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

2020—2021 Academic Year

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 website (https://sph.unc.edu/hpm/hpm-program-guidelines/). Students will be held to the requirements and checklist for the year they matriculated into the program.

In case 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.

PhD Advisory Committee
The PhD Advisory Committee guides decisions about the admissions, curriculum, and operations of the PhD Program. The Committee is comprised of the Program Director, one faculty representative from each minor, at least four students (typically, one representative from each cohort), and at least one alumnus. Having diverse faculty, student, and alumni membership ensures that the Committee brings multiple perspectives on the policies, procedures, decision-making, and direction of the PhD program.

Graduate School Handbook
Additional information on the governance of and regulations for doctoral study are contained in the Graduate School Handbook (http://handbook.unc.edu/), 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 regulations have been incorporated in part in these Guidelines and Procedures, but additional, essential regulations are given only in the Graduate School Handbook. In case 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 https://studentconduct.unc.edu/.

Degree Requirements

Mission
The mission of the PhD Program in Health Policy and Management (HPM) is to provide students with the academic foundation, competencies, and research experience to become leading health services/health policy researchers who will improve the health and health care of populations in the United States and globally. The program accepts students who have varied academic, professional, and personal backgrounds and interests and prepares them for research and policy careers in diverse settings, including academia, contract research organizations, government agencies, health care systems, and the private sector.

Overview

All HPM students take required courses in health services research, research design, analytic methods, and health policy. In addition, students develop expertise in a minor area. Current minors include: Decision Sciences and Outcomes Research; Economics; Financial Management; Health Politics and Policy; Quality and Access; and Organization and Implementation Science. Students must pass written comprehensive examinations after completing 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 to five years. Appendix 1 provides important suggestions for facilitating the PhD process. ***Students are strongly encouraged to review this Appendix***.

Competencies

Competencies define what students should know and be able to do upon completion of the PhD. The curriculum is designed to provide HPM students with the following competencies necessary for a career in health services/health policy research:

1. Identify and appropriately apply theoretical knowledge and conceptual models in support of health services/health policy research

2. Develop policy relevant hypotheses that fill a gap in the field that can be tested in a research project

3. Select appropriate research designs and methodologies for health services/health policy research

4. Understand and appropriately apply analytical strategies used in health services/health policy research

5. Interpret and explain the results of their research project from the perspective of their minor area

SPH/HPM Foundational Courses ("Prerequisites")

SPH/HPM Foundational Courses are courses that are viewed as necessary for PhD students in Health Policy and Management to complete as early as possible during the PhD program. Credits earned for SPH/HPM Foundational Courses do not count towards the required 46 credit hours. The SPH/HPM Foundational Courses must be taken before the written comprehensive examination.

There are three SPH/HPM Foundational Courses for HPM PhD students:

- HPM 754 (Health Care in the United States: Structure and Policy): it is strongly recommended that students who have not taken this 3-hour course or its equivalent do so in their first semester.
- EPID 600 (Principles of Epidemiology for Public Health) or EPID 710 (Fundamentals of Epidemiology): This 3-credit hour course provides students with an overview of epidemiological principles and methods.
- Public Health Foundational Learning Objectives ("FLO"), listed as SPHG 600 (Introduction to Public Health Concepts): This 3-credit hour course provides an introduction to public health, including history, key concepts, and terms. HPM 611 (Public Health Concepts in a Systems Context) is a suitable substitution.

To succeed in the analytical methods sequence, students should also be familiar with calculus, basic statistics, and linear algebra (matrix algebra) and Stata, but no specific coursework is required prior to entering the program.

Students with an MSPH or MPH degree from a CEPH-accredited School of Public Health will be exempted from the SPH/HPM Foundational Courses. Students without one of these master's degrees who have taken SPH/HPM Foundational Courses (or their equivalents) prior to matriculation into our PhD program may exempt one or all of these courses. An exemption from a course requires completion of the appropriate form (see Section on Exempting from Required Courses) and permission from the instructor. **Students who plan to exempt a course should do so as soon as possible, preferably before the start of the first year**. All exemption requests should be completed before the end of the first year, as no exemption request is guaranteed to be approved.

Course Requirements

A total of 46 credit hours of coursework, excluding credits for prerequisites and the dissertation (minimum of six credits), are required for the degree. The PhD Program Checklist (Appendix 2) is intended to help students ensure that they have completed all requirements. Students should review their updated checklist with their advisor each semester and upon completion of course work prior to taking comprehensive exams. Students should send the completed, reviewed course checklist to the Academic Coordinator for his/her review prior to taking comprehensive exams. Students must register as full-time students (at least nine credit hours) during the fall and spring semesters of the first and second years unless extenuating circumstances exist; a reduced course load requires discussion with, and approval by the PhD Program Director. The required courses, grouped by category, are:

Health Services Research/Research Methods: 9 credit hours
- HPM 884: 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: 12 credit hours
- HPM 880: Principles of Health Policy Research Methods (3 credits)
- 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)

Professional Development: 10 credit hours (7 toward 46 required credit hours)
- HPM 871: Seminar in Teaching Health Policy and Management (1 credit)
- HPM 873: Research Seminar in Health Policy and Management (1 credit per semester during the first year for a total of 2 credits)
- HPM 874: Advanced Research Seminar in Health Policy and Management (1 credit per semester during the first two years for a total of 4 credits)
- 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 during the fall semester of their third year. Because this course is considered part of the dissertation, this course does not count towards the 46 hours required for graduation. Starting in the spring of their third year, students should enroll in 994 using their mentor's section number for all subsequent semesters until they defend their dissertation.

Minor Area Classes: 15 credit hours
In addition to the requirements above, all students must take at least an additional 15 credit hours for their minor area (generally consisting of five 3-credit courses—see section on minors). Minors vary in the mix of required minor area courses and elective minor area

courses. At least one of the minor area classes needs to be a theory-based course. This is further described below.

Health Policy Requirement: 3 credit hours
HPM 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 <u>cannot</u> 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. The decision of whether a particular course can count as a Health Policy course should be made by the student's advisor, who may consult with faculty on the PhD Advisory Committee.

Options for the Health Policy Course include, but are not limited to:

Class	Title	Semester
HPM 718	Mental Health Services Research & Policy	Fall
HPM 757	Health Reform	Spring
HPM 758	Underserved Populations and Health Reform	Fall
HPM 766	Making Equity a Priority in Health Care Quality: Strategies for Research, Policy and Practice	Spring
HPM 790	Advanced Health Policy Analysis and Advocacy	Spring
HBHE 775	Public Health Policy	Spring
PLCY 717	Institutional Analysis for Public Policy	Spring
PLCY 760	Migration and Health	
PLCY 780	Normative Dimensions of Policy Analysis and Research: Theories, Methods, and Ethical Foundations	Spring
DPOP 806	Pharmaceutical policy	Fall (every 2 years)

This list is updated on the UNC HPM PhD website.

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 summer prior to their third year. In the fall semester of Year 3, students take Developing Proposals for Health Services and Policy Research (HPM 994). 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 Chair 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
HPM 880 HPM 884	HPM 881 HPM 885	HPM 882 HPM 886	HPM 883	HPM 994
HPM 873 HPM 874 SPH/HPM Foundational courses	HPM 873 HPM 874 SPH/HPM Foundational courses	HPM 874	HPM 874	
Minor course(s)	Minor course(s)	Minor course(s)	Minor course(s)	

- SPH/HPM Foundational Courses include HPM 754, EPID 600/710, and FLO/SPHG 600. Students are strongly encouraged to take these courses in their first year, but may do so in the semester that best fits their schedules.
- HPM 873 and HPM 874 are required professional development 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 hours). If course conflicts arise between these seminars and other required courses, students can postpone taking 873 and 874 until subsequent years, although they must be completed prior to their dissertation defense.
- HPM 871 (Seminar in Teaching Health Policy and Management) will be taken in the first semester the student serves as a Teaching Assistant. PhD students are required to serve as TA for at least one semester during their time in HPM, described below.

Minor Areas

Minor areas may be either disciplinary or interdisciplinary, but are not specific topics or diseases (*e.g.*, aging, AIDS, child health). Students who want to minor in areas other than those described below 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 of these 3-credit hour courses must be a theory course. A list of faculty and more information on each minor can be found at our website (https://sph.unc.edu/hpm/hpm-degrees-and-certificates/hpm-doctor-of-philosophy-phd-residential/).

Decision Sciences and Outcomes Research: The minor in Decision Sciences and Outcomes Research (DSOR) is an interdisciplinary program that prepares PhD students to focus on (1) methods for analyzing potential tradeoffs in benefits/harms and costs of healthcare decisions from a systems perspective, and (2) how to measure, analyze, and apply patient-reported outcomes (PROs, e.g., symptoms, functional status) assessment to important health conditions. All minor students are required to take HPM 772 (Techniques for the Economic Evaluation of Healthcare); and HPM 794 (Patient-Reported Outcomes Measurement and Application in Healthcare Research and Practice). Additional required minor courses will depend upon whether students choose the decision sciences (DS) modeling or outcomes research (OR) track in consultation with the student's minor advisor. Electives are tailored to each student. OR students are encouraged to use electives to develop expertise in a content area related to specific health area(s) (e.g., cancer, pediatrics, mental health, etc.), health systems (global health, etc.), implementation science, and/or another relevant area for the student's dissertation and career ambitions. Minor requirements vary by track, and are more fully described in the table below.

