

**ACADEMIC POLICIES
FOR
THE DOCTOR OF PHILOSOPHY PROGRAM**

Guidelines and Procedures

**DEPARTMENT OF HEALTH POLICY AND MANAGEMENT
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL**

**2011-2012 Academic Year
(Revised August 17, 2011)**

The *Guidelines & Procedures* contains many of the rules, regulations, policies, and procedures of the PhD program, as established by the department faculty and by the actions of the Administrative Board of the Graduate School. Each student should become familiar with the material pertaining to his or her degree program, and, together with a faculty advisor, make certain that the selected plan of study complies with the pertinent requirements. The most current Guidelines and Procedures manual is posted on the HPM departmental Web site (<http://www.sph.unc.edu/hpm/academic/doctoral.htm>). Students are responsible for being aware of the current policies.

In instances of discrepancy between these guidelines and the Graduate School Handbook, the Graduate School Handbook takes precedence.

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Doctoral Program Governance

All responsibility for the academic conduct, standards, and requirements of the doctoral program rests with the faculty of the Department in accordance with other school and university policies.

Director of the PhD Program

The Director of the PhD Program is responsible for all administrative affairs of the PhD program, including administration of academic conduct, standards, and requirements. In addition, the Director is responsible for recommending admissions and financial support, assigning advisors to incoming students, approving the PhD committee chair and members, advising PhD committees on the interpretation of policies and requirements, ruling on all petitions in accordance with School of Public Health and Graduate School guidelines, and fulfilling any other administrative duties or responsibilities delegated by the Department Chair.

Advisory Committee

The PhD Advisory Committee includes one representative for each existing minor, 3 student representatives, and alumni. This committee will advise the Director of the PhD Program and Chair with regard to all issues related to the PhD Program (e.g., admissions, curriculum).

Graduate School Handbook

Additional information on the governance of and regulations for doctoral study are contained in the Graduate School Handbook, published each year by the Graduate School. It is the student's responsibility to be familiar with its contents, and comply with, rules, regulations, policies, procedures, and deadlines. The core regulations have been incorporated in part in these Guidelines and Procedures, but additional, essential regulations are given only in the Graduate School Handbook. In instances of discrepancy between these Guidelines and Procedures and the Graduate School Handbook, the Graduate School Handbook takes precedence.

Honor Code and Campus Code

It shall be the responsibility of every student at the University of North Carolina at Chapel Hill to obey and to support the enforcement of the Honor Code which prohibits lying, cheating, or stealing when these actions involve academic processes or University, student, or academic personnel acting in an official capacity. It shall be the further responsibility of every student to abide by the Campus Code; namely, to conduct oneself so as not to impair significantly the welfare or the educational opportunities of others in the University community. More information may be found at www.honor.unc.edu/.

Degree Requirements

Overview

The PhD program in Health Policy and Management is designed to provide students with the competencies, academic foundation, and research experience to become independent and creative health services/health policy researchers. All students take required courses in health services research, research design, quantitative methods, and health policy. In addition, students develop expertise in a minor area. Current minors include decision sciences, economics, finance, health policy and politics, quality/access, and sociology and organization studies. Students must pass a written comprehensive examination upon completion of course work, then present and defend a dissertation proposal and the final dissertation based on original research. The PhD program is designed to be completed in four years.

Core Competencies

The curriculum is designed to provide students with the following core competencies necessary for a career in health services/health policy research:

1. Understand critical issues related to health policy in the United States
2. Develop expertise in a substantive area (a minor)
3. Review and synthesize a body of research literature
4. Identify and appropriately apply theoretical knowledge and conceptual models in support of health services/health policy research
5. Develop hypotheses that can be tested in a research project
6. Select appropriate research designs and methodologies (quantitative and qualitative) for health services/health policy research
7. Understand and appropriately apply analytical strategies used in health services/health policy research
8. Identify the ethical implications of research methods
9. Interpret and explain the results of research
10. Critically evaluate articles from scholarly journals and research presentations
11. Write articles for submission to scholarly journals
12. Understand the grant writing process and write grant proposals
13. Make oral presentations to scientific audiences
14. Develop teaching skills in health services research, policy or management
15. Explain research to various audiences (e.g., policymakers, health care professionals, general public, media)
16. Learn to work on multidisciplinary teams

Prerequisites

Prerequisites are courses that are viewed as necessary for PhD students in Health Policy and Management. Credits earned for prerequisites do not count towards the required 43 credit hours. The prerequisites must be taken before the written comprehensive examination.

There are four prerequisites for our PhD students:

- BIOS 600 (Principles of Statistical Inference). This 3-credit course is designed to prepare students for the subsequent required analytical methods courses. It should be taken in the fall of their first year.
- HPM 496 (Readings in Health Policy and Management in Section number of faculty member teaching HPM 881—Linear Regression Models). To succeed in HPM 881, students should be familiar with calculus, basic statistics, linear algebra (matrix algebra) and STATA. This 1-credit course, which should be taken during the fall of their first year, will meet weekly at a time that accommodates all students' schedules. Notably, students enter program with differing proficiencies in these areas. For example, they may be expert in mathematics, but no experience in STATA (or visa versa). If there are any questions, students should discuss their individual needs with the instructor for HPM 881. HPM 496 is offered for variable credit; for this module, please enroll for one credit.
- HPM 754 (Health Care in the United States: Structure and Policy). This 4-credit course is offered each fall. It is strongly recommended that students who have not taken this course or its equivalent do so in their first semester.
- EPID 600 (Principles of Epidemiology for Public Health). This 3-credit course provides students with an overview of epidemiological principles and methods.

Many students, especially those with master's degrees, may have taken these courses (or their equivalents) prior to matriculation into our PhD program. Students who wish to be exempted

from any prerequisite must receive permission from the instructor and complete the HPM [Core Course Exemption Application](#) form (see Section on Exempting from Core Courses).

