

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

Guidelines and Procedures

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

2007-2008 Academic Year
Revised February 9, 2006

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 HPAA departmental Web site (<http://www.sph.unc.edu/hpaa/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 through its duly appointed and elected officers and representatives, 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, 2-3 student representatives, and alumni. This committee will advise the 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.

Degree Requirements

Please note: All UNC courses will have new numbers beginning fall 2006. This, and other documents on the web site, will use the new course numbers; however, old course numbers will be listed in brackets.

Overview

The PhD program is designed to provide students the academic foundation and research experience to become independent and creative researchers. The program normally takes four years to complete. It requires a minimum of two years in residence, the completion of 44 credit hours, and a semester-long paid teaching assistantship. Students take required courses in HPAA core seminars, methods, minor area, and health services. Current minors include decision sciences, economics, epidemiology, finance, political science/public policy development, quality and access, and sociology/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.

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. Participate in teaching a course in health policy or health administration
15. Explain research to various audiences (e.g., policymakers, health care professionals, general public, journalists).

Prerequisites

A master's degree, or equivalent experience, is required. Students must have a strong background in statistics, linear (matrix) algebra, calculus, and computer programming. Students who need to review this material can take the math module (HPAA 496-16 [HPAA 140-16]) and the computer module (HPAA 496-27 [HPAA 140-27]) during the first year. The other two prerequisite courses are Evolution, Organization and Financing of the U.S. Health System (HPAA 564 [HPAA 220]), and Principles of Epidemiology (EPID 600 [EPID 160] or equivalent). Although these courses (or their equivalents) should be taken prior to admission, students can take the prerequisites during the first two years but credits earned will not count towards the required 44 credit hours. The prerequisites must be taken before the written comprehensive examination.

Course Requirements

A total of 44 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 insure 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]

- HPAA 870 [HPAA 300]: Seminar on Health Services and Policy Research (3 credits)
- HPAA 885 [HPAA 301]: Methods in Health Services Research (3 credits)
- HPAA 886 [HPAA 302]: Qualitative Research Methods (3 credits)

Analytical Methods [9 credit hours]

- HPAA 881 [HPAA 273]: Linear Regression Models (3 credits)
- HPAA 882 [HPAA 371]: Analysis of Panel Data (3 credits)
- HPAA 883 [HPAA 274]: Analysis of Categorical Data (3 credits)

Minor Area/Health Policy Elective [18 credit hours]

Either five 3-credit courses plus a health policy elective (for economics, epidemiology, finance, political science/public policy development, and sociology) **or** six 3-credit courses, including a health policy elective (for decisions sciences and quality/access) is required. The health policy requirement is described below.

Professional Development [8 credit hours]

- HPAA 871 [HPAA 304]: Seminar in Teaching Health Policy and Administration (1 credit)
- HPAA 872 [HPAA 305]: Developing Proposals for Health Services and Policy Research (3 credits)
- *HPAA 873 [HPAA 360]: Research Seminar in Health Policy and Administration (1 credit per semester for first year students)
- *HPAA 874 [HPAA 361]: Advanced Research Seminar in Health Policy and Administration (1 credit per semester for second year students)

*HPAA 873 [HPAA 360] and HPAA 874 [HPAA 361] are Core Departmental Seminars. While credit is given for first and second year students, students in all years are expected to attend.

DPOP 362 [PPES 361] is an additional required seminar for students in the dual PhD Program with Pharmacy

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 HPAA 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. Courses that have been approved to date are listed on our Web site.