Economics: Students in the economics track have the flexibility to take field courses in a number of areas of microeconomics for a total of 15 credit hours. Students must take a course in Intermediate Microeconomic Theory at the doctoral level or receive an exemption if they have already taken such a course. Students can take a Microeconomic Theory course from one of two venues: (a) through the Economics Department at UNC or (b) through the Department of Public Policy. Taking Microeconomic Theory through the Economics Department involves taking Math Methods (Econ 700, which typically begins in early August) and Microeconomic Theory (Econ 710). Taking Microeconomic Theory from Public Policy involves taking a sequence of THREE courses: Mathematical Preparation for Public Policy and Economics (PLCY 700, which also meets the 2-3 weeks before the start of the semester), Advanced Economic Analysis for Public Policy (PLCY 788), and Advanced Economic Analysis for Public Policy II (PLCY 789). The remaining units in Economics can be taken from more advanced courses, such as Health Economics (Econ 850), Labor I (Econ 880), Labor II (Econ 881), Empirical IO (Econ 847) or other courses. Students can also choose from courses Duke or NC State in advanced microeconomics, labor economics, public finance, economics and population, econometrics, or other advanced topics in microeconomics. In addition, all health economics students are expected to attend the Triangle Health Economics Workshop (http://thew.web.unc.edu/) each semester. Students may receive one unit of credit for participating in the Triangle Health Economics Workshop seminars each semester by enrolling in HPM 815, for up to 3 units of credit towards the minor (but are expected to participate whether or not they receive credit).

Financial Management: The financial management minor has three required courses and two electives. Required courses include PLCY 700 Math Camp (3 hours); PLCY 788 Advanced Economic Analysis for Public Policy I (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 and HPM 766 are required of all students who minor in quality and access.
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Organization and Implementation Science: The fields of organizational theory and behavior and implementation science are complementary because implementation of evidence-based health interventions frequently occurs within health organizations, and efforts to change practice patterns frequently focus on organizational members. The Organization and Implementation Science minor equips doctoral students with the knowledge and skills necessary to obtain faculty positions in health care organization and management and/or implementation science. All students in the minor are required to take one foundational course in both organizational theory and implementation science. Also required are three additional minor courses, which must be approved by the student's advisor.

Minor Area Requirements and Electives

Minor	Required	Electives	Theory Courses
DSOR courses required for both DS and OR tracks	**HPM 772** Techniques for the economic evaluation of health care (3 credits, core DS course) **HPM 794** Patient-reported outcomes (3 credits, core OR course)	See track-specific details below	**DSOR courses required for both DS and OR tracks**
DSOR – DS modeling track	**6 core DSOR credits described above PLUS:** **HPM 770** Spreadsheet modeling/ Operations Research (3 credits) **HPM 785** Advanced simulation modeling (3 credits)	(There is no room in the DS track for electives within the 15 required courses, but students can take these as their schedules permit): • HPM XXX (course number pending): Systems Thinking and Collective Impact • HPM 749 Data Visualization • Engineering courses at NC State, such as ISE 762 • Operations Research courses in STOR • EPID 827 (Social Epi, 2 credits) • PLAN 722 (System Thinking & Modeling for Planners) • DPOP 804: Introduction to Healthcare Database Research • SOCI 728 (Social Networks at Duke) • GEOG 541 (GIS in Public Health) • coursework in EPI and BIOS on survival analysis, meta-analysis, logic • SOC, PSYCH, HB courses on structural equation modeling (cross-sectional or longitudinal)	Any one of: DPOP 803: Social and Behavioral Aspects of Pharmaceutical Use HPM 767: Implementation Science SOCI 700: History of Social thought PLCY 788 SOCI 728: Social networks (at Duke) BUSI 851: Micro organizational behavior

Minor	Required	Electives	Theory Courses
		• Machine learning, data mining	
DSOR – OR track	**No additional specific courses are required of the OR track beyond the 6 core DSOR credits described above.**	• HBEH 795: E-Health • HPM 620: Implementing Health Informatics Initiatives • HPM 749: Data Visualization • HPM 769 (1 credit): Cancer Outcomes Research Seminar • HPM 760: Healthcare Quality and Information Management • HPM 762: Quality of Care • HPM 766: Making Equity a Priority in Health Care Quality • HPM 781 (1 credit): Seminar in Comparative Effectiveness Research • PSYC 844: Structural Equation Modeling • EPID 711: Clinical Measurement and Evaluation • HPM 565: Global Health Policy • DPOP 803: Social and Behavioral Aspects of Pharmaceutical Use • DPOP 902: Methods in Pharmaceutical Outcomes Research • EPID 735. Cardiovascular Epidemiology • EPID 757: Epidemiology of HIV/AIDS in Developing Countries • EPID 771: Cancer Epidemiology: Survivorship and Outcomes • EPID 826. Introduction to Social Epidemiology	• HBEH 763: Scale Development Methods • PSYC 859: Item Response Theory • HPM 767: Implementation Science • MHCH 728: Introduction to Implementation Research and Practice in Maternal, Child and Family Health • HPM 765: Cancer Prevention and Control Seminar • HBEH 715: Communication for Health-Related Decision Making • HBEH 749: mHealth for Behavior Change • HBEH 802/EPID 825: Social Determinants of Health: Theory, Method, Intervention • MHCH 859: Theoretical Perspectives on Maternal and Child Health • NURS 957: From Theory to Intervention

Minor	Required	Electives	Theory Courses
		- MHCH 720: Services for Children with Chronic Conditions - MHCH 722: Global Maternal and Child Health - MHCH 723: Introduction to Monitoring and Evaluation - BIOS 664 (4 credits and has a prerequisite): Sample Survey Methodology - BIOS 667: Applied Longitudinal Data Analysis - NURS 908: Seminar I: Introduction to Nursing Science and Syndemics - NURS 909: Seminar II: Biological, Physiological, Psychological, and Behavioral Determinants of Health - NURS 910: Seminar III: Social Determinants of Health - NURS 978: Principles of Measurement	
Econ	Either: (Econ 700 and Econ 710) OR (PLCY 700, PLCY 788, and PLCY 789)	Elective Options: - Health Economics (Econ 850), - Labor I (Econ 880) - Labor II (Econ 881) - Empirical IO (Econ 847) - Empirical IO II (848) - other economics courses	Econ 710 or PLCY 788
Finance	PLCY 700 Math Camp PLCY 788 Advanced Economic Analysis for Public Policy I and BUSI 881 Theory of Financial Management II	Two or more accounting and/or finance courses offered by the Kenan-Flagler School of Business or the Fuqua School of Business at Duke	PLCY 788
Politics and Policy		Any courses in Political Science, including Public	

Minor	Required	Electives	Theory Courses
		Policy, Journalism and Mass Communication, or Sociology	
OIS	One Implementation Course: Either HPM 767 Implementation Science in Health; PHS 712 Implementation Science (offered at Duke Univ); MHCH 729 Implementation Science for Global Maternal & Child Health, PUBH 718 Designing Systems for Global Health Implementation, PUBH 719 Introduction to Implementation Research & Practice in Public Health, or advisor approval

One Organizational Theory Course: Either HPM 930/NURS 928 Doctoral Seminar in Organizational Theory and Health Care Organizations, BUSI 851 Individual Behavior in Organizations, BUSI 852 Interpersonal and Intergroup Behavior in Business Organizations, BUSI 853 Macro Organizational Behavior, or another course approved by advisor. | Any advisor-approved course. Sample courses include:
• Any course listed as an option for the Implementation or Organizational Theory requirement
• PUBH 730 Quality Improvement in Public Health
• PUBH 781 Community Engagement and Leadership in Health
• HPM 786 Introduction to Participatory Systems Science in Health: Methods Overview
• HPM 794 Patient-Reported Outcomes Measurement and Application in Healthcare •
HBHE 730 Theoretical Foundations of Social and Behavioral Science
• HPM 620 Implementing Health Informatics Initiatives;
• HPM 762 Quality of Care
• PHS 705 Topics in Population Health Sciences I (at Duke) | Organizational Course (HPM 930, BUSI 851, BUSI 852, or BUSI 853) |
| Q&A | HPM 762 (quality of Care) and HPM 766 (Making Equity a Priority in Health Care Quality: Strategies for Research, Policy, and Practice) | Elective Options:
• DPOP 803 Social/Behavioral Aspects of Pharmaceutical Use
• MCH 862 Program Evaluation
• HPM 772 Techniques for the Economic Evaluation of Health Care | Any of HPM 766, PLCY 780, HBHE 730 |

Minor	Required	Electives	Theory Courses
		- HPM 785 Advanced Decision Modeling - HPM 794 Patient Reported Outcomes Measurement and Research - HPM 767 Implementation Science in Health	

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 other than through the MSPH-to-PhD or MD/PhD programs is ***strongly discouraged***. A second non-clinical 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 Required Courses

Students often matriculate into the PhD program having completed coursework that is equivalent to a prerequisite or a required course. Students who wish to be exempted from any prerequisite or required course must: (1) complete required course exemption forms which may be found at http://sph.unc.edu/hpm/hpm-program-guidelines/ for HPM courses and http://sph.unc.edu/students/academic-and-policies/ for SPH courses; and (2) submit the completed form, their relevant transcript, and syllabus or other documentation to the PhD Program Academic Coordinator for approval by the course instructor and Program Director. Notably, exempting from a course means that students WILL NOT receive credit for the course(s). If you believe that you are eligible for credit (e.g., if the course previously taken did not count toward a prior degree), you should discuss your situation with your advisor, the HPM Academic Coordinator, and the Director of the PhD program.