Course Requirements

A total of 43 credit hours of course work, excluding credits for prerequisites and the dissertation (minimum of six credits), is required for the degree. The PhD Program Checklist (Appendix 1) is intended to help students ensure that they have completed all requirements. Students must register as full-time students (at least nine credit hours) during the fall and spring semesters of the first and second years. The required courses, grouped by category, are:

Health Services Research/Research Methods: 9 credit hours

- HPM 870: Health Services/Health Policy Research Methods I (3 credits)
- HPM 885: Health Services/Health Policy Research Methods II (3 credits)
- HPM 886: Advanced Applications in Research Methods (3 credits)

Analytical Methods: 9 credit hours

- HPM 881: Linear Regression Models (3 credits)
- HPM 882: Advanced Methodology in Health Policy and Management (3 credits)
- HPM 883: Analysis of Categorical Data (3 credits)

To succeed in HPM 881, students should be familiar with calculus, basic statistics, and linear algebra (matrix algebra) and STATA. Because students enter program with differing proficiencies in these areas, students must take for credit, or be exempt from, HPM 496 (see prerequisites).

Professional Development: 10 credit hours (7 toward 43 required credit hours)

- HPM 871: Seminar in Teaching Health Policy and Management (1 credit)
- HPM 994: Developing Proposals for Health Services and Policy Research (3 credits); students register for this course under HPM 994 (Dissertation Hours) using the section number for the course instructor. This course will not count towards the 43 hours required for graduation
- ²HPM 873: Research Seminar in Health Policy and Management (1 credit per semester during the first year for a total of 2 credits)
- ²HPM 874: Advanced Research Seminar in Health Policy and Management (1 credit per semester during the first two years for a total of 4 credits)

Minor Area/Health Policy Elective [18 credit hours]

In addition to the requirements above, all students must take an additional 18 credit hours that include both the requirements for their minor area (typically five 3-credit courses—see section on minors) plus one 3-hour health policy elective (described below).

Health Policy Requirement

PhD students must take at least one course that provides an understanding of one or more of the following general areas: (1) health policy development (including how and why health policies are made); (2) the content of health policy that addresses a particular public health issue; and/or (3) frameworks for understanding or making health policy choices. Although

critical for the development of health policy and health policy research, this requirement cannot be fulfilled with courses that primarily focus on understanding research methods or statistics. Rather, for this requirement, policy is defined as a purposive course of actions (e.g., programs, regulations, services management practices) set by government or organizations (e.g., hospitals, insurance companies) that deal with health-related concerns. Relevant courses may be offered in HPM or through various Departments at UNC or other universities. For some students, this requirement may be fulfilled by a course taken as part of the minor requirement. The decision of whether a particular course is appropriate should be made by the student's advisor, who may consult with faculty on the PhD Advisory Committee. Some suggested courses are listed on our Web site.

Structure of the Program

Students take courses on a full-time basis for two years (a typical schedule is presented below), after which they take comprehensive examinations in the spring of their second year. In the fall of Year 3, students take Developing Proposals for Health Services and Policy Research. This course should be used by students to develop their dissertation proposal. The student's dissertation chair and, if constituted, committee members will work closely with the student in this course. The Department expects most students to defend their dissertation proposals during their third year, which will enhance the possibility of completing the PhD in four years. Occasionally, students may feel that they are ready to write their proposal during the fall of their second year. With the approval of the dissertation advisor and Director of the PhD Program, these students may request to take Developing Proposals for Health Services and Policy Research (HPM 994) in the fall of their second year. We wish to emphasize that this would be a highly unusual situation.

Fall, Year 1	Spring, Year 1	Fall, Year 2	Spring, Year 2	Fall, Year 3
BIOS 600 HPM 496 HPM 870	HPM 881 HPM 885	HPM 882 HPM 886	HPM 883	HPM 994
HPM 873 HPM 874	HPM 873 HPM 874	HPM 873 HPM 874	HPM 873 HPM 874	
Minor	Minor	Minor	Minor	
<ul style="list-style-type: none"> • BIOS 600, HPM 496, HPM 754 and EPID 600 are prerequisites for which students may place out; students who must take these courses will do so in the semester that best fits their schedules. • HPM 873 and HPM 874 are core Departmental seminars. All students are required to take HPM 873 during the fall and spring semesters of their first year (total of 2 credit hours) and HPM 874 during the fall and spring semesters for their first two years (total of 4 credit hour). • HPM 871 (Seminar in Teaching Health Policy and Management) will be taken in the semester the student is a Teaching Assistant. 				

Table: Achieving Core Competencies through Required Courses

Competency	Course Number										
	870	885	886	881	882	883	994*	873	874	871	Minor Courses
Understand critical issues related to health policy in the United States	X	X					X	X	X		X
Develop expertise in a substantive area (a minor)											X
Review and synthesize a body of research literature	X	X	X				X		X		X
Identify and appropriately apply theoretical knowledge and conceptual models in support of health services/health policy research	X	X	X	X	X	X	X				X
Develop hypotheses that can be tested in a research project	X	X	X				X	X	X		X
Select appropriate research designs and methodologies (quantitative and qualitative) for health services/health policy research	X	X	X	X	X	X	X	X	X		X
Understand and appropriately apply analytical strategies used in health services/health policy research	X	X	X	X	X	X	X	X	X		X
Identify the ethical implications of research methods	X	X	X				X	X	X		
Interpret and explain the results of research	X	X	X	X	X	X	X		X		X
Critically evaluate articles from scholarly journals and research presentations	X	X		X	X	X	X	X	X		X
Write articles for submission to scholarly journals				X	X	X			X		X
Understand the grant writing process and write grant proposals							X		X		
Make oral presentations to scientific audiences								X	X		
Develop teaching skills in health services research, policy or management										X	
Explain your research to various audiences (e.g., policymakers, health care professionals, general public, journalists)								X	X		X
Learn to work on multidisciplinary teams								X	X		

* Developing Proposals for Health Services and Policy Research taken in the fall of the third year.

Minor Areas

The minor area may be either disciplinary (e.g., economics, finance, health politics and policy, sociology and organizational studies) or interdisciplinary (e.g., decision science, quality and access). Minors may not be a topic or disease (e.g., aging, AIDS, child health). Students who want to minor in areas other those listed above must get approval from the Director of the PhD Program. Students must register for at least 15 credit hours in their minor area, and at least one course must be in theory. A list of faculty and more in-depth information on each minor can be found at our Web site (<http://www.sph.unc.edu/hpm/academic/doctoral.htm>).

Decision Sciences: The minor in Decision Sciences is an interdisciplinary program that prepares PhD students to focus on policy issues and methods in analyzing potential benefits, harms, and costs of health technologies and interventions. Given the interdisciplinary nature of the minor, students must take HPM 772 and four other courses from at least three departments (including Health Policy and Management).