Typical Schedule

A typical schedule for PhD students is as follows:

Fall, Year 1	Spring, Year 1	Fall, Year 2	Spring, Year 2
<ul style="list-style-type: none"> • HPAA 870 [HPAA 300] • HPAA 881 [HPAA 273] • HPAA 496 [HPAA 140] (math module)¹ • HPAA 496 [HPAA 140] (Stata software module)¹ 	<ul style="list-style-type: none"> • HPAA 885 [HPAA 301] • HPAA 882 [HPAA 371] 	<ul style="list-style-type: none"> • HPAA 886 [HPAA 302] • HPAA 883 [HPAA 274] 	<ul style="list-style-type: none"> • HPAA 872 [HPAA 305]
<ul style="list-style-type: none"> • HPAA 873 [HPAA 360] • HPAA 874 [HPAA 361] • HPAA 871 [HPAA 304] 	<ul style="list-style-type: none"> • HPAA 873 [HPAA 360] • HPAA 874 [HPAA 361] 	<ul style="list-style-type: none"> • HPAA 873 [HPAA 360] • HPAA 874 [HPAA 361] 	<ul style="list-style-type: none"> • HPAA 873 [HPAA 360] • HPAA 874 [HPAA 361]
<ul style="list-style-type: none"> • Minor 	<ul style="list-style-type: none"> • Minor 	<ul style="list-style-type: none"> • Minor 	<ul style="list-style-type: none"> • Minor
<p>HPAA 564 [HPAA 220] and EPID 600 [EPID 160] 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. HPAA 873 [HPAA 360] and HPAA 874 [HPAA 361] are core Departmental seminars. Students will receive one credit per semester during each of their first two years, but are expected to participate throughout their training.</p>			

Table 1: Achieving Core Competencies through Required Courses

Competency	Course Number										
	870 [300]	885 [301]	886 [302]	881 [273]	882 [371]	883 [274]	872 [305]	873 [360]	874 [361]	871 [304]	Minor Courses
Understand critical issues related to health policy in the United States	X										X
Develop expertise in a substantive area (a minor)											X
Review and synthesize a body of research literature		X									X
Identify and appropriately apply theoretical knowledge and conceptual models in support of health services/health policy research	X						X				X
Develop hypotheses that can be tested in a research project	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
Understand and appropriately apply analytical strategies used in health services/health policy research		X	X	X	X	X	X		X		X
Identify the ethical implications of research methods		X	X				X	X	X		
Interpret and explain the results of research	X			X	X	X	X		X		X
Critically evaluate articles from scholarly journals and research presentations	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				
Make oral presentations to scientific audiences								X	X		
Participate in teaching a course in health policy or health administration										X	
Explain your research to various audiences (e.g., policymakers, health care professionals, general public, journalists)									X		X

Minor Areas

The minor area may be either disciplinary (e.g., economics, epidemiology, finance, political science/public policy development, sociology) 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 the Web site (<http://www.sph.unc.edu/hpaa/academic/doctoral.htm>).

Decision Sciences: The HPAA 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 courses from at least three departments (including Health Policy and Administration).

Economics: The economics minor has three required courses: ECON 710 [ECON 200], either ECON 850 [ECON 250] 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 [ECON 210], a prerequisite for ECON 710 [ECON 200], to refresh their math skills. ECON 700 [ECON 210] begins in early August.

Epidemiology: The epidemiology minor has two required courses: EPID 710 [EPID 168] (4 credits) and EPID 715 [EPID 268] (5 credits). EPID 705 [EPID 158] is a pre-requisite for EPID 715 [EPID 268] but does not count toward completion of the minor. Two additional three-credit courses, not including EPID 600 [EPID 160] or independent study, are required to complete the 15-credit hour requirement. EPID 705 [EPID 158], EPID 710 [EPID 168], and EPID 715 [EPID 268] waitlist non-majors, so students should sign up early (in April for EPID 705/710 [EPID 158/168] and in early October for EPID 715 [EPID 268]). Students must find an advisor in epidemiology, and then complete a Graduate School Minor Declaration form in epidemiology before registering for EPID705/710 [EPID 158/168]. Ideally, to gain the best position on waiting lists, these activities should be done as soon as the student commits to attend UNC. See Nancy Colvin, Assistant to the Chair for Graduate Studies, (966-7459; ncolvin@unc.edu) or Carmen Woody (966-7458; Carmen_Woody@unc.edu) for the requisite form.