HPM 994 (Doctoral Dissertation Hours):

PhD students who have completed their comprehensive examinations should enroll in 3 units of HPM 994 each semester and should remain continuously enrolled in HPM 994 during the academic year 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 46 required for graduation. During the semester in which they take "Developing Proposals for Health Services and Policy Research," they will receive a grade in HPM 994 from the instructor teaching that course. Otherwise, their dissertation advisor/Dissertation Chair will be the Instructor of record for HPM 994. To assess progress, students enrolled in HPM 994 are strongly encouraged to complete an annual progress report with their advisor (See Appendix 3).

Learning to Work on Multidisciplinary Teams

Successful health services researchers must be able to work effectively on multidisciplinary research teams. All students are expected to form their dissertation committee with

representatives from different disciplines. Some students also participate on such teams with their faculty advisors. However, given the importance of working effectively on multidisciplinary teams, the PhD program expands the mechanisms through which PhD students achieve this competency as follows:

HPM 873 (Research Seminar in Health Policy and Management): This seminar is <u>required</u> for first-year PhD students. This course is a seminar in which senior PhD students, post-doctoral fellows, and faculty present their research to first- and second-year PhD students. In the Fall term, post-doctoral fellows and faculty present proposed, ongoing, or completed research. The objectives are to introduce first- and second-year PhD students to examples of current research in health policy and management and to the research interests and expertise of HPM faculty. In the Spring term, third- and fourth-year PhD students present their dissertation ideas, proposals, or other research. The objectives are to provide examples of dissertation research to first-year PhD students and to provide constructive comments and suggestions about their dissertation research to third- and fourth-year PhD students.

HPM 874 (Advanced Research Seminar in Health Policy and Management): This seminar is <u>required</u> for all first- <u>and</u> second-year PhD students. Each year, this seminar will cover topics that are directly relevant to learning to function on a multidisciplinary team in a research environment.

Dissertation Committee: Dissertation committees include at least three faculty members from HPM; additional members could be from HPM or 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. Facilitating a dissertation committee provides 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.

Teaching

A competency of the PhD Program is to prepare students to be effective classroom teachers. To fulfill this competency, students must complete HPM 871 <u>and</u> 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 in which they serve 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 either on-campus (e.g., the Center for Faculty Excellence (http://cfe.unc.edu)) or outside campus, to aid students in achieving 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.

We recognize that, occasionally, pedagogy may not be consistent with the career plans of a few students. Those students may seek approval for an alternative to the formal TA service requirement, which includes both the teaching component and taking HPM 871. For a substitute to HPM 871, the student could either seek an <u>exemption</u> (receive no credit) or propose an <u>approved substitute</u> (receive credit). The choice and format of the alternative for serving as a TA will be flexible, but will require agreement by the student, advisor, PhD Program Director, and HPM 871 instructor. Two important points: (1) students seeking either alternative will not receive

funding for the alternative from the department, and (2) students who pursue an exemption must be sure they have enough credit hours to graduate.

Shadowing
Many PhD students have little exposure to venues relevant to their research. Students can have a formal shadowing experience with a preceptor (e.g., clinician, policy analyst, senior manager) during their PhD program. 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, but rather it should be a sustained experience. The precise structure and time commitment will be established by the student, the student's advisor, and the preceptor.
- Shadowing experiences often occur during the summer, either after the student's ' first year or after completion of the comprehensive examinations.

Students interested in this opportunity should begin by speaking to their advisor. If the advisor cannot identify a relevant preceptor, the career services office can often help.

Writing Skills
Learning to write for a scientific audience requires skills that differ from other types of writing. We have built into the curriculum several opportunities for students to develop their scientific writing skills, including options to: (1) participate in an NC TraCS Institute-sponsored seminar (Writing from the Reader's Perspective) offered by Dr. George Gopen; or (2) attend the HPM Writing Boot Camp (if offered) immediately before enrolling in HPM 994 (Developing Proposals for Health Services and Policy Research). In addition, several resources are available at UNC to assist students at no cost. The Writing Center (https://writingcenter.unc.edu) offers a dissertation writing bootcamp (https://writingcenter.unc.edu/dissertation-boot-camp/) several times a year. The Writing Center also offers individual tutorials, either in-person or online. This is an outstanding resource for all UNC students. The Writing Center also provides a listing of resources specifically for English as Second Language (ESL) students (https://writingcenter.unc.edu/esl/).

Other Professional Development Opportunities
Our curriculum is designed to provide students with skills they will need in their careers. We also hold professional development seminars that primarily target students who have completed comprehensive examinations and are starting to think more seriously about securing their first job. We hold approximately 2-3 seminars per semester, and students from all years are invited.

A weekly PhD newsletter is produced during the academic year, resources permitting, which also advertises specific job and professional development opportunities. The UNC Graduate School also offers a wealth of opportunities for professional development and interaction with other graduate students across departments and Schools. Students are strongly encouraged to review emails from the Graduate School and to frequently visit their webpage (http://gradprofdev.web.unc.edu/).

Dissertation
Writing a dissertation demonstrates PhD students' ability to synthesize, integrate and apply knowledge and skills from their courses and other learning experiences. 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 dissertation during the spring of their fourth or fifth year. The format of the dissertation should adhere to the guidelines specified in *The Graduate School Thesis and Dissertation Guide,*published by the Graduate School (https://gradschool.unc.edu/academics/thesis-diss/guide/). Notably, all dissertations must be submitted electronically.

Students have the option of writing the dissertation as a traditional monograph or 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, and students can work with their committee to submit approved manuscripts prior to dissertation defense. However, this option generally requires more effort prior to the dissertation defense than a traditional monograph-style 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.

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 purpose of comprehensive exams is to determine whether students possess and can integrate the fundamental knowledge and skills required to conduct dissertation research, that is, whether they can synthesize what they have learned in their courses. Students should be able to understand the strengths and weaknesses of research both conceptually (e.g., how it relates to the other studies) and methodologically (i.e., assessing the strengths and weaknesses of the research design and offering strategies to improve it). Students may take the comprehensive exam only after completing all SPH/HPM foundational and required courses. Comprehensive exams are offered once per year, typically before the beginning of the fall semester and are open book and open-note. .

Requirements for taking comprehensive exams: Students are required to have completed and passed courses related to each exam, including HPM 880-883, HPM 884-886, and all five minor area courses. Students will be allowed to take the comprehensive written exams without completing the required units for HPM 871, HPM 873, or HPM 874, although these requirements need to be completed prior to final dissertation defense. **Students should have completed a course checklist**, reviewed it with their advisor, and submitted it to the Academic Coordinator, the Program Assistant, and the Program Director **at the end of their second year of course work, and at least 2 months prior to sitting for the comprehensive exam**.

Students will take comprehensive exams in three areas:

1. Health Services Research/Research Methods: HPM 884, HPM 885, HPM 886.
2. Analytical Methods: HPM 880, HPM 881, HPM 882, HPM 883
3. Minor Area

All students take the same examination in both Health Services Research/Research Methods and Analytical Methods; these two exams are written and graded by the faculty who teach the

required courses and/or have expertise in these areas. Faculty writing each comprehensive exam will decide: (1) whether there will be articles/readings upon which students are to base their answers (2) the amount of time students will have to write their answers (typically either one or two days); and (3) page limitations for answers. While the comprehensive exams are open-book and open-notes, students should not discuss either the articles, once they are distributed, or the exam questions, once they are released, with anyone, including other students, faculty members, or other individuals. The exams are administered online, allowing students to work wherever is most comfortable for them (including out-of-town). Exam windows are typically during the business day on the Eastern time zone, however.

The comprehensive exams will be graded blinded, typically by the faculty who wrote the exam. The exams are given one of three grades: **Pass**, **Incomplete**, or **Fail**.

- **Pass** indicates that the student has sufficient command of the content to continue with graduate studies and to write a dissertation.

- **Incomplete** indicates that the student is deficient in one or more areas included on the examination. The involved faculty 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 answers in writing; or providing oral clarification.

- **Fail** indicates that the student must retake one or more comprehensive exams. Because comprehensive exams are offered only once per year, students who fail the exam must wait until the following year 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 PhD 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.*

Alternative minor area comprehensive exams: each minor area can establish the format for their comprehensive exam that may differ in format from the HSR and Analytic Method exams. Alternative formats can include: (1) requiring students in the minor to write a publishable manuscript within certain parameters; (2) engaging in a substantive activity, such as generating a simulation model that meets certain specifications; or (3) other approved formats. Alternative minor area exam formats will be established by the faculty lead for each minor area, in consultation with involved faculty from each minor area. The format of alternative minor area exams will be available to students taking the exam before the end of the academic year (e.g., in May before the comprehensive exam).

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 work closely with their PhD advisor and consult with committee members as the proposal

is being developed. The PhD advisor typically serves as a gateway for the other committee members and needs to sign off on any version of the proposal prior to submission to other committee members. **Committee members should be provided the final copy of the dissertation proposal at least 10 business days (generally two weeks) prior to the proposal defense.**

Before defending the dissertation proposal, the student must have completed all required courses, (with the exception 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, generally minor, revisions, or require that the student make major revisions and stand again for the qualifying oral examination. The committee may also require additional coursework prior to a second proposal defense. 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 in order to pass the proposal defense. 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 before the dissertation work is begun.