Economics: The economics minor has three required courses: ECON 710, either ECON 850 or ECON 357 (taught at Duke), and ECON 356 (taught at Duke), plus two electives. In addition, virtually all students will need to take ECON 700, a prerequisite for ECON 710 to refresh their math skills. ECON 700 begins in early August.

Finance: The financial management minor has three required courses and two electives. Required courses include ECON 700 Basic Quantitative Techniques (3 hours); ECON 710 Advanced Microeconomic Theory (3 hours); and BUSI 881 Theory of Financial Management II (3 hours). In addition, students must select two or more accounting and / or finance courses offered by the Kenan-Flagler School of Business or the Fuqua School of Business at Duke. In order to assure adequate preparation for these courses, students admitted to the healthcare financial management minor usually have completed courses in finance, microeconomics, and calculus.

Health Politics and Policy: The health politics and policy minor introduces students to theories and practices of policymaking, policy analysis, and political science, with the goal of understanding how and why governments and private institutions create and change health policy. Students explore a wide range of issues in health politics and policy, including health care reform, evaluation of public programs, and developments in private insurance. Students are encouraged to concentrate their coursework on political behavior, public opinion, political communication, political psychology, or other aspects of political science that particularly affect health policy. Students may take courses that will fulfill this requirement in several departments or schools other than Political Science, including Public Policy, Journalism and Mass Communication, or Sociology.

Quality and Access: Access to, and the quality of, health care in the United States are often the focus of important health policy discussions at the local, state, and national levels. The minor in Quality and Access is an interdisciplinary program that prepares PhD students to obtain the substantive, methodological and statistical skills required to conduct research in this area. HPM 762 (Quality of Care) is required of all students who minor in quality and access. In addition, students must take courses from at least three departments (including Health Policy and Management).

Sociology and Organizational Studies: The sociology and organizational studies minor offers several foci including organizational, community, national and global studies; gender and race, demography, medical sociology, stratification, and labor markets. All

students minoring in sociology and organizational studies are required to take a graduate level course in sociological theory (SOCI 700 or its equivalent) and a Doctoral Seminar in Organization Theory and Health Services Research Organizations- (HPM 930). Students who focus on organizational studies must also take SOCI 860 and BUSI 851. Other electives may be taken to meet the credit hour requirement. Students interested in other foci can consult with faculty within the minor.

Earning Degrees from Other Departments

Although taking courses and developing expertise in other Departments is required for our PhD Program, earning a graduate degree from another department is **strongly discouraged**. A second degree rarely benefits the student beyond what can be achieved through a minor. Beyond the extra time that is required, students pursuing a second degree must formally matriculate in the other department for a minimum of two semesters. While enrolled in another department, the student would **not** be in HPM; thus, HPM would not provide financial support (i.e., tuition, stipend). If you nevertheless consider this option, HPM requires approval from the student's advisor, Director of the PhD Program, and Department Chair **in advance of applying to another department**.

Exempting from Prerequisite or Core Courses

Students often matriculate into the PhD program having completed coursework that is equivalent to either a prerequisite or other core course. Students who wish to be exempted from any prerequisite or core course must: (1) receive permission from the course instructor; (2) complete the [HPM Core Course Exemption Application](http://www.sph.unc.edu/hpaa/for_current_students.html) form, which may be found at http://www.sph.unc.edu/hpaa/for_current_students.html; and (3) submit the completed form to the HPM Student Services Manager. Notably, exempting from a course does NOT mean students receive credits that count towards the required 43 hours. If you believe that you are eligible for credit (i.e., the course previously taken has not counted toward a degree), you should discuss your situation with the Director of the PhD program and/or HPM Student Services Manager.

Learning to Work on Multidisciplinary Teams

Successful health services researchers must be able to work effectively on multidisciplinary research teams. Some students participate on such teams with their faculty advisors. And, virtually all students form dissertation committees with representatives from different disciplines. However, given the importance of working effectively on multidisciplinary teams, we wish to expand the mechanisms through which PhD students achieve this competency as follows:

HPM 873 (Research Seminar in Health Policy and Management): This seminar is required for all first-year PhD students. Third-year PhD students are required to present a draft of their dissertation proposal to the first-year PhD students, two of their dissertation committee members, and other faculty and guests. The students and faculty to whom the third-year students present are in different minors and have diverse academic and professional backgrounds. The commentary and questioning of the third-year PhD students reflect different theoretical and applied perspectives of the seminar participants and constitute a rich multidisciplinary critique of a student's research proposal.

HPM 874 (Advanced Research Seminar in Health Policy and Management): This seminar is required for all first- and second-year PhD students. Each year, we will have at least one session devoted to topics related to effective multidisciplinary teams. In addition, students will participate in group exercises that develop applied research skills related to functioning on a multidisciplinary team.

Dissertation Committee: Most dissertation committees include faculty from both HPM and other Departments and Schools. Given the diversity of the committee in terms of research methods, training, and experience, the dissertation committee is, in essence, a multidisciplinary research team. We recommend strategies to provide students with experiences that allow them to realize the benefits of a multidisciplinary research team that considers different theoretical perspectives and research methods as they complete their dissertations (see Operation of the Dissertation Committee, page 12).

Teaching

A core competency of the PhD Program is to prepare students to be effective classroom teachers. To fulfill this competency, students must complete HPM 871 and be a paid teaching assistant (TA) at some point during their training. HPM 871 is a 1-credit hour seminar that PhD students take during their first semester as a TA. The seminar is designed to: (1) facilitate the development of a contract identifying mutual expectations for the TA and course instructor; (2) help prepare students to develop and deliver a lecture (or equivalent activity) in the course for which they are a TA--giving this lecture is required for TAs (as is the faculty member providing feedback to the TA) and is intended to provide students with the skills and confidence to be effective teachers; (3) identify and resolve common TA issues using a key incidents/discussion approach; and (4) identify resources on campus, for example, the Center for Faculty Excellence (<http://cfe.unc.edu>) or the internet to aid students achieve their TA and long-term teaching goals. Students who wish to teach their own course may be encouraged by their advisor to take EDUC 757, which is designed specifically to provide graduate students with the skills to plan all aspects of a course of their choosing.

