans and timetable and demonstrate that ongoing progress is being made. The request will be reviewed by the Director of PhD Doctoral Programs and the Doctoral Steering Committee, if appropriate, the Chair of the Department. If approved, the student must deposit the dissertation by the end of the second semester extension or no longer be a degree candidate at Columbia.

Only those semesters in which a student has been registered are counted toward the time-to-degree limit—i.e., official leaves of absence granted by GSAS or MSPH are not counted.

Students who have not registered continuously and who have not received an approved leave of absence must apply for and be accepted for reinstatement by both the department and the Mailman School.

5. Available resources and getting help

Students remain in a doctoral program for a number of years and issues may arise which require assistance beyond the scope of the academic advisor or sponsor. Below is a list of resources that may prove useful for a range of issues.

A. Within the department

i. Contacts

Doctoral Student Representatives

The doctoral student representatives are a good resource for peer advice. It is often true that other students have had similar experiences and have found ways to solve similar problems. The current representatives are listed on the inside cover of these guidelines.

Director for Academic Programs

Liliane Zaretsky (lz3@cumc.columbia.edu) can assist with solving many administrative problems that students face over the course of their doctoral training.

Director of Doctoral Programs

Jeanine Genkinger (jg3081@cumc.columbia.edu) is Chair of the PhD Doctoral Steering Committee and Director of PhD Doctoral Programs. If a student or member of the faculty has questions about policies, requirements, status, standards, or difficulties, they should contact her. Students having difficulty with a sponsor or academic advisor or other faculty member should contact her. She can help resolve problems and/or intervene when initial attempts to resolve issues have been unsuccessful.

Vice Chair for Education

Lisa Bates (lb2290@cumc.columbia.edu) became Vice Chair for Education on July 1, 2019 and have oversight over policy and practice for all department programs. If after working with the Director for Academic Programs and the Director of PhD Doctoral Programs, attempts to resolve a conflict remain unsuccessful, a student may approach her.

Chair of the Department

If after working with the Vice Chair for Education, attempts to resolve a conflict remain unsuccessful, a student may approach the department chair, Professor Charles Branas, at c.branas@cumc.columbia.edu.

ii. [The episummer@columbia Fund](#)

The [episummer@columbia Fund](#) was created to provide our graduate students with an opportunity to access resources to help advance their educational agenda, using the revenue generated by the episummer@columbia.

The episummer@columbia fund is a funding source for Department trainees pursuing research and training opportunities beyond those covered by their standard tuition. Examples of potential uses for the episummer@columbia fund include but are not limited to:

- Travel for conferences; priority will be given to trainees who are presenting findings at professional meetings
- Purchase of e-books, datasets, or samples for a study
- Tuition for specific training needs, such as short courses, workshops, and training in software packages or lab techniques
- Research related items that will contribute to the trainees' research (for example, data collection)

The episummer@columbia fund will not fund trainee tuition for their ongoing degree programs or living expenses. The episummer@columbia fund will not fund trainee application fees to other degree programs.

Students seeking funding will complete a brief one-page application, providing the following information:

- Description, including, as applicable, date(s), location.
- Cost, including, as applicable, a detailed listing of each element. It is anticipated that applications will be for amounts less than \$2,500 for any one project. Lump sum costs without explanation will not be considered. Projects for higher amounts may be considered in exceptional circumstances.
- Rationale, as in, why this conference/dataset/class is vital to the student's education and research goals
- Brief description of other funding avenues the student has pursued prior to, or concomitantly with, seeking EPIC Funds.
- A clear explanation of how all costs requested will be spent.

All things being equal, priority for funding will be given to students who demonstrate that they have exhausted all other available avenues of funding.

All applications should be submitted to Ms. Liliane Zaretsky (lz3@columbia.edu).

A committee made up of the faculty from the epidemiology department will adjudicate applications.