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. **It is the responsibility of student to provide information on the exam date and location (including online platforms) to the program assistant, Academic Coordinator, and Program Director at least 30 days before the date of the dissertation defense**, to allow time to post the information on the SPH and HPM listservs, calendars and websites. 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 the final draft of the dissertation, no less than one month prior to the defense. The dissertation must be in final form when submitted to the committee one month prior to the final defense. This implies that all pages, references, and appendices are in place and that a thoughtful discussion has been completed. The first portion of the defense, in which the candidate presents the research and responds to questions, is open to the public (other students, faculty, friends, family, and general members of the community). Following this open meeting, which generally lasts 30 minutes, the committee meets with the PhD candidate in a closed session. The committee may require revisions to the dissertation after the defense. 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.

Advisor/Dissertation Chair and Dissertation Committee

Advisor/Dissertation: 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 4).

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; when it best serves the student's interest, a student may have two faculty advisors. The initial faculty advisor generally, but not necessarily, becomes the chair of the dissertation committee. If a student has a dissertation topic that transcends disciplines or applied research topics, then a student's dissertation committee may have faculty co-chairs. 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 always prove to be an optimal match, 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 PhD Academic Coordinator. Faculty advisors must have a PhD, be regular members of the Graduate Faculty, and have a full faculty appointment in HPM.

Dissertation Committee: The Dissertation Committee typically consists of a Chair and four other Committee members. The Dissertation Chair must be a faculty member (either tenured, tenure track, or non-tenure track) with a primary appointment in HPM and have a PhD; a majority of the dissertation committee must have regular faculty appointments in HPM. At least one dissertation committee member must represent the student's minor area. One of the PhD Program's competencies is to learn to work on multidisciplinary teams. Given the diversity of Committee members, the dissertation committee is, in essence, a multidisciplinary research team. 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 the PhD Academic Coordinator. Notably, this process may take up to six weeks, and it is the student's responsibility to initiate this process with adequate time before proposal or final defenses. 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 PhD Academic Coordinator for approval by the Dean of the Graduate School. If there is a change in the Committee, this form must be resubmitted.

Students should stay in close contact with their Dissertation Chair throughout the entire dissertation process and should submit and revise drafts with their Dissertation Chair before sending them out to the rest of the committee. 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, especially after a proposal has been developed and defended. The first meeting could be prior to the formal proposal defense so that students can discuss and integrate key conceptual and methodological issues as the proposal is developed. As soon as possible after their proposal defense, students should circulate a brief 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 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) prior to proposal defense. After a proposal has been defended, substantive changes such as a change in an Aim or in the analytic data source should be approved by the dissertation committee. 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 23 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
The HPM Academic Coordinator's Office will register incoming PhD students for required HPM courses during their first semester on campus; incoming students must register for elective (including minor area) courses themselves. Beginning in their second semester, students are expected to register for all of their courses.

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 Academic Coordinator 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 if they are taking courses, defending their dissertation proposal or final dissertation, or are otherwise engaged in academic activity that requires faculty involvement, including reading and commenting on proposal or dissertation drafts. 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 could include loss of visa status and deportation. Failure to register could 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, with departmental support, 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 the first two years of study through department teaching assistantships, research assistantships, federal traineeships, and Graduate School awards. (This support is contingent upon satisfactory academic progress and availability of sufficient funds.)

After the first two years, students have been extremely successful in winning dissertation or research funding from the federal government, through research projects managed in HPM or in UNC research centers, non-Federal sources (e.g., Bristol-Meyers-Squibb, Duke Clinical Research Institute), and the UNC Graduate School (see Appendix 1). Types of funding include:

- Graduate student traineeships or dissertation awards from UNC research centers, federal agencies, and non-federal sources
- Research Assistant with faculty
- Teaching Assistant or Fellow
- Graduate School Fellowships and Minority Fellowships
- 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:

Other Schools and Centers at UNC-CH: 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 grant writing assistance. These research centers include the Cecil G. Sheps Center for Health Services Research (www.shepscenter.unc.edu), the Lineberger Comprehensive Cancer Center (https://unclineberger.org/), the North Carolina Translational and Clinical Sciences Institute (www.tracs.unc.edu), the Carolina Population Center (www.cpc.unc.edu) (demography and international studies), the Odum Institute for Research in Social Sciences (https://odum.unc.edu/), the Center for Global Initiatives (http://cgi.unc.edu/), and the Center for Health Promotion and Disease Prevention (https://hpdp.unc.edu/).

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 (https://robertsonscholars.org/the-experience/duke-and-unc/#express-bus) that run between the UNC and Duke campuses during the academic year, for a small fare. 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 (https://www.fhi360.org/), GlaxoSmithKline (https://www.gsk.com/en-gb/), IQVIA (https://www.iqvia.com/), and the American Institutes for Research (https://www.air.org/).

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 Workshop (http://thew.web.unc.edu/), jointly sponsored by HPM, draws faculty and students from UNC, Duke, RTI, North Carolina State, and UNC-Greensboro. Faculty from HPM as well as the Economics Departments at UNC and Duke University provide students with access to outstanding health economists through coursework 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.

Student Offices
Three offices (McGavran-Greenberg 1103A, 1103B, and 1102E) are reserved for PhD students to conduct research and to collaborate with their colleagues. Desktop computers and a printer are available for use. Each PhD student will be given a key that will open any of the offices, and should return the key upon completion of the program. McGavran-Greenberg offers a wireless environment through the eduroam network.

Student Awards
HPM PhD students are considered for a number of Departmental, School, and University Awards each year. In particular, 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.

Ethics, Institutional Review Board, HIPAA, and Research Training

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 (FERPA), the UNC 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 subject 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 IRB approval or exemption **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 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.

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).

Conflict of Interest Training

Upon consultation with the Provost and the Vice Chancellor for Research, the Chancellor has determined the COI training should be completed by all individuals who are involved in research. Individuals can include faculty, staff, students or trainees. Generally, completion of this training will be valid for four years. The online conflict of interest (COI) training is now available at the website: https://apps.research.unc.edu/coi-training/.

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 (usually within two weeks). 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. Be sure to complete the IRB forms as soon as it is appropriate. If modifications are made to the proposal, then IRB approval of the modification is required.

Other Policies

Grade Appeals

For procedures on how to appeal a course grade, please refer to the Graduate School Handbook for the grade appeals process (http://handbook.unc.edu/grading.html).

Reinstatement Policies

If a student has been determined to be ineligible to continue in the program, the student may petition the department for reinstatement by submitting the "Request for Reinstatement to Graduate School Form" to the department chair. The chair convenes the department's Student Appeals Committee to review the student's request. The Student Appeals Committee is chaired by a full professor and includes an associate department chair and at least one additional member of the faculty. In situations where any of these individuals would have a conflict of interest, the committee chair will consult with the department chair to assign another faculty member(s) to the committee. The committee gathers all relevant information from the instructor(s) who assigned the grade(s) that made the student ineligible, the student, and others. The committee makes a recommendation to the department chair to endorse or decline to endorse the student's request,

but the final decision is made by the chair.   The decision is forwarded to the Graduate School for final approval.

Harassment and Discrimination

The University's Policy on Prohibited Harassment and Discrimination prohibits discrimination or harassment on the basis of an individual's race, color, gender, national origin, age, religion, creed, disability, veteran's status, sexual orientation, gender identity or gender expression. Appendix B of this Policy provides specific information for students who believe that they have been discriminated against or harassed on the basis of one or more of these protected classifications. Students who want additional information regarding the University's process for investigating allegations of discrimination or harassment should contact the Equal Opportunity and Compliance Office for assistance:

> Equal Opportunity and Compliance Office
> The University of North Carolina at Chapel Hill
> 214 W. Cameron Ave., Campus Box 9160
> Chapel Hill, North Carolina 27599
> Telephone: (919) 966-3576
> eoc@unc.edu
> https://eoc.unc.edu/

Laptop Policy

The Gillings School of Global Public Health requires that all students own a laptop computer.

Resources for Students

International Student and Scholar Services Center

International Student and Scholar Services (ISSS) is the main administrative office for all international students, research scholars, and visiting professors present at UNC-Chapel Hill. ISSS issues visa eligibility documents, assists with the maintenance of these documents, and provides counseling related to immigration matters and adjustment to life in the United States. It also serves as a liaison between foreign students and scholars and the United States Citizenship and Immigration Services (USCIS). In addition to administrative and counseling duties, ISSS provides programming designed to help foreign students and scholars maximize their experience at UNC. The programs include orientation, various cultural programs, and tax seminars. Advising and counseling services for foreign students and scholars are primarily concerned with non-immigrant visa matters, but other types of personal advising (financial, academic, cross-cultural adjustment, etc.) are offered as well. Referral to other campus support services is common. ISSS maintains a directory of some English as a second language (ESL) programs in Chapel Hill, Raleigh, Durham, and Greensboro. In addition, the International Women's English Conversation Group provides an opportunity for students and scholars to immerse themselves in the English Language. Finally, ISSS has a directory which contains a list of private tutors. Information about ISSS can be found online at http://isss.unc.edu/.