Shadowing

Many PhD students have little exposure to venues relevant to their research. Thus, we have established the opportunity for students to have a formal shadowing experience with a preceptor (e.g., clinician, policy analyst, senior manager). Benefits to the students include the following:

- Gaining an appreciation of a venue relevant to the dissertation (and subsequent research)
- Formulating a research question with greater policy and/or management relevance
- Learning to work with preceptors from different disciplines
- Establishing a relationship with a preceptor who may serve on the dissertation committee

Parameters of the shadowing experience are as follows:

- The shadowing experience is optional. Students do not receive academic credit and should not feel pressured to participate.
- This is not intended to be a one-time visit to a specific venue. Rather, it should be a sustained experience. The precise structure and time commitment will be established by the student, the students' advisor, and the preceptor.
- It is likely that the shadowing experience will occur either during the summer after students' first year or after completion of comprehensive examinations.

Students interested in this opportunity should begin by speaking to their advisor. If the advisor cannot identify a relevant preceptor, the Director of the PhD Program can help.

Writing Skills

Learning to write for scientific audience, including your dissertation, requires skills that differ from other types of writing. Several resources are available at UNC to assist students at no cost. The Writing Center (<http://www.unc.edu/depts/wcweb/>) offers individual tutorials, either in

person or on line. This is an outstanding resource for all students. The Writing Center also provides a listing of resources specifically for English as Second Language (ESL) students (<http://www.unc.edu/depts/wcweb/elac/index.html>). The International Scholar and Student Services Office (<http://oiss.unc.edu/resources/esl.html>) offers several classes through the English department, the Graduate School and the Writing Center itself intended to assist ESL students in acclimating to academic life in the U.S.

Dissertation

Each PhD student is required to write and defend a dissertation based on original research of a high scholarly standard that makes a significant contribution to knowledge in the field of health services research, policy or management. Students typically defend their dissertation proposal during the third year, and defend their final dissertation during the fourth year. The format of the dissertation should adhere to the guidelines specified in *A Guide to Theses and Dissertations* published by the Graduate School. **Notably, all dissertations must be submitted electronically.**

Three-manuscript Dissertation Option

Description: Students have the option of writing the dissertation in the form of three manuscripts. The three-manuscript option has the benefit of directing the student's effort towards the ultimate goal of publishing. However, this option generally requires more effort than a traditional dissertation. Notably, the three-manuscript option is not appropriate for all students, and the choice of whether or not to use this option does not reflect the quality of the dissertation.

Approval: The three-manuscript dissertation option must be approved by the Dissertation Committee and the Director of the PhD Program. Typically, this approval is given when the proposal is defended. As students develop their research, they may decide that the three-manuscript dissertation option is not practical. Under such conditions, students may, with the approval of their committee, return to the traditional dissertation. Similarly students who initially chose a traditional dissertation may change to the three-manuscript option with permission of their Dissertation Committee.

Content: In general, the final dissertation will have five chapters:

- Chapter 1: An introduction describing the problem that the student proposes to study. This chapter would include the theoretical framework and literature review.
- Chapters 2-4: One manuscript per chapter.
- Chapter 5: A discussion that integrates all of the research. This chapter will include limitations of the study and future directions.

Defense: The defense will be identical to that of a traditional dissertation. At the defense, the student will indicate the targeted, peer-reviewed journal for each manuscript. A successful defense requires that all committee members believe that each manuscript will be ready to submit to the identified journal after the suggestions made by the committee are incorporated.

Required Examinations

A doctoral student must pass a written comprehensive exam, an oral defense of the dissertation proposal, and an oral defense of the dissertation.

Comprehensive Examination (Report of the Preliminary Written Exam): The comprehensive exam is a written exam administered by the Director of the PhD Program. It is given once per year during a one-week period after the spring semester. Students may take the comprehensive exam only after completing all prerequisite and required courses. In some cases, students will be allowed to take the comprehensive written exams without completing HPM 871, HPM 873, or HPM 874. Under no circumstance will the comprehensive exam be scheduled on a special basis. The comprehensive exam consists of three parts:

1. Health Services Research Methods: HPM 870, HPM 885, HPM 886.
2. Analytical Methods: HPM 881, HPM 882, HPM 883
3. Minor Area (including Health Policy Elective).

Each part is scheduled for a different day (e.g., Monday, Wednesday, and Friday), typically in late May or early June. Students will receive the exam at the beginning of the day and return their completed exam at a designated time before the end of the day. No part will extend overnight. The exam will be written by a committee of at least three full-time graduate faculty from the Department, the Director of the PhD Program, and representatives from each minor area. Students are expected to identify faculty who will write questions for their minor area. Questions in the two non-minor areas will be common for all students. Faculty writing the comprehensive exam will specify the number of hours available (up to a maximum of eight hours), as well as page limitations, whether the exam is on-site or take-home, open- or closed-book, typewritten or handwritten.

The grading policy for PhD written comprehensive exams in HPM is as follows. The comprehensive exam will be graded blind by the faculty who wrote the exam. The exams are given one of three grades: **pass**, **incomplete**, and **fail**.

- **Pass** indicates that the student has sufficient command of the content to continue with graduate studies and write a dissertation.
- **Incomplete** indicates that the student is deficient in one or more areas included on the examination. The committee will make recommendations for correcting these deficiencies. These recommendations can vary depending on the nature of the deficiency, and might include any or all of the following: completing an independent study; successfully completing formal course(s) for credit; clarifying their answers in writing; or providing oral clarification.
- **Fail** indicates that the student must retake the comprehensive exam. Because comprehensive exams are offered only once per year, students who fail the exam must wait until the following spring to retake the examination.

A student who does not satisfactorily complete the recommended activities for removing a deficiency within the allotted time, or fails to pass the exam, will have a failure recorded with the Graduate School. A second failure to pass the examination leads automatically to the student's ineligibility to continue in the Program.

The outcome of the examination is reported to the student through a personal letter from the Director of the PhD Program and is made a part of the student's permanent record. The final result of the written examination process described above will be reported as a **pass** or **fail** to the Graduate School using the *Report of the Doctoral Written Examination*.

Dissertation Proposal Defense (Report of the Oral Examination): During an oral examination, the student must present to the dissertation committee a written research proposal for the dissertation. Although its format can vary, the organization, length, and level of methodological sophistication is often similar to a grant proposal. The student is expected to consult with committee members as the proposal is being developed.