Finance: The financial management minor has three required courses and two electives. Required courses include ECON 700 [ECON 210] Basic Quantitative Techniques (3 hours); ECON 710 [ECON 200] Advanced Microeconomic Theory (3 hours); and BUSI 881 [BUSI 381] 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.

Political Science/Public Policy Development: The political science/public policy development minor has two required courses POLI 700 [POLI 210] and either POLI 782 [POLI 260] or POLI 775 [POLI 262] or POLI 771 [POLI 264] and three electives. 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 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 HPAA 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. Students must take courses from at least three departments including Health Policy and Administration. HPAA 762 [HPAA 264] (Quality of Care) is also required of all students who minor in quality and access

Sociology: The sociology minor offers several foci including organizational studies, gender and race, demography, medical sociology, stratification, and labor markets. All students minoring in sociology are required to take a graduate level course in sociological theory--SOCI 700 [SOC 200] or its equivalent--and a Doctoral Seminar in Organization Theory and Health Services Research Organizations--HPAA 930 [HPAA 330]. Students who focus on organizational studies must also take SOCI 860 [SOC 245] and BUSI 851 [BUSI 351]. Other electives may be taken to meet the credit hour requirement. Students interested in other foci can consult with faculty within the minor.

Dual Program with Pharmacy

The Department of Health Policy and Administration offers a collaborative PhD program with the Division of Pharmaceutical Outcomes and Policy (DPOP); this Division was formally known as Pharmaceutical Policy and Evaluation Sciences (PPES) in the School of Pharmacy. The overall goal of this program is to prepare students for research careers in pharmaceutical policy in academia, industry or government. Students in this program are required to take DPOP 362 [PPES 361], "Pharmaceutical Outcomes and Policy Seminar" and have a faculty member from the School of Pharmacy on their dissertation committee. Students can compete for a Pharmacoeconomics/Health Outcomes Fellowship sponsored by GlaxoSmithKline. This two-year fellowship program provides an excellent opportunity for students to gain unique and in-depth applied work experience directly linked to completion of their dissertation.

Earning Degrees from Other Departments

While taking courses and having minors 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 HPAA; thus, HPAA would not provide financial support (i.e., tuition, stipend). If you nevertheless consider this option, HPAA requires approval from the student's adviser, PhD Program Director, and Chair **in advance of applying to another department.**

Teaching

A core competency of the PhD Program is to prepare students to be effective classroom teachers. To fulfill this competency, students must complete HPAA 871 [HPAA 304] **and** be a paid teaching assistant (TA) at some point during their training. HPAA 871 [HPAA 304] 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 (e.g., Center for Teaching and Learning) 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:

- 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 PhD Program Director can help.

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 policy and administration. 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.**

Three-paper Dissertation Option

Description: Most students write a traditional doctoral dissertation. However, students have the option of writing the dissertation in the form of three papers. The three-paper dissertation 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.

Approval: The three-paper dissertation option must be approved by the dissertation committee and the Director of the Doctoral Program. Typically, this approval is given when the proposal is defended. As students develop their research, they may decide that the three paper 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-paper 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 paper 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. All examinations are given under the University Honor Code.

Comprehensive Written Examination: 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 spring semester. Students may take the comprehensive exam only after completing all prerequisite and required courses, other than being a TA as part of HPAA 871 [HPAA 304], HPAA 873 [HPAA 360], or HPAA 874 [HPAA 361]. In no circumstance will the comprehensive exam be scheduled on a special basis. The comprehensive exam consists of three parts:

1. Health Services/Research Methods: HPAA 870 [HPAA 300], HPAA 885 [HPAA 301], HPAA 886 [HPAA 302].
2. Analytical Methods: HPAA 882 [HPAA 273], HPAA 883 [HPAA 371], HPAA 881 [HPAA 274],
3. Minor Area (including Health Policy Elective).