There are three episummer@columbia funding cycles: applications will be accepted on January 30, May 30, and September 30 each year. Applicants will be notified of the committee's decision within a month of the deadline. Applicants who are funded will be reimbursed, up to the award amount, upon conclusion of the event and after applicant has submitted (a) all receipts and (b) a brief summary of how the episummer@columbia Fund award was used.

iii. Childcare subsidy

Through the department, Columbia policy assists parents registered in years 1 through 7. They may apply for \$2000 annually for each child under 5 not yet attending kindergarten.

B. Outside the department

i. Office of Student Affairs (OSA)

The OSA assists students as they navigate their academic programs. From orientation to graduation, the office monitors academic progress, assists with registration-related questions, develops co-curricular programming to enhance student life, and assists students who encounter any academic or personal obstacles along the way. Please see mailman.columbia.edu/people/current-students/academics for more information. OSA also maintains several funding streams for student travel and other initiatives described at <https://www.mailman.columbia.edu/people/current-students/student-opportunities/beyond-classroom/student-travel-fund>

ii. The Office of Disability Services (ODS)

The Department of Epidemiology works closely with the Office of Disability Services (ODS) to facilitate equal access for students, including coordination of reasonable accommodations and support services for students with disabilities. ODS works with students with all types of disabilities, including physical, learning, sensory, psychological, AD/HD, and chronic medical conditions. ODS also provides assistance to students with temporary injuries and illnesses. The Department of Epidemiology is committed to a campus culture that is sensitive and responsive to the needs of students. The department wishes to enable students with disabilities to fully realize their potential, recognizing their abilities and independence while supporting reasonable accommodation, maintaining equal access and preserving their confidentiality, in line with the spirit and provisions of the amended Americans with Disabilities Act.

To register with the Office of Disability Services, students must complete a Graduate Application for Accommodations and Services, and submit documentation of their disability.

The application and guidelines for disability documentation are available online at health.columbia.edu/disability-services and at the ODS office. Students are encouraged to register with the Office of Disability Services at the time of their matriculation at Columbia University although they may do this later as needed.

Review of requests for accommodation and disability documentation may take two to three weeks to complete. Students are eligible to receive reasonable accommodations only when the entire registration process is complete. For more information, please contact the [Office of Disability Services](#). The liaison with Disability Services for the Mailman School of Public Health in Office of Student Affairs (OSA) is [Sarah Tooley](#) (email: st3146@cumc.columbia.edu).

iii. [Center for Student Wellness](#)

The purpose of the [Center for Student Wellness \(CSW\)](#) works to promote health and enhance learning by addressing health-related barriers to academic success. The Center offers a wide range of services for students in the Health Sciences including counseling and mental health consultation and treatment. The CSW assures confidentiality and does not report the names of visitors to the office and will not act without permission, except in cases of imminent serious risk to individual safety, or if required by law.

Located at 107 Bard Hall, the CSW is open Monday through Friday by appointment and also maintains walk-in hours. Services provided by the CSW are free to CUMC students. For more information, call them at 212.304.5564 (email studentwellness@columbia.edu) or see their [website](#).

iv. [Ombudsman Office](#)

The Ombudsman Office is another excellent source for thoughtful and confidential advice regarding challenges or conflicts involving academic issues. More information can be found at ombuds.columbia.edu. The office has drop in hours Wednesdays from 10:30am–2:30pm or an appointment can be made by emailing ombuds@columbia.edu.

v. [Student Services for Gender-based and Sexual Misconduct](#)

The Student Services for Gender-based and Sexual Misconduct is designed to support students facing inappropriate behavior based on sex and/or gender discrimination that may or may not be sexual in nature. Their website contains information on resources, on policy and on how to get advice. It can be accessed be sexual in nature. Their [website](#) contains information on resources, on policy and on how to get advice.

APPENDICES (for current appendices, see attachments).

Section V – Mentoring, Satisfactory Progress, and Getting Help

https://www.mailman.columbia.edu/sites/default/files/pdf/doctoral_guidelines_august2018_1.pdf