Accessibility Resources and Services

The Department of Accessibility Resources and Services (ARS) works with Departments throughout UNC to assure that the programs and facilities of the University are accessible to every student in the community. Additionally, they provide reasonable accommodations, so students with disabilities who are otherwise qualified may, as independently as possible, meet the demands of University life. Students who need any type of accommodating for test-taking, a very

common occurrence, should consult early with ARS. You can learn more about their services at https://ars.unc.edu/.

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 website (http://gradschool.unc.edu/forms/#doctoral). Other forms are required by the Department. All forms should be submitted to the ***HPM Academic Coordinator's Office*** so they can be placed in student's permanent file. ***Students should NEVER submit forms directly to the Graduate School***. In addition to the required forms, there are a number of optional forms that serve to ensure students are making progress. A checklist containing information on the timing of these forms is available in Appendix 5 of this document.

Required Forms

	Report	With Whom and When filed	Responsible party
1	*Individual Development Plan* (IDP)	With PhD Program Administrator annually at the beginning of each academic year	Student
2	*PhD Program Checklist*	With PhD Program Administrator and PhD Academic Coordinator, the spring before taking comprehensive exams	Student
3	*Doctoral Exam Report Form— Part I: Report of the Preliminary Written Examination*	After taking comprehensive exams	Student
4	*Report of the Doctoral Committee Composition*	After assembling dissertation committee, prior to the proposal defense	Student
5	*Report of the Approved Dissertation Project*	After successfully defending the dissertation proposal	Student
6	*Doctoral Exam Report Form— Part II: Report of the Oral Examination*	After successfully defending the dissertation proposal	Student
7	*IRB Approval (Initial and Annual, if required)*	As per IRB guidelines	Student
8	*Application for Graduation*	Completing all requirements (except dissertation defense), at least 3 months before graduation	Student
9	*Doctoral Exam Report Form— Part III: Report of the Final Oral Examination*	After successfully defending the dissertation	Student and Committee Chair
10	*Doctoral Exam Report Form— Part IV: Report of the Final Dissertation*	When submitting dissertation to the Graduate School	Student and Committee Chair

1. *Individual Development Plan:* This form allows the student to express their expectations for goals and skills related to the program to be shared with their PhD advisor. The advisor may suggest additional experiences, goals, and skills. The IDP should be updated annually, typically at the beginning of the academic year. Once the student and their advisor have agreed on a version, it should be provided to the PhD Program Administrator (administrative assistant to the PhD Program Director).

2. *PhD Program Checklist:* The checklist (Appendix 2) is used to ensure that students have met all requirements for coursework prior to the comprehensive exam. Once it is approved and on file with the Academic Coordinator's office, it will be retained in preparation for graduation.

3. *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 with the HPM PhD Academic Coordinator.

4. *Report of the Doctoral Committee Composition.* This form is submitted to the HPM PhD Academic Coordinator 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. This form should be filed well in advance of a proposal defense in case adjustments to the committee composition are needed. Note: Students are responsible for submitting the curriculum vitae of members who are not part of the UNC faculty to the HPM PhD Academic Coordinator so that they may be appointed to the Graduate School to serve on their committees.

5. *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 PhD Academic Coordinator.

6. *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.

7. *IRB Approval:* Initial and annual approvals from the IRB should be submitted to your faculty advisor and the HPM PhD Academic Coordinator. Additional information can be found in the Ethics, Institutional Review Board, and HIPAA section of this manual.

8. *Application for Graduation* (Filed after completing all requirements except dissertation defense, about 3 months before graduation. **Check the 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.

9. *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 student is responsible for making sure the appropriate version of this form is available at the final defense, while the Dissertation Committee Chair is responsible for submitting the completed form to the HPM PhD Academic Coordinator's Office.

10. *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 student is responsible for making sure the appropriate version of this form is available at the final defense, while the Dissertation Committee Chair is responsible for submitting the completed form to the HPM PhD Academic Coordinator's Office.

Optional Forms

- *Curriculum Vitae***:** Students should provide a copy of their current curriculum vitae to their advisor each year. 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.

- *Annual Progress Report for Students Enrolled in Dissertation Hours (HPM 994).* This should be completed each year and copies should be retained by the student and advisor. A suggested form may be found in Appendix 3.

Additional Forms

- *Change of Advisor Request:* This form is filed whenever the student requests a change in either advisor or committee member. If a request to change a committee member (including the Chair) is made after the proposal has been defended, the student must also complete a revised Report on the Doctoral Committee Composition form.

- *Application for Admission to Candidacy for a Doctoral Degree (*Optional: for students who are "all but dissertation"): A student who has completed all coursework, passed the comprehensive exam, and defended the dissertation proposal may submit an application for a Certificate of Candidacy.

Appendix 1: Suggestions for Facilitating the PhD Process

The HPM PhD Guidelines and Procedures Manual (this document) provides an overview to PhD dissertations, dissertation Chairs, dissertation Committee members, and the structure and operation of the dissertation Committee. This appendix is intended to complement the manual by offering suggestions for facilitating that process based on experiences of faculty and students. <u>Individual dissertation Chairs and Committee members may have different preferences, and the dissertation Chair has ultimate prerogative over specific decisions</u>. Thus, this document is intended to provide general guidance that can serve as the basis for discussions between students and their dissertation Chair. Note: Students are responsible for being aware of, and following, University and Graduate School polices (http://handbook.unc.edu/). In addition, all current PhD students are enrolled in the HPM PhD Program Sakai site, which contains useful information.

I. Overview to Advising

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 4, PhD Guidelines and Procedures Manual). Students are admitted to the program only if a faculty member with similar research interests agrees to serve as their advisor. Given this commitment, the faculty advisor typically becomes the dissertation Chair. 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 optimal, faculty advisors can be changed at any time (including during the first two years). The Department has a "no-fault" policy such that if such a change is made, it does not reflect negatively on either the student or the advisor. When there is a change in advisor, the student must complete and submit to the HPM PhD Academic Coordinator a Change of Advisor Request form.

II. The First Two Years: Getting through Courses

When students prepare for comprehensive exams after their second year and when they apply for graduation in their final semester at UNC, the HPM Academic Coordinator uses the PhD Checklist to ensure that they have met all graduation requirements. The checklist periodically undergoes minor changes; students will be held to the requirements and checklist that were in place the year they matriculated into the program. Below are some suggestions that will facilitate the academic and administrative processes for the PhD students.

- Students and their advisors should use the PhD program checklist when selecting courses. During students' first semester in the PhD program, it is advisable for them to draft course schedules (including electives) for their first two years. Moreover, students and advisors should annually complete an Individual Development Plan (IDP), which is a "living document" that should be revised over time (typically, at the beginning of each academic year). The IDP and PhD program checklist should be updated annually.
- Students may be exempted from individual prerequisites or required courses. Students who believe they should be exempted from any course must submit the completed exemption application to the HPM PhD Academic Coordinator as soon as possible, and during their first year. The form is available online.
- After their second and third semesters in the program, students receive feedback from the PhD Program Director on their performance in required PhD courses; their advisor is

copied on this feedback. This feedback is intended to help identify areas needing improvement before students take their comprehensive examinations and conduct their dissertation research. Students and their advisors should discuss any suggestions for improvement.

- When possible, students are encouraged to use their course assignments to develop their dissertation topics. This may be accomplished through class papers, systematic literature reviews, and/or analyses for quantitative courses. Some students have found it useful to use publicly available health-related data sets during their coursework.

- Second-year students should work with their advisor to identify funding opportunities for their third year and beyond. Each year, HPM 874 generally has a panel session in which the directors of these programs provide advice on preparing the strongest possible application. The deadlines for these fellowships vary but are typically in February or March. During their proposal writing course, students will be encouraged to write a dissertation completion grant (e.g., R36, F31). Other funding opportunities include serving as a Research Assistant, Teaching Assistant, or Teaching Fellow; these opportunities may exist within or outside the Department. It is best if these discussions start early in the second year.

III. The Dissertation

The doctoral dissertation is an original piece of empirical research that advances the field of health services and/or health policy. In the dissertation, students are expected to identify and appropriately apply theoretical knowledge/conceptual models, research designs, and analytical methods. Below are some suggestions that, based upon faculty and student experiences, may facilitate that dissertation. After those suggestions, we provide information on the: (A) Structure of Dissertation Proposals; (B) Dissertation Committee; (C) Dissertation Proposal Defense; (D) Structure of Dissertations; and (E) Dissertation Defense.

Suggestions

- Students and advisors should hold regular meetings to track progress, establish/modify timelines, and discuss challenges and concerns with their dissertation.

- In the fall of Year 3, students take Developing Proposals for Health Services and Policy Research (HPM 994). This course is designed to help students develop their dissertation proposal. Ideally, the final product for the course would be a full draft of a proposal that could be submitted to a funding agency to support their dissertation research (e.g., R36, F31) and used as the actual dissertation proposal for the purpose of an oral defense.

  o The proposal writing class will be of greatest benefit to students who start the course with a draft of their specific aims. To that end, students are advised to spend time during the summer before their third year to vet potential dissertation ideas with their dissertation Chair. They are also encouraged to talk to clinicians or other stakeholders about potential dissertation topics. Students who have little direction before the course begins are likely to get less from it and, as such, make less progress on their dissertation proposal.

  o The student's dissertation Chair and, if constituted, Committee members will work closely with the student in this course.

  o To be consistent with NIH/AHRQ page limits, the final product for this course may be shorter than what the dissertation chair and committee desire. When this occurs, the shorter proposal will serve as the basis for a longer proposal. A general outline of a

dissertation proposal, as well as a table comparing traditional versus shorter formats, is presented in Section A, below.