Before defending the dissertation proposal, the student must have completed all required courses, other than being a TA as part of HPM 871, HPM 873, and HPM 874 and passed the written comprehensive exam. The student must be registered at the time of the defense, even if it is summer. The dissertation proposal must be defended in a meeting of the student's doctoral committee and is part of the oral examination. The dissertation committee has full responsibility for examining the doctoral proposal and evaluating performance on the oral examination. A pass will be based on the presentation of an acceptable proposal and on the demonstration of a satisfactory level of knowledge in the subject matter of the dissertation and related areas. The committee may decide to approve the proposal as presented, conditionally approve it subject to specified minor revision, or require that the student make major revisions and stand again for the qualifying oral examination. The committee may require additional course work. The results of the exam are reported to the Graduate School. The student must receive a passing grade from a majority of the members of the dissertation committee. A student who chooses to pursue dissertation research on a different topic must defend a new proposal before the doctoral committee. Students who pass the oral examination are eligible to be admitted to candidacy for the PhD degree upon formal written application to the Graduate School. IRB approval is required.

Dissertation Defense (Report of the Final Oral Examination): The student must defend the dissertation in an oral examination open to all members of the faculty, students, and the public. The Dissertation Committee has full responsibility for reviewing the completed dissertation, and deciding whether the PhD degree is to be awarded. The dissertation defense is held only after all members of the dissertation committee have had an adequate amount of time to review a draft of the dissertation. The dissertation must be in final form prior to the final defense. This implies that all pages, references, and appendices are in place and that a thoughtful discussion has been completed. Substantive changes in the document should be minimal after the defense. It is the responsibility of the chair of the dissertation committee to announce to the graduate faculty and students of the department the date and time of this final oral examination. The first portion of the defense, in which the candidate presents the research and responds to questions, is open. Following this open meeting, the committee meets in a closed session. The committee may require revisions to the dissertation. The student must be registered for a minimum of three credit hours in HPM 994 during the semester in which the final oral exam is held, even if it is summer.

HPM 994 (Doctoral Dissertation Hours): PhD students who have completed their comprehensive examinations should enroll in HPM 994 and should remain continuously enrolled in HPM 994 until they complete their dissertation. a minimum of 6 credit hours of HPM 994 are required for graduation, and these credit hours do not count towards the 43 required for graduation. During the semester in which they take "Developing Proposals for Health Services and Policy Research", they will receive a grade from the instructor teaching that course. Otherwise, their dissertation advisor will be the Instructor of record for HPM 994. Students who make satisfactory progress towards completing their dissertation will receive a temporary grade of S from the instructor of record. To assess progress, students enrolled in HPM 994 must complete an annual progress report with their advisor (See Appendix 2). Upon successfully defending their dissertation, students will receive a permanent grade (P or H) for HPM 994.

Advisor and Dissertation Committee

Advisor

Faculty advising is one of the most important factors to students' successfully completing their doctoral studies. Faculty advisors serve a number of roles including academic advisor, research mentor, career advisor, and professional colleague. Because advising is so important, the Department has developed performance standards for PhD advisors and students (Appendix 3).

Students are admitted to the program only if a faculty member with similar research interests agrees to serve as their advisor. Each admitted student is assigned a faculty advisor for the first two years. The initial faculty advisor does not necessarily become the chair of the dissertation committee. Many factors contribute to an effective relationship between faculty advisors and students, not all of which can be determined in advance. Because the initial assignment may not prove to be the best for the student, faculty advisors can be changed at any time (including the first two years). The Department has a "no-fault" policy—when such a change is made, it does not reflect negatively on either the student or the advisor. When a change in advisor is made, a *Change of Advisor Request* form must be completed and submitted to the HPM Student Services Manager. Please note that faculty advisors must have a doctoral degree, be regular members of the Graduate Faculty, and have a full faculty appointment in HPM.

Structure of the Dissertation Committee

The dissertation committee usually consists of a chair and four other members. The committee must be approved by the committee chair and the Director of the PhD Program. The dissertation committee must be appointed prior to the dissertation proposal defense. After forming a committee, the student must complete the *Report of Doctoral Committee Composition* form, and then submit the form to the Graduate School through the HPM Student Services Manager for approval by the Dean of the Graduate School. If there is a change in the committee, this form must be resubmitted. The Dissertation Committee must have:

- at least five members (more are allowed, but strongly discouraged)
- a strict majority be members with their primary appointment in HPM (e.g., 3 of 5, 4 of 6)
- generally, each committee member must have a doctoral degree; if not, they must have a specialized skill critical to the dissertation
- at least one member represent the minor area.

The Dissertation Chair must be a faculty member (either tenured, tenure track, or non-tenure track) with his or her primary appointment in HPM and have a doctoral degree.

Committee members who are not at UNC must be appointed to the Graduate School for the duration of the dissertation work. To do this, students must submit the individual's CV to HPM Student Services Manager. Notably, this process may take up to six weeks, and it is the student's responsibility to initiate this process.

Operation of the Dissertation Committee

One of the competencies of the core competencies is learning to work on multidisciplinary teams. Given the diversity of its members, the dissertation committee is, in essence, a multidisciplinary research team. However, if students only address questions to the committee member with the relevant expertise, the Dissertation Chair may be the only faculty member who interacts with a student regularly. Students should stay in close contact with their Dissertation

Chair throughout the entire dissertation process. In addition, to capitalize on the multidisciplinary nature of the dissertation committee, the student is strongly encouraged to hold regular (at least once per semester) meetings with their entire committee. The first meeting should be prior to the formal proposal defense so that students can discuss and integrate key conceptual and methodological issues as they develop their proposal. As soon as possible after their proposal defense, students should circulate a document to all committee members that: (1) summarizes issues raised and their resolution; (2) describes the roles of individual committee members prior to the final defense; and (3) discusses authorship issues, if this is the appropriate time. Once all committee members concur, that document will serve to clarify the committee's expectations regarding the dissertation. After this document is accepted by all committee members, students are expected to inform all committee members about their progress, even when progress is slow. Students should continue to hold regular (at least once per semester) group meetings with their committee, by phone or in person, until the dissertation is completed. Students are responsible for notifying committee members when there are substantive changes in their dissertation (e.g., conceptual model, research design, analysis). Operating in this manner can help students realize the benefits of a multidisciplinary research team by insuring that different theoretical perspectives and research methods are considered as they complete their dissertations.

Transfer of Credits, Registration, and Time Limits

Transfer of Credit

Although students may transfer credits from relevant graduate courses from approved institutions or from other graduate programs within this institution, this is rarely done. A maximum of 22 credits (half the total credits required for graduation) may be transferred. Transfer of credit must be approved by the Director of the PhD Program, and transferred credits will not be included in the residence credit calculation.