Each part is scheduled for a different day (e.g., Monday, Wednesday, and Friday), typically 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 HPAA 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**, **marginal pass**, and **fail**.

- **Pass** indicates that the student has sufficient command of the content to continue with graduate studies and write a dissertation.
- **Marginal pass** 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: retaking at the next scheduled offering that section of the exam on which the student was deficient; doing independent study; taking a formal course for credit; or providing oral clarification.
- **Fail** indicates that the student must retake the comprehensive exam. According to Graduate School regulations, a student who fails the examination may not retake the examination a second time until at least three months have elapsed.

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 Doctoral Program and made a part of the student's personal 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: 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 should resemble an R01 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 HPAA 871 [HPAA 304], HPAA 873 [HPAA 360], and HPAA 874 [HPAA 360] 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 (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 HPAA 994 [HPAA 394] during the semester in which the final oral exam is held, even if it is summer.

HPAA 994 [HPAA 394] (Doctoral Dissertation Hours): PhD students who have completed their comprehensive examinations should enroll in HPAA 994 [HPAA 394] and should remain continuously enrolled in HPAA 994 [HPAA 394] until they complete their PhD; these hours do not count towards the 44 required for graduation. Students who make satisfactory progress towards completing their dissertation will receive a temporary grade of S from their dissertation advisor, who is the instructor of record. To assess progress, students enrolled in HPAA 994 [HPAA 394] must complete an annual progress report with their advisor (See Appendix 2). Once they have successfully passed their dissertation, students will receive a permanent grade (either P or H) for HPAA 994 [HPAA 394].

Advisor and Dissertation Committee

Advisor

Faculty advising is one of the most important factors to students' successfully completing their doctoral studies. The faculty advisor serves in 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 advise the student. 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. There are many factors that 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 Department's registrar. Please note that faculty advisors must have a doctoral degree, be regular members of the Graduate Faculty, and have a full faculty appointment in HPAA.

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 (and also by the Director of the Doctoral Program in Pharmacy, if in the collaborative 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 HPAA Registrar's office 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 as a whole must have:

- at least five members (more are allowed, but strongly discouraged),
- a strict majority be members of the Graduate Faculty (e.g., 3 of 5, 4 of 6),
- a strict majority be members with their primary appointment in HPAA, and
- at least one member represent the minor area.

The Dissertation Chair must:

- have a doctoral degree,
- be a faculty member (either tenured, tenure track, or non-tenure track) with his or her primary appointment in HPAA.

Each Committee Member must have a doctoral degree.

Committee members who are not members of the HPAA Faculty must be appointed to the Graduate School for the duration of the dissertation work. To do this, students must submit the faculty member's CV, date of birth, and social security number to Human Resources in the HPAA Business Office. Notably, this process may take up to six weeks, and it is the student's responsibility to initiate this process. Although non-UNC faculty members must be appointed to the Graduate Faculty, it is *not* necessary for them to be appointed as adjunct faculty.

Operation of the Dissertation Committee

Students should stay in close contact with their advisor throughout the entire dissertation process. 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 regularly (at least once per semester) inform all committee members about their progress, even when progress is slow. This may be done via mail, meetings, or less formal conversations. Students are also responsible for notifying committee members when there are substantive changes in their dissertation (e.g., conceptual model, research design, analysis). Students should consider using each committee member differently, relying on the strengths that each member brings to the team.