- The curriculum is designed to facilitate students defending their dissertation proposals during their third year, which will enhance the possibility of completing the PhD in four years. Students whose dissertations require primary data collection, data that is not already at UNC, and/or their spending substantial time away from UNC (including global settings) may take more than four years to complete the PhD.

- Members of the dissertation committee should be selected during discussions between the Chair and the student. As a group, the dissertation committee should provide the student with the content, methodological, and analytical expertise to complete a sound dissertation.

- Students often have up to two committee members who are external to UNC. In such cases, that faculty must be appointed by the Graduate School to serve on the student's dissertation committee, regardless of whether they hold an Adjunct faculty position with HPM (see http://gradschool.unc.edu/policies/faculty-staff/faculty/). The process is simple and should take very little time. The student should submit that faculty member's curriculum vitae to the HPM PhD Academic Coordinator as soon as he/she has agreed to serve on the dissertation committee.

- Students should involve committee members throughout the dissertation, rather than only meeting with them as a group at the proposal and final defenses. Some strategies that students and chairs may wish to consider are:

  o Students should generally work with their chair to develop a solid draft of a proposal or final dissertation document before it is circulated to committee members. In this way, the chair serves a "protective function" for other committee members by catching structural or editorial issues that can be corrected by one, rather than all committee members.

  o Use bulleted memos to update committee members or address unforeseen problems, for example, a fatal data use agreement, sample size is much lower than anticipated, or an invalid IV. A brief, bulleted memo can help the committee focus on key issues. In the typical case, the student, chair, and maybe one other committee member have already discussed the issue and have a proposed solution.

  o When there are complex issues and/or disagreements among committee members, it may be useful to schedule a pre-proposal meeting with the entire committee before the proposal defense. Such a meeting may be most helpful if it occurs when students are far along in their proposal but have questions for which they could benefit from discussion with the entire committee. Such a pre-proposal defense meeting can:

    ▪ Increase efficiency: When committee members differ in their recommendations, a clear resolution may occur.

    ▪ Provide experience in working with an interdisciplinary research team: Thinking about the dissertation committee as an interdisciplinary team will prepare students for their careers after graduation.

    ▪ Decrease students' anxiety at their proposal defense: During the defense, students can prepare thoughtful strategies to address the major issues.

  o Students should be aware that they may not be able to please all committee members when making a methodological decision. The student should understand the tradeoffs among alternative approaches and convey the rationale for their choice to the committee. The Chair should participate in the decision.

- Increasingly, students are using the three-paper option for their dissertations. Examples can be obtained directly from alumni or through ProQuest; a list of recent PhD graduates, along with links to their dissertation abstracts, can be found on the HPM PhD web page https://sph.unc.edu/hpm/hpm-phd-graduates-list/. The three-paper option presents an opportunity for students to spread the workload over time for both themselves and their committee members. Students are strongly encouraged to develop a timeline that includes when they will send drafts of their papers to committee members (and other authors). Doing so has several advantages:

    - Students will be able to submit manuscripts to journals before their dissertation defense, which would be attractive to employers. Students should only submit dissertation papers for publication prior to the final defense with the approval of the whole dissertation committee. This can be through an informal meeting of the committee after reviewing the paper, or even asynchronously (e.g., via email), at the discretion of the committee chair. Students should NOT submit dissertation papers for publications without the papers being vetted by dissertation committees to avoid retraction of papers from journals or having major changes suggested at a dissertation defense that vary from the submitted version.

    - The burden on committee members is substantially decreased or perhaps more accurately, spread over a longer time frame with the three paper option and thus reduces "surges" in workload from reading multiple dissertations near the end of the semester. Ideally, if committee members approved all three papers before the defense, the only new material in the dissertation would be introductory and final concluding chapters.

- The proposal writing course (HPM 994) has emphasized shorter formats for dissertation proposals. Some advantages of the shorter format include:

    - Consistency with NIH and other funders, which is a good skill for students to develop.

    - The formal proposal defense will not simply be a restatement of the proposal. That is, students will likely present details that would not fit in the shorter proposal. Requiring students to present new material in this manner is, again, an important skill for them to develop.

- Students and faculty should be aware that the Graduate School offers Dissertation Completion Fellowships for students who need one year of support to complete their dissertation. The deadline is typically in February. More information about these awards can be found at http://gradschool.unc.edu/funding/gradschool/fellowshipsandgrants.html

A. Structure of Dissertation Proposals

The dissertation proposal may have alternative structures and formats. Thus, the text below is meant to be illustrative. In general, the Department is moving towards shorter proposals that are more consistent with NIH/AHRQ proposals, enabling greater efficiency in applying for external funding. The shorter format is used in the "Developing Proposals for Health Services and Policy Research" course. Notably, there is likely to be variation by minor area and faculty member. *It is recommended that students discuss these expectations with their Advisor/Chair as early as possible. It is also recommended that students review proposals from other students who have successfully defended proposals with the same Chair.*

General Outline of a Dissertation Proposal: Several elements are common to any dissertation proposal. However, their order and structure vary depending upon whether a

traditional or shorter proposal format is used. Elements of each format are presented in the table below. In both formats, the page layout of the proposal is double-spaced text using 11 point font size and one-inch margins on all four sides of the page. Length will vary depending upon the preferences of the Chair and other Committee member as to how much detail is expected. Some of the principal differences between the two formats are the overall length of the proposal, the extensiveness and location of the literature review, and the ways the conceptual or theoretical framework are presented.

General Outline of Traditional and Shorter Dissertation Proposal Formats	
Traditional Proposal Format	**Shorter Proposal Format**
Title Page	Title Page
Abstract	Abstract
Background, Significance, and Specific Aims	Specific Aims
Literature Review	Research Strategy: Significance
Conceptual or Theoretical Model	Research Strategy: Innovation
Research Methods	Research Strategy: Approach
Timeline and Dissemination Plan	Timeline and Dissemination Plan
Human Subjects Considerations	Human Subjects Considerations

Title Page and Abstract: These are the same in both formats. The title page identifies the document as a dissertation proposal and includes the title, student's name, and date of the draft. All subsequent drafts are also dated. The abstract should summarize what is in the document and identify the structure of the proposal and its main points. It is typically one page in length.

Aims, Background and Significance: In the traditional format, the first chapter is devoted to background and significance. This chapter introduces the main research question and provides the rationale for why the question was chosen, that is, why the topic is of interest for policy, practice, and/or the research. Essentially, this chapter briefly describes: (1) the problem being studied; (2) what we know about the problem; (3) how the study will fill a gap in knowledge and/or extend current knowledge; and (4) the importance and relevance of the question for policy and/or practice.   This chapter usually introduces the specific aims and hypotheses, although they may fit elsewhere as well. Essentially, this chapter should serve as a roadmap for the literature review and conceptual model.

In the shorter format, all of these details are encapsulated in a one-page, single-spaced Specific Aims statement. This section highlights the problem area upon which the research is focused and identifies the knowledge gaps or needs that currently exist in this area. Here, students also identify their long-term goals or interests in this topic, as well as the objectives they have in undertaking the proposed study. The central hypothesis or research question is stated along with a brief rationale. Then, specific aims–what one intends to accomplish in the study—are presented. Each aim statement should highlight key variables/measures, a data source, and analysis techniques. Specific working hypotheses, if any, may be stated under each aim as well. The final paragraph in the Specific Aims section highlights the expected outcomes of the research and identifies positive impacts for health policy, practice, and further research that will occur from the knowledge developed through the dissertation.

The number of aims depends upon the focus and rationale. In general, students should identify no more than three to four aims; otherwise the proposal begins to lack focus and/or becomes too cumbersome and/or too ambitious for a dissertation. Students selecting the three-paper dissertation option typically have three aims, one associated with each paper.

Two-aim proposals are perfectly adequate for a dissertation if approved by the dissertation committee. Students should recognize that the three-paper option is a dissemination strategy, not a proposal strategy.

Literature Review: Here is where the greatest divergence occurs between the formats of dissertation proposals. In the traditional format, one section is typically devoted to a comprehensive, yet selective, literature review that should provide the basis for the research, including the problem being studied; what we know about the problem and gaps in knowledge; and how the study will fill a gap in knowledge and/or extend current knowledge. The literature review should support the approach proposed, as well as the specific aims and hypotheses. The subsequent section then presents the conceptual foundation or theoretical approach. There are many ways to approach a specific research question. This section should identify a theoretical approach and/or conceptual model that will guide the research. The choice of the theory and model are often guided by the disciplinary approach to the question.

In the shorter format, there is no separate section called 'literature review;' rather, the literature is dispersed throughout the proposal. The Aims and Approach sections can refer to prior published studies as a way of motivating or carrying out your research. Also, in the shorter proposal format, there is a separate Significance section where most citations to prior work usually occur. Literature citations and commentary are not comprehensive. References should be highly selective with the goal of justifying the need and importance of what is proposed. Although the literature reviewed is selective, it will be necessary to conduct a thorough review of the literature and to demonstrate knowledge in some other way to the Chair and Dissertation Committee members. Ideas and citations unrelated to the research problem are not discussed. The conceptual framework can be presented either as part of the Significance section or in the Approach section as part of the study rationale. In either case, the associated narrative is a brief overview of the framework and how it guides the proposed study.