Registration

Students must be continuously registered in the fall and spring semesters unless a formal leave of absence is requested and granted (please contact the HPM Student Services Manager for information on how to apply for a formal leave of absence). This rule applies even after all course work has been completed. Students must register in the summer only if they are taking courses, defending their dissertation proposal or final dissertation, or are otherwise engaged in academic activity that requires faculty involvement. Registration for the prior term will cover events that occur during a break between semesters. Failure to register will compromise academic status within the Department and will result in the need to apply for readmission. A consequence for international students includes loss of visa status and deportation. Failure to register will also prevent employment as a research assistant, teaching assistant, or graduate assistant anywhere on the UNC campus, disqualify a student from health insurance eligibility, and force student loans to become due.

Time Limit

All requirements for the degree must be completed within eight years from the date of first registration in the Graduate School. Only under extenuating circumstances can an extension of the time limit be granted, upon petition to the Dean of the Graduate School.

Funding and Research Environment

Funding

Doctoral students receive funding from a variety of sources. HPM typically grants PhD students full financial support (including stipend, tuition, and health insurance) for at least the first two

years of study through department research and teaching assistantships, federal traineeships, and Graduate School awards. (This support is contingent upon satisfactory academic progress and availability of sufficient funds.) Most students work with faculty on research projects, for experience and income. Our students have been extremely successful in winning dissertation funding from the federal government and UNC research centers. The following is a brief list of types of funding.

- Research Assistantship with faculty, paid by faculty grants or HPM
- Teaching Assistantship, required
- Graduate School Fellowships and Minority Fellowships
- Collaborative PhD Program funding
- Dissertation funding from UNC research centers
- Dissertation funding from federal government agencies
- International awards
- Local employers (e.g., contract research organizations, consulting firms)
- Student loans available through the UNC Office of Scholarships and Student Aid

Affiliations

HPM has strong affiliations that benefit students in their courses, dissertations, funding, and research experience. These include:

UNC-CH Campus: On campus, HPM has close ties with researchers at the Schools of Medicine, Pharmacy, Dentistry, and Business, as well as at various Departments across campus. Several research centers also provide important resources for graduate students, including funding, office space, computing facilities, seminars, data, and help writing grants. These research centers include the Sheps Center for Health Services Research www.shepscenter.unc.edu, the Carolina Population Center www.cpc.unc.edu (demography and international studies), the Institute on Aging www.aging.unc.edu, the Lineberger Cancer Center cancer.med.unc.edu/, the Odum Institute for Research in Social Sciences www.irss.unc.edu, and the University Center for International Studies www.unc.edu/depts/ucis.

Duke University: UNC's close geographical proximity to Duke University facilitates many joint research projects, and allows students to take courses at Duke via inter-institutional registration. The Robertson Scholars Program provides express buses (<http://www.robertsonscholars.org/index.php?type=static&source=68>) that run between the UNC and Duke campuses during the fall and spring semesters. The express bus has allowed students, researchers, faculty and staff to take advantage of the resources at both universities. PhD students may enroll in courses at Duke University without incurring extra tuition.

Research Triangle: In recent years the Research Triangle area (Raleigh, Durham, and Chapel Hill) has become one of the leading health research areas in the nation. Faculty and students also frequently collaborate with researchers at local research organizations, e.g., RTI International (www.rti.org), Family Health International (www.fhi.org), GlaxoSmithKline www.gsk.org, Quintiles, American Institutes for Research, US Environmental Protection Agency, and the National Institute of Environmental Health Sciences.

Health Economics: There is a strong and rapidly growing group of health economists in the Triangle in addition to the health economists in HPM. The Triangle Health Economics

Seminar, jointly sponsored by HPM, draws faculty and students from UNC, Duke, RTI, North Carolina State, and UNC-Greensboro. The Economics Departments at UNC and Duke University provide students with access to outstanding health economists through courses they offer and by serving on their dissertation committees. Several other health economists are found in Duke's Sanford Institute of Public Policy www.pubpol.duke.edu. RTI also employs many health economists www.rti.org/units/ssid/cer/healthecon.cfm.

Student Offices

Three offices (1103A, 1103B, 1103C) equipped with computers are reserved for PhD students to conduct research. Each PhD student will be given a key that will open either of the offices. Rooms 1102E and 1106 (Career Services Area) offer space to all HPM students (Bachelors, Masters, and Doctoral). Although these offices do not have computers, McGavran-Greenberg offers a wireless environment. The School of Public Health computer room on the second floor of Rosenau Hall is open to all students.

Student Awards

Each year HPM awards the Jean G. Yates Award to the outstanding HPM doctoral student, and the Harry T. Phillips Award for outstanding teaching by a doctoral student.

Year	Jean G. Yates Doctoral Award	Harry T. Phillips Award for Outstanding Teaching by a Doctoral Student
1997	Michelle Mayer	
1998	Glen Mays	Simone Cummings
1999	Kathleen Dalton	Ying-Chun Li
2000	Courtney Van Houtven	Laurie Goldsmith
2001	Laurie Goldsmith and Zhimei Liu	Deokhee Yi
2002	Jessica Lee	Scott Stewart
2003	Tamara Hodlewsky	Bill Carpenter
2004	Bill Carpenter and Melanie Wasserman	Rachel DiSantostefano
2005	Asheley Skinner	John Staley and Julie Siebert
2006	Jeongyoung Park	Asheley Skinner and Virginia Wang
2007	Elizabeth Wiley	Young Do
2008	Bhavna Talekar Pahel	Leah Masselink
2009	Danny Yeh	Stephanie Wheeler and Brad Wright
2010	Stephanie Wheeler	Doug Melton
2011	Michaela Dinan	Wayne Psek

Ethics, Institutional Review Board, and HIPAA

Ethics

The *Policies and Procedures* chapter of the [Graduate School Handbook](#) contains detailed information about amorous relationships, illegal drugs, ethics, the Family Educational Rights and Privacy Act, the Honor Code, non-discrimination, racial and sexual harassment, and the alcohol policy.

Institutional Review Board (IRB) and Research Involving Human Subjects

The Office of Human Research Ethics (<http://www.ohre.unc.edu>) must review all research involving human subjects (including dissertations). Students must submit to the IRB, even if they believe that their research may be exempt as defined for certain human subjects research by the Code of Federal Regulations. *Only* the IRB can determine whether research is exempt.