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) can 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 leave of absence is requested and granted. 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. The 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 come 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. HPAA 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 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 HPAA
- 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

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

UNC Campus: On campus, HPAA 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 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 such

as RTI International (RTI) www.rti.org, Family Health International www.fhi.org, GlaxoSmithKline www.gsk.org, Quintiles, Medical Review of North Carolina, 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 HPAA. The Triangle Health Economics Seminar, jointly sponsored by HPAA, draws faculty and students from UNC, Duke, RTI, North Carolina State, and UNC-Greensboro. The UNC economics department www.unc.edu/depts/econ/ offers health economics as a field, headed by John Akin (Department Chair) and Donna Gilleskie (1999 winner of the Arrow Award for the best paper in health economics). The Duke Economics Department includes Frank Sloan (Director of the Center for Health Policy, Law and Management www.hpolicy.duke.edu) and Henry Grabowski (Director of the Program in Pharmaceuticals and Health Economics). 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

Two offices (1103A, 1103B) 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 two offices. Rooms 1102E and 1106 (Career Services Area) offer space to all HPAA students (Bachelors, Masters, and Doctoral). While these offices do not have computers, the first floor of McGavran Greenberg offers a wireless environment. The School of Public Health computer room on the second floor of McGavran-Greenberg is open to all students.

Student Awards

Each year HPAA awards the Jean G. Yates Award to the outstanding HPAA 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

Ethics, Institutional Review Board, and HIPAA

Ethics and Honor Code

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 School of Public Health's IRB (<http://www.sph.unc.edu/irb/>) must review all research involving human subjects (including dissertations and class research projects). 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. Additionally, in the not-so-distant future, the University will track the IRB status of all dissertations and theses submitted to fulfill degree requirements; **dissertations not approved/reviewed will not be accepted for graduation. 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.**

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, the 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/>. **Early in the first semester, students should:**

1. Obtain training from an approved ethics training course. The SPH IRB website (<http://www.sph.unc.edu/irb/>) 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).
2. Complete HIPAA training (<http://www.unc.edu/hipaa/>).
3. Complete the Office of Sponsored Research (OSR), formerly known as the Office of Research Services, self-certification form, available in Word or Adobe format from the web and submit it with the certificate of completion to OSR. Students can then obtain a copy of their University Ethics Training Certificate from the University's Human Subjects Training Database.
4. Print a copy of the University Ethics Training Certificate and retain for submission with future IRB applications.

Conducting Research for Courses

Many instructors require students to conduct research projects that lead to manuscripts that could be submitted for publication (the faculty strongly encourages students to publish peer-reviewed papers).

1. Complete the IRB application as described on the website <http://www.sph.unc.edu/research/irb/forms/index.htm>. For projects involving the analysis of secondary data, please follow the instructions on the form, completing Sections 1 and 9 through 13. [Again, these detailed instructions may change. Consult the website to obtain the most up-to-date information.] The signature of the course instructor or advisor is required.
2. Develop a brief description of the project; this may be a copy of the assignment or a one-page project protocol.
3. Submit to the IRB the appropriate number of copies of the application, the brief proposal, and the University Ethics Training Certificate for both the student and the advisor. The exact number of copies for each item is listed on the IRB Web site.

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 significant modifications are made to the proposal, then IRB approval of the modification is required.
2. Submit completed IRB forms with the advisor's signature, the proposal and University Ethics Training Certificates for the student and the advisor. Include the proper number of copies.

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

Forms

Required Forms

There are a number of forms that must be completed and submitted to the Graduate School during the doctoral program. All required forms are available from the HPAA Student Services Office. Students should check with the Student Services Staff to ensure that the appropriate forms are filed on their behalf and at the appropriate times. **ALL FORMS SHOULD BE SUBMITTED TO THE STUDENT SERVICES OFFICE. STUDENTS SHOULD NOT SUBMIT ANY FORM DIRECTLY TO THE GRADUATE SCHOOL.**