Research Methods and Approach: In either format, the research methods should be presented in sufficient detail to allow Committee members to assess the validity, appropriateness, and feasibility of the study. There should be a description of the methodological approach for each specific aim and hypothesis (when applicable). Specifically, there should be a description of: (1) data being used; (2) key dependent, independent, and control variables (and operational definitions); (3) procedures; (4) analytical plans (including considerations related to power and sample size and properties of analysis methods); (5) limitations of the study design, data, and analytical methods; and (6) anticipated challenges and potential solutions. It is recognized that some dissertations and research approaches/analytical methods may require the student to modify what of structure and information presented above; the student should confer with his/her Dissertation Chair and Committee members on the most appropriate format.

The traditional format often uses an integrated methods style that organizes the methods chapter by component elements of the study such as design, sample, measures, power, analyses, etc. In contrast, the Approach section of the shorter format is usually organized in a sequential or stepwise manner by aim, with all component elements pertaining to each aim presented separately. In both formats, there should be aim-by-aim analyses plans.

Timeline and Dissemination Plan: Regardless of format, there should be a description of the specific tasks and timelines that would allow Committee members to assess feasibility of the proposal. Often, this is presented in a task-by-time matrix with brief descriptions of tasks, sequences, and durations. The timeline should identify when Committee members will be

asked to review substantial sections of the dissertation (e.g., chapters, drafts of manuscripts). It should also indicate whether the dissertation will use the three-manuscript format (described below). This section should include a dissemination plan, which typically indicates expected manuscripts and possible journals to which papers will be submitted. Notably, in developing their timeline, students should be aware of Graduate School and University deadlines related to graduation, as well as the timelines agreed upon by the Chair and Committee members for receiving feedback.

Human Subjects: In either format, the research plan should end with a statement about the use and protection of human subjects in the proposed study that follows University guidelines. (See: http://research.unc.edu/offices/human-research-ethics/index.htm)

B. The Dissertation Committee

The dissertation Committee usually consists of the dissertation Chair and four other Committee members. The student and his/her dissertation Chair are responsible for identifying Committee members who, as a group, possess the requisite content and methodological expertise to guide the student's research. Typically, Committee members have a terminal degree in their field, but this may be waived under some circumstances.

The student is responsible for asking individuals to serve as Committee members. Committee members who are not at UNC must be appointed to the Graduate School for the duration of the dissertation. To do this, students must submit the Committee member's curriculum vitae to the HPM PhD Academic Coordinator for approval by the Graduate School. This process may take up to six weeks, and it is the student's responsibility to initiate this process early enough to ensure the process is complete prior to the proposal defense. This is a very easy process but is completely independent of being an adjunct faculty member in HPM; that is, one can be an adjunct faculty member in HPM, but not on the Graduate School faculty and vice-versa. The Committee must be approved by the dissertation Chair and the Director of the PhD Program prior to the dissertation proposal defense. After all members have agreed to participate, the student must submit the completed *Part I: Report of Doctoral Committee Composition* form to the HPM Academic Coordinators Office, which will forward the form to the Graduate School for approval by the Dean of the Graduate School. If there is a change in Committee membership, a new form must be submitted. Forms may be downloaded from: http://gradschool.unc.edu/forms/

Structure, Roles, and Responsibilities of the Dissertation Committee

The dissertation Committee must include:

- A dissertation Chair who holds a terminal doctoral degree and is a faculty member (either tenured, tenure track or non-tenure track) with a primary or joint appointment in HPM. If a student has a dissertation topic that transcends disciplines or applied research topics, then a student's dissertation committee may have faculty co-chairs.
- Four additional Committee members, for a total of five members. Larger Committees are allowed but are discouraged; students should speak with the Director of the PhD Program to understand the implications of a Committee with more than five members.
- At least one Committee member representing the minor area.
- A strict majority of members with a primary or joint appointment in HPM.
- It is strongly encouraged that at least one Committee member not be an HPM faculty member.

Dissertation Chair: The dissertation Chair's roles include: 1) facilitating the student's progress in becoming a well-trained, independent researcher and 2) protecting the time of the other Committee members. As such, the expectations of the Chair-student relationship are as follows:

- The Chair and student will work closely to develop a topic.
- The Chair will read and comment on drafts as they progress toward major milestones.
- The student will provide the Chair no less than one business week to comment on short (less than 10-20 pages) documents and no less than 2 business weeks (10 business days) to comment on longer documents. Individual Chairs may have different preferences on turnaround time, and timelines may change over time (e.g., due to other commitments). General expectations regarding turnaround time should be discussed by the student and Chair early in the process, and Chairs should make students aware when expected turnaround times cannot be met.
- Students planning to make appreciable progress on their dissertation proposals or dissertations over the summer requiring substantial faculty input should register for summer dissertation credits.
- Often, it is best if the student uses "track changes" or a memo/email to direct the Chair's attention to particular items and/or changes.
- *The Chair will approve all major drafts before they are circulated to other Committee members.*
- The Chair and all committee members should refrain from providing substantial edits to the dissertation document or papers prior to the final defense. Instead, feedback should be more in the form of comments (e.g., comment boxes in Word) to allow students to grow as a writer and to complete the requirement of independent dissertation work that is guided by experts. Once committee members become collaborators on manuscripts, generally after a final defense, editing can take place in a collaborative manner.

Dissertation Committee Members: Dissertation Committee members play a critical role in the student's dissertation. They provide important content and/or methodological advice that should strengthen the research.   By working with Committee members from different disciplines, students begin to see and appreciate the important contributions that different perspectives can have on their research. Committee members are expected to:

- Attend the proposal and final defenses.
- Attend other group meetings when the Chair and student believe it would be helpful (either before the proposal defense or between the proposal defense and final defense).
- Meet with the student individually to discuss the dissertation prior to defenses, as appropriate.
- Review drafts that have been approved for circulation by the Chair. Committee members will generally require two weeks to review a proposal and a month to review a final dissertation. Longer turnaround times may be needed, depending on the member's role on the Committee, as well as other commitments. When a Committee member requires significantly more time to review a document, the Committee member should inform the student and Chair about the time requirements. As with any document circulated between the student and the Chair, general expectations regarding turnaround time should be discussed early in the process (e.g., during the proposal defense).
- Committee members providing expertise on analytical methods may want to meet with the student sufficiently in advance of the preparation of proposals, manuscripts, and the final dissertation to review methods and output; the student should check with Committee members as to their preferences.

C. The Dissertation Proposal Defense

The University requires that students must defend their dissertation proposal during a semester in which they are enrolled. Each Committee member should have an identical copy of the proposal that is to be defended. Committee members should have ample time to review the proposal (see above). In consultation with Committee, members, the student is responsible for identifying a suitable date and time for the defense, scheduling a room, and arranging other logistics as needed.   The Chair and PhD program assistant can assist the student with these activities as needed. It is the Chair's responsibility to check with Committee members in advance to be sure that the student should move ahead with the proposal defense. Unlike the final defense, the proposal defense is not open to the public.   The dissertation Chair oversees the proposal defense. Students should not bring refreshments to either the proposal or final defense.

Students who use the shorter dissertation proposal format will likely have less written text and detail about the literature reviewed, conceptual models, research methods, etc. Thus, when preparing for the proposal defense, students should:

- Meet with the individual Committee members to discuss their research
- Assume all Committee member have read the proposal
- Have a presentation that supplements, rather than duplicates, the text in the proposal.
- Be prepared for questions regarding any aspect of their proposal, including the background literature review and rationale behind their conceptual and methodological decisions.

All of this goes to say that shorter dissertation proposals will likely be more difficult to write and will require the student to address a wide array of questions about content that may not be explicitly written in the proposal; however, the shorter format also better prepares students to submit grants after completing their PhD.

Although there may be differences across Dissertation Chairs, the following structure is common:

- Chair opens the meeting and introduces Committee members to each other if they do not know each other.
- Chair indicates that the Committee is convened to make a decision on the proposed dissertation, that this is an official meeting required by the Graduate School. Based on the student's presentation, the Committee has the option of approving, requesting modifications, or rejecting the proposal.
- The Committee may or may not meet briefly in an executive session (without the student present) prior to the student's presentation to discuss the proposal and coordinate any questions at the discretion of the dissertation chair. There is a chance that a summary judgment may be made at that time if the written material is not sufficient to allow the Committee to form questions (summary judgment at this point is rare).
- The student gives a presentation (typically 20 minutes) that describes their dissertation research. The length of the presentation is set by the Chair, and the student is expected to adhere to the time limit. The Committee will decide whether the questions can be asked during the presentation or reserved until the presentation is complete.
- The student should expect to be asked many questions, which may cover broader areas than those defined by the dissertation topic. Each Committee member is invited to ask questions (and any follow-up questions); additional questions may be asked as they arise.