It is essential to receive approval prior to beginning research. Approval will not be given retroactively for any research and most journals will not accept manuscripts on research that has not received approval. **Working as a research assistant under a faculty member's IRB-approved research does not exempt students from seeking separate IRB approval for their dissertation research, even if related to that project.**

Early in the first semester, students should obtain training from an approved ethics training course. The Office of Human Research Ethics (<http://research.unc.edu/offices/human-research-ethics/researchers/training/index.htm>) provides instructions about how to obtain ethics training and certification. After completing the online course, print a copy of the certificate of completion and keep it in a safe place (e.g., student's permanent file in the department).

Health Insurance Portability and Accountability Act (HIPAA)

HIPAA, which regulates the exchange of health information that is often critical to research, became law in 1996. HIPAA privacy regulations do not replace existing human research participant protections. Rather, HIPAA presents additional requirements. The regulations apply to personal, health and demographic information in the records of health care providers, health plans and health care clearinghouses (so-called "covered entities)" which include the UNC Health Care System, School of Medicine and other health care providers such as private clinics and hospitals. These entities will refuse to share health records without demonstrated HIPAA conformity, such as a patient's signed authorization or a waiver of authorization from the researcher's IRB. All researchers should know the HIPAA regulations. Online training is available at <http://www.unc.edu/hipaa/>. Some Schools and Centers will require additional training.

For questions about the HIPAA, the IRB process or how to complete particular aspects of the application, please review the IRB web site (<http://ohre.unc.edu>).

Dissertation Research

The length of the IRB approval process depends on the type of dissertation research. For example, approval of secondary data analysis or a study involving minimal risk to human subjects may be approved relatively quickly (e.g., within a week or two). Approval for collecting sensitive data about human subjects may require several revisions before IRB approval is granted (e.g., 1-2 months). Therefore, plan ahead so that the research is not delayed. In general, the process is:

1. Complete the proposal—either immediately after successfully defending the proposal, or after it is in relatively final form. If modifications are made to the proposal, then IRB approval of the modification is required.
2. Submit completed IRB forms with the advisor's signature and the proposal. Include the proper number of copies and follow all instructions to the letter.

Forms

Required Forms

There are a number of forms that must be completed and submitted to the Graduate School; these forms are available on the Graduate School web site (<http://gradschool.unc.edu/forms/#doctoral>). Other forms are required by the Department. Whether required by the Graduate School or Department, all forms should be submitted to the ***HPM Student Services Office*** so they can be placed in students; permanent files. Students should ***NEVER*** submit forms directly to the Graduate School.

	Report	When filed	Responsible party
1	<i>Curriculum vitae</i>	Each year (February 1)	Student
2	<i>Doctoral Exam Report Form— Part I: Report of the Preliminary Written Examination</i>	After taking comprehensive exams	Student
3	<i>Report of the Doctoral Committee Composition</i>	After assembling dissertation committee	Student
4	<i>Report of the Approved Dissertation Project</i>	After successfully defending the dissertation proposal	Student
5	<i>Doctoral Exam Report Form— Part II: Report of the Oral Examination</i>	After successfully defending the dissertation proposal	Student
6	<i>IRB Approval (Initial and Annual, if required)</i>	As per IRB guidelines	Student
7	<i>Application for Graduation</i>	Completing all requirements (except dissertation defense), about 3 months before graduation	Student
8	<i>Doctoral Exam Report Form— Part III: Report of the Final Oral Examination</i>	After successfully defending the dissertation	Committee Chair
9	<i>Doctoral Exam Report Form— Part IV: Report of the Final Dissertation</i>	When submitting dissertation to the Graduate School	Committee Chair
10	<i>Annual Progress Report for Students Enrolled in Dissertation Hours (HPM 994)</i>	Each year (June 30)	Student and Advisor

1. ***Curriculum Vitae (Filed by February 1 of each year)***: Students must provide a copy of their current curriculum vitae to their advisor and to the HPM Student Services Office. The curriculum vitae should describe students' research, teaching, and service activities. Having this form on file is essential for assigning students' activities (research/teaching assistantships), identifying potential funding sources, and making decisions about student awards.

2. *Doctoral Exam Report Form—Part I: Report of the Preliminary Doctoral Written Examination.* This form is filed after taking written comprehensive exams and is filed regardless of whether the outcome of the examination is a pass or fail. The student is responsible for completing this form, obtaining the signature of the Director of the PhD Program, and filing the form the HPM Student Services Office.
3. *Report of the Doctoral Committee Composition.* This form is submitted to the HPM Student Services Office after assembling a dissertation committee. The committee must be approved by the Director of the PhD Program, the chair of the dissertation committee, and the Graduate School. Note: Students are responsible for submitting curriculum vitae of members who are not part of the UNC faculty to the HPM Student Services Offices so that they may be appointed to the Graduate School to serve on their committees.
4. *Report of the Approved Dissertation Project.* This report is filed after the dissertation committee judges the dissertation project to be feasible and advises the student to proceed with the proposal research. The student is responsible for filing this form with the HPM Student Services Office.
5. *Doctoral Exam Report Form—Part II: Report of the Oral.* This form reports the results of the dissertation proposal defense, and is filed regardless of whether the student passes or fails the examination. The Graduate School does not consider a student to have passed the oral examination, and therefore to be eligible for doctoral candidacy, until it receives this report. The Dissertation Committee Chair is responsible for filing this form.
6. *IRB Approval:* Initial and annual approvals from the IRB should be submitted to your faculty advisor and the HPM Student Services Office. Additional information can be found in the Ethics, Institutional Review Board, and HIPAA section of this manual.
7. *Application for Graduation (Filed after completing all requirements except dissertation defense, about 3 months before graduation—please check University calendar for the exact filing date):* Degrees are awarded three times a year; May, August, and December. A student who expects to finish soon must notify the department and the Graduate School of their intention to graduate by submitting an application for graduation on a specific date. In order to have the degree awarded at the desired time, all degree requirements must be completed (except the dissertation defense) no later than the deadline specified in the University Registrar's Calendar for the relevant commencement. The Graduate School cannot make exceptions to this rule. The student is responsible for filing this form.
8. *Doctoral Exam Report Form—Part III: Report of the Final Oral Examination.* The final oral examination takes place at the time of the dissertation defense. The Dissertation Committee Chair is responsible for submitting this form to the HPM Student Services Office.
9. *Doctoral Exam Report Form—Part IV: Report of the Final Dissertation.* This form, signed by the Committee Chair, certifies that the final document is approved for electronic submission. The Dissertation Committee Chair is responsible for submitting this form to the HPM Student Services Office.
10. *Annual Progress Report for Students Enrolled in Dissertation Hours (HPM 994).* This form should be submitted on June 30 of each year to the HPM Student Service Office and will be included in students' permanent file. Students should provide copies of this form to their dissertation committee members (if the committee has been formed).