	Report	Filed after	Responsible party
1	<i>Curriculum vitae</i>	Each year	Student
2	<i>Preliminary Doctoral Written Examination</i>	Taking written comprehensive exams	Program Director
3	<i>Doctoral Committee Composition</i> <i>Note: When applicable, students are responsible for submitting forms to have non-UNC faculty appointed to the Graduate School to serve on their committees.</i>	Assembling a dissertation committee	Student
4	<i>Approved Dissertation Project</i>	Defending the dissertation proposal (first oral examination)	Student
5	<i>Oral Examination</i>	Defending the dissertation proposal (first oral examination)	Committee Chair
6	<i>IRB Approval (Initial and annual, if required)</i>	Receiving IRB approval	Student
7	<i>Application for Graduation</i>	Completing all requirements (except dissertation defense), about 3 months before graduation	Student
8	<i>Final Oral Examination</i>	Defending the final dissertation	Committee Chair

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 PhD Program Director. 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. **Report of Preliminary Doctoral Written Examination—Part I: Doctoral Exam Report Form (Filed after taking written comprehensive exams):** This form reports the results of the written comprehensive exam and is filed regardless of whether the outcome of the examination is a pass or fail. The Director of the PhD Program is responsible for filing this form for PhD students.
3. **Report of Doctoral Committee Composition—Part I: Report of Doctoral Committee Composition & Report of Approved Dissertation Project (Filed after assembling a**

dissertation committee): The doctoral dissertation committee must be approved by the Director of the PhD Program, the chair of the dissertation committee, and the Graduate School. Often this form is completed at the same time as the oral defense of the dissertation proposal. The student is responsible for filing this form.

4. *Report of Approved Dissertation Project—Part II: Report of Doctoral Committee Composition & Report of Approved Dissertation Project (Filed after defending the dissertation proposal—first oral examination):* The dissertation committee signs this form indicating approval of the proposed dissertation project. The working title of the dissertation is filed with the Graduate School. The student is responsible for filing this form.
5. *Report of Oral Examination—Part II: Doctoral Exam Report Form (Filed after defending the dissertation proposal—first oral examination):* 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 (Filed after receiving final approval from the IRB):* See section on IRB. If your research receives approval, you will need to submit the project for review annually. Please provide copies of renewed approval to your faculty advisor and the Student Services Office.
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 (2nd Friday in October for December graduation; 2nd Friday in February for May graduation; 2nd Friday in June for August graduation.) for the relevant commencement. The Graduate School cannot make exceptions to this rule. If the student submits an application but does not satisfy the degree requirements by the deadline for graduation (e.g., because of a failed final oral examination, outstanding grade of IN, etc.), the application will roll forward to the next commencement. After one year a new graduation application must be submitted. The student is responsible for filing this form.
8. *Report of the Final Oral Examination—Part III: Doctoral Exam Report Form (Filed after defending the final dissertation):* The final oral examination takes place at the time of the dissertation defense. The dissertation committee chair is responsible for filing this form.

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.

- *UNC General Alumni Association Personal Data Summary for Graduate Degree Candidates, a Survey of Earned Doctorates*: Filed when the student delivers the final copy of the approved dissertation to the Graduate School.
- *University Microfilms' Doctoral Dissertation Agreement Form*: Filed when the student delivers the final copy of the approved dissertation to the Graduate School.

**Annual Progress Report for Students Enrolled in Dissertation Hours
HPAA 994 [HPAA 394]**

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

Please provide a copy of the signed progress report to the Registrar and PhD Program Director by June 30. Faculty are 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 Administration
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 formal progress reports for students in HPAA 994 [394] (Doctoral Dissertation Hours) annually.

Students' Performance Standards:

Students are responsible for consulting with the advisor about their dissertation; regularly updating the advisor about their progress in the PhD program; and informing the advisor of any personal or professional situations that may affect their progress (e.g., jobs, teaching activities, non-HPAA 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 the Director of the PhD Program annually.
- 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 HPAA 872 [305] Developing Proposals for Health Services and Health Policy Research, as well as comments from the instructor.
- Provide the PhD committee with sufficient time to read thoughtfully and comment on their dissertation proposal (at least 2 weeks in advance of proposal defense) or dissertation (at least one month in advance of the final dissertation defense).