- When all questions have been answered sufficiently, the student is excused from the room. The Committee discusses the proposal and agrees upon a recommendation, including any required modifications.
- The student is invited back into the room and the Chair gives the Committee's recommendation. The student is provided guidance about how to proceed, including whether there is a need to revise sections of the proposal or to clarify elements in writing.
- After the defense, if revisions to the proposal have been recommended by the committee, the student circulates a document, approved first by the Chair, to all Committee members. This document should highlight the major discussion points, as well as the student's response to suggestions regarding the research. Once all issues are addressed, the student is considered to have passed the dissertation proposal defense. This process should be completed as quickly as possible after the proposal defense, generally within one month.
- Students are responsible for having the appropriate forms at the defense; they may be found at http://gradschool.unc.edu/forms. Students are responsible for submitting signed forms to the HPM Academic Coordinators Office. They are encouraged to retain a copy for their records.

D. **Structure of Dissertations**

The structure of the dissertation will vary depending on the topic and preferences of the student and Chair. The student and Chair should discuss expectations for dissertation structure. A traditional dissertation is usually organized into chapters corresponding to the sections in the dissertation proposal (e.g., Background/Significance, Innovation, Approach), along with chapters that contain Results and Discussion. Notably, whether or not a three-manuscript option is chosen, it is important for students to publish findings from their dissertation.

In contrast, the three-manuscript option will cover similar content (e.g., introduction of the problem, literature review, conceptual model) as a traditional dissertation, but in a different format and presentation style. The structure usually consists of:

- General introduction to the research: This chapter should include an overview of the aims, main supporting literature, study rationale, and methods.
- Three papers: Each paper should follow the style and format of the target journals. This will generally replace the Results section in traditional dissertations.
- Conclusions: This final chapter describes the contribution of the three papers as a whole.

The length and content of the general introduction and conclusions sections are to be decided in conjunction with the Dissertation Chair.

It is recommended that the student initiate discussions about publications that arise from the dissertation and authorship with the dissertation chair prior to the final defense, and likely substantially before, as manuscripts are drafted and revised. Not all committee members are expected to be co-authors on publications. Students should serve as lead (first) authors on publications arising from their dissertation. Along with the dissertation chair, students should decide which committee members should be invited to serve as a co-author on publications according to the degree of intellectual contribution to the manuscripts.

E. The Dissertation Defense and Submission to the Graduate School

The University requires that students defend their dissertation during a semester in which they are enrolled. The outline of the dissertation defense generally follows that of the proposal defense. The student is responsible for logistics regarding the date and time of the defense, including scheduling a room. Students should not bring refreshments to the defense. Dissertation defenses are open to the public; the Chair is responsible for announcing the time and location of the defense to all HPM faculty and PhD students, but the student is responsible for communicating this information to the dissertation committee, the program assistant, and the program director at least 30 days prior to the scheduled final defense. This is an oral examination, so questions may cover topics outside the dissertation *per se*. The following structure is typical:

- The Chair convenes the defense with introductions (as needed), greetings/welcome, and procedure/plan for defense.
- The Committee may hold an optional closed Executive Session (i.e., without students or audience members) to clarify any remaining initial concerns before commencing the defense. Often, the Chair inquires with the Committee privately prior a day or two prior to the defense about the need for a closed Executive Session.
- Committee members should be provided copies of any slides and any other documents that may be helpful to them. The student presents his/her work for 25-30 minutes. Questions from Committee and audience members should be held until the end of the presentation, unless for clarification only. Typically, the audience will ask questions first. Once audience questions are addressed, there is a closed session that includes only the student and Committee members. Questions will continue during the closed session.
- After the closed session is complete (i.e., all questions from Committee members have been addressed), the student is excused from the room and the Committee holds a closed Executive Session. Led by the Chair, this session is used to discuss the dissertation further, additional requirements (if any), and the Committee's decision. The Committee should decide how much authority to delegate to the Chair to determine whether or not any necessary revisions are successfully completed.
- The student is invited back into the meeting and briefed on the Committee's decision, which may include revisions.
- The student is responsible for bringing the appropriate forms at the defense (see http://gradschool.unc.edu/forms/). If the defense is successful, the student should obtain signatures on *Doctoral Exam Report* form. If revisions are requested by the Committee, the form can be completed and signed at a later date by the chair and/or committee members, once the revisions have been satisfactorily made. Once the forms are signed, the student is responsible for submitting signed forms to the HPM Academic Coordinators Office. Students should retain a copy for their records.
- If revisions are necessary, the student will circulate a document, initially reviewed and approved by the dissertation Chair, to all Committee members. This document should highlight the major discussion points, as well as the student's response to suggestions regarding the research. Based on the deliberations in the closed Executive Session, the full Committee may or may not need to approve the final draft (i.e., the Committee may delegate this to the Chair).
- The dissertation must be submitted electronically. The student is responsible for ensuring that the dissertation meets Graduate School formatting requirements and is submitted by the appropriate date (see http://handbook.unc.edu/).

Chair responsibilities for the Final Defense:

1. Assure that all Committee members are on board with holding a dissertation defense <u>before</u> the final defense. If a favorable outcome is unlikely even with minor changes or elaborations, then the defense should be postponed. This, however, is no guarantee of a favorable outcome.
2. Notify faculty and students in HPM about the time and location of the defense.
3. Run the defense efficiently, fairly, and comprehensively.
4. Take notes during defense of all Committee member (and audience) questions in order to provide feedback to student. This is particularly important regarding corrections, changes, elaborations, and any additional work required.
5. Meet with the student after the defense to review required revisions and develop a timeline for completion.
6. Review document with revisions before the student re-circulates it to the Committee.

Appendix 2: PhD Program Checklist

Requirement		Student's Name _____		
Course Number	*Course Title*	*Semester(s) Completed*	*Credits*	*Pertinent notes: all substitutions and official exemptions.*
SPH/HPM Foundational Courses [1]				
HPM 754	Health Care in the United States: Structure and Policy		3	
EPID 600 or 710	Principles of Epidemiology		3	
SPHG 600 (FLO) OR HPM 611	Introduction to Public Health Concepts Public Health Concepts in a Systems Context		3	
HSR/HSR Methods				
HPM 884	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 880	Principles of Health Policy Research Methods		3	
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 _____ **Minor**	All students must take 15 credit hours that include the requirements for their minor area (five 3-credit courses—see section on minors; this includes one theory course). _____ (theory course) _____ _____ _____ _____	_____ _____ _____ _____ _____	15	
Health Policy Elective	One 3-hour health policy elective. _____		3	
Professional Development[1]				
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 46 hours)		Variable	
Total Credit Hours (Minimum of 46 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 46 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).

**Appendix 3: Annual Progress Report for Students Enrolled in Dissertation Hours
HPM 994 (Optional; the IDP contains much of this information)**

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

Please provide a copy of the signed progress report to the HPM Academic Coordinator, Advisor, and Dissertation Committee members (if applicable) by June 30 of each academic year. 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

**Appendix 4: 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.
- Review the student-submitted Individual Development Plan (IDP) and graduation check list annually at the start of the academic year
- Discuss additional expectations for students and faculty, as relevant
- Provide timely feedback (usually within 2-4 weeks) on draft manuscripts and dissertation chapters.
- 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).
- Satisfy all IRB requirements and remain current on all required research training.
- Ensure 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.
- Engage the Dissertation Chair in the proposal development process by discussing ideas, and vetting drafts Aims.
- Provide the Dissertation Chair with all relevant deliverables in HPM 994 (Developing Proposals for Health Services and Health Policy Research), including their final paper in as well as comments from the instructor.
- Iterate on drafts of the proposal and dissertation documents with the dissertation Chair, obtaining approval of these documents before sending out to other committee memebers
- 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 4 weeks in advance of the final dissertation defense).

Appendix 5: PhD Student Yearly Checklist

First year, fall semester:
- ☐ Initiate IDP, review with advisor, submit to program administrator
- ☐ Complete and submit the FERPA release document
- ☐ Obtain training in an approved IRB training course (e.g., CITI)
- ☐ Consult with Accessibility Resources & Services, if appropriate
- ☐ Start a course checklist document, with the timing of planned courses, which will be updated each semester
- ☐ Complete and submit any course exemption application
- ☐ Submit a profile for HPM's Current PhD students webpage

Second year, fall semester:
- ☐ Update IDP, review with advisor, submit to program administrator
- ☐ Update course checklist
- ☐ Develop plans for funding for 3rd+ year by discussing Fellowship options, dissertation proposals, and RAships with advisor

Second year, spring semester:
- ☐ At completion of classes, review course checklist with advisor, submit to program administrator at least 60 days prior to comps, follow up to make sure it was approved before taking comps

Third year, Summer and fall semester:
- ☐ Take comps – you got this!
- ☐ Update IDP
- ☐ Develop proposal
- ☐ Once dissertation committee is proposed, submit committee composition form to Academic Coordinator
- ☐ Defend proposal if ready; submit proposal defense forms

Third year, spring semester – program completion
- ☐ Work on dissertation
- ☐ Update IDP annually

Last year:
- ☐ Start looking for jobs at least 6 months before defending dissertation.
- ☐ Join PhD jobs listserv
- ☐ Submit profile for HPM's Students on the Job Market webpage
- ☐ Set up time to meet with Academic Coordinator, review all materials, complete graduation forms at least 6 months before defending dissertation,
- ☐ Notify program assistant, Program Director, and Academic Coordinator of plans to defend dissertation at least 30 days prior to defense, with details such as dissertation title, defense date, room # and/or zoom links
- ☐ Provide complete dissertation document to all committee members at least 30 days prior to defense
- ☐ Defend dissertation, congratulate yourself on a job well-done!
- ☐ Update program administrator and Program Director on new position