Additional Forms

- *Change of Advisor Request*: This form is filed whenever the student requests a change in either advisor or committee member.
- *Application for Admission to Candidacy for a Doctoral Degree (Optional: for students who are “all but dissertation”)*: A student who has completed all course work, passed the comprehensive exam, and defended the dissertation proposal may submit an application for a Certificate of Candidacy.

PhD Checklist

<i>Requirement</i>		<i>Student's Name</i>		
<i>Course Number</i>	<i>Course Title</i>	<i>Semester(s) Completed</i>	<i>Credits</i>	<i>Pertinent notes: all substitutions and exemptions.</i>
Prerequisites¹				
BIOS 600	Principles of Statistical Inference		3	
HPM 496	Math and Stata Modules		1	
HPM 754	Health Care in the United States: Structure and Policy		4	
EPID 600	Principles of Epidemiology		3	
HSR/HSR Methods				
HPM 870	Health Services/Health Policy Research Methods I		3	
HPM 885	Health Services/Health Policy Research Methods II		3	
HPM 886	Advanced Applications in Research Methods		3	
Analytical Methods				
HPM 881	Linear Regression Models		3	
HPM 882	Advanced Methodology in Health Policy and Management		3	
HPM 883	Analysis of Categorical Data		3	
Minor Requirements	All students must take an 18 credit hours that include both the requirements for their minor area (typically five 3-credit courses— see section on minors) plus one 3-hour health policy elective (described below). Specific courses vary with the students' interests. _____ _____ _____ _____	_____	18	
Minor		_____		

Professional Development¹				
HPM 871	Seminar in Teaching Health Policy and Management Date served as Teaching Assistant		1	
HPM 994	Developing Proposals for Health Services and Policy Research		3	
HPM 873	Research Seminar in Health Policy and Management		2	
HPM 874	Advanced Research Seminar in Health Policy and Management		4	
Dissertation Hours				
HPM 994	Doctoral Dissertation Hours (Does not count towards 43 hours)		Variable	
Total Credit Hours (Minimum of 43 Hours, not Including Prerequisites or Dissertation Hours)				
		Date passed/completed		
Report of the Preliminary Written Exam (Comprehensive exam): Doctoral Exam Report Form Part I				
Report of the Oral Examination (Dissertation Proposal Defense): (Doctoral Exam Report Form Part II				
Report of the Final Oral Examination (Dissertation Defense): Doctoral Exam Report Form Part III				
Approval of Final Electronic Dissertation: Doctoral Exam Report Form Part IV				
¹ Neither prerequisites nor HPM 994 (Doctoral Dissertation Hours) count towards the required 43 credit hours. HPM 871 is taken during the semester in which the student is a teaching assistant. All students are required to take HPM 873 during the fall and spring semesters of their first year (total of 2 credit hours) and HPM 874 during the fall and spring semesters for their first two years (total of 4 credit hour).				

**Annual Progress Report for Students Enrolled in Dissertation Hours
HPM 994**

Name: _____ Advisor: _____
Year Entered PhD Program: _____

Please provide a copy of the signed progress report to the HPM Student Services Manager, Advisor, and Dissertation Committee members (if applicable) by June 30. The advisor is encouraged to make comments on the back of this form.

If you have not defended your dissertation proposal:

Please describe your progress during past year and anticipated date of proposal defense.

If you have defended your dissertation proposal:

Date passed: _____
Committee Members: _____

Please describe your progress during the past year, goals for the next year, and anticipated timeline for completion. Also, please attach the abstract from your dissertation proposal; if your topic has changed substantially, please attach a revised abstract.

Other Activities:

Please describe teaching and other research activities (including manuscripts and publications).

Signature of Faculty Advisor: _____

_____ Date

Signature of Student: _____

_____ Date

Department of Health Policy and Management Performance Standards for PhD Advisors and Students

Advisor Performance Standards

Advisors are responsible for helping their students with critical aspects of their students' development, including: selecting courses; offering career advice; developing professional skills; identifying research and funding opportunities; preparing manuscripts and grants; encouraging progress on the dissertation (including helping prepare for their proposal and dissertation defenses); networking with investigators (both locally and nationally); and searching for jobs. With this in mind, specific performance standards include:

- Hold regular meetings with each advisee (in-person or by phone): at least twice/semester while students are enrolled in courses full-time; more frequently after comprehensive examinations, when students begin work on their dissertation.
- Hold additional meetings requested by students, as reasonable and appropriate in a timely fashion.
- Discuss expectations for students and faculty
- Provide timely feedback (usually within 2-3 weeks) on draft manuscripts and dissertation chapters.
- Review graduation check list annually.
- Sign off on progress reports for students in HPM 994 (Doctoral Dissertation Hours) annually.

Students' Performance Standards:

Students are responsible for consulting with their advisor about their dissertation; regularly updating the advisor about their progress in the PhD program; keeping dissertation committee members updated about progress on their dissertation; and informing the advisor of any personal or professional situations that may affect their progress (e.g., jobs, teaching activities, non-HPM degrees, funding received). With this in mind, specific performance standards include:

- Participate in regular meetings with his/her advisor (as described above).
- Provide an updated copy of their CV to the advisor and HPM Student Services Office by February 1 each year.
- For students enrolled in HPM 994, provide annual progress reports to the advisor, dissertation committee members, and the HPM Student Services Office by June 30 each year.
- Satisfy all IRB requirements and remain current on all required research training.
- Insure that they are meeting all Departmental and Graduate School requirements (e.g., forms, documents) by completing the graduation check list and reviewing it with their advisor annually.
- Provide the advisor with their final paper in HPM 994 (Developing Proposals for Health Services and Health Policy Research), as well as comments from the instructor.
- Provide the dissertation committee with sufficient time to read thoughtfully and comment on their dissertation proposal (typically at least 2 weeks in advance of proposal defense) or dissertation (typically at least 2-4 weeks in advance of the final dissertation defense).