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

2014-2015 Academic Year
(Revised January 23, 2015)
The Guidelines & Procedures contains many of the rules, regulations, policies, and procedures of the PhD program, as established by the department faculty and by the actions of the Administrative Board of the Graduate School. Each student should become familiar with the material pertaining to his or her degree program, and, together with a faculty advisor, make certain that the selected plan of study complies with the pertinent requirements. The most current Guidelines and Procedures manual is posted on the HPM departmental Web site (http://www.sph.unc.edu/hpm/academic/doctoral.htm). Students are responsible for being aware of the current policies.

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

Doctoral Program Governance ....................................................................................... 1
Director of the PhD Program ......................................................................................... 1
PhD Advisory Committee ............................................................................................... 1
Graduate School Handbook ........................................................................................... 1
Honor Code and Campus Code ....................................................................................... 1

## Degree Requirements
- Overview .................................................................................................................... 1
- Core Competencies ..................................................................................................... 2
- Prerequisites ................................................................................................................ 2
- Course Requirements .................................................................................................. 3
  - Health Services Research/Research Methods ......................................................... 3
  - Analytical Methods .................................................................................................. 3
  - Professional Development ....................................................................................... 3
  - Minor Area/Health Policy Elective .......................................................................... 3
  - Health Policy Requirement ..................................................................................... 4
- Structure of the Program ............................................................................................. 4
- Table: Achieving Core Competencies through Required Courses ......................... 5
- Minor Areas ................................................................................................................ 6
  - Decision Sciences and Outcomes Research ........................................................... 6
  - Economics ............................................................................................................... 6
  - Financial Management ............................................................................................ 6
  - Health Politics and Policy ...................................................................................... 7
  - Quality and Access .................................................................................................. 7
  - Organization and Implementation Science ............................................................. 7
- Earning Degrees from Other Departments ............................................................... 7
- Exempting from Prerequisites or Core Courses ....................................................... 7
- Learning to Work on Multidisciplinary Teams .......................................................... 8
  - HPM 873 ............................................................................................................... 8
  - HPM 874 ............................................................................................................... 8
- Dissertation Committee ............................................................................................. 8
- Teaching ....................................................................................................................... 8
- Shadowing ................................................................................................................... 8
- Writing Skills .............................................................................................................. 8
- Other Professional Development Opportunities ....................................................... 9
  - Dissertation ............................................................................................................. 9
  - Required Examinations .......................................................................................... 10
    - Comprehensive Examination (Report of the Preliminary Written Examination) .. 10
    - Dissertation Defense (Report of the Final Oral Examination) ......................... 11
    - HPM 994 (Doctoral Dissertation Hours) .............................................................. 12

## Advisor and Dissertation Committee
- Advisor ....................................................................................................................... 12
- Dissertation Committee ............................................................................................. 12

## Transfer of Credits, Registration, and Time Limits
- Transfer of Credit ....................................................................................................... 13
- Registration ................................................................................................................. 13
- Time Limit ................................................................................................................... 14
Funding and Research Environment
Funding ............................................................................................................. 14
Affiliations .......................................................................................................... 14
UNC-CH Campus ............................................................................................ 14
Duke University ................................................................................................ 15
Research Triangle ............................................................................................ 15
Health Economics ............................................................................................ 15
Student Awards ............................................................................................... 15
Student Offices ................................................................................................. 16

Ethics, Institutional Review Board, HIPAA, and Research Training
Ethics .................................................................................................................. 16
Institutional Review Board (IRB) and Research Involving Human Subjects .... 16
Health Insurance Portability and Accountability Act (HIPAA) ....................... 16
Conflict of Interest Training ............................................................................. 16
Dissertation Research ....................................................................................... 17

Other Policies
Grade Appeals ................................................................................................... 17
Reinstatement Policies ...................................................................................... 17
Harassment and Discrimination ....................................................................... 17
HPM Student Concerns and Complaints Guidelines ....................................... 18
Laptop Policy ..................................................................................................... 18

Resources for Students
International Student and Scholar Services Center .................................... 20
Accessibility Resources and Services .............................................................. 20

Forms
Required Forms ................................................................................................ 21
Optional Forms ................................................................................................ 22
Additional Forms ............................................................................................ 23

Appendices
Appendix 1: PhD Program Checklist ............................................................... 24
Appendix 2: Annual Progress Report (for students in HPM 994) .................... 25
Appendix 3: Performance Standards for PhD Advisors and Students ............ 26
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 includes one representative for each existing minor, 3 student representatives, and alumni. This committee will advise the Director of the PhD Program and Chair with regard to all issues related to the PhD Program (e.g., admissions, curriculum).

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

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

Degree Requirements

Overview
The PhD program in Health Policy and Management is designed to provide students with the competencies, academic foundation, and research experience to become independent and creative health services/health policy researchers. All students take required courses in health services research, research design, quantitative methods, and health policy. In addition, students develop expertise in a minor area. Current minors include: Decision Sciences and Outcomes Research; Economics; Financial Management; Health Policy and Politics; 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 years.
Core Competencies
The curriculum is designed to provide students with the following core competencies necessary for a career in health services/health policy research:

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

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

There are five prerequisites for our PhD students:

- **BIOS 600 (Principles of Statistical Inference):** This 3-credit course is designed to prepare students for the subsequent required analytical methods courses. It should be taken in the fall of their first year.
- **HPM 754 (Health Care in the United States: Structure and Policy):** This 4-credit course is offered each fall. It is strongly recommended that students who have not taken this course or its equivalent do so in their first semester.
- **HPM 880 (Math/Stata Tutorial):** To succeed in HPM 881 (Linear Regression Models), students should be familiar with calculus, basic statistics, linear algebra (matrix algebra) and STATA. This 1-credit course, which should be taken during the fall of their first year, will meet weekly at a time that accommodates all students’ schedules. Notably, students enter the PhD program with differing proficiencies in these areas. For example, they may be expert in mathematics, but have no experience in STATA (or vice-versa). If there are any questions, students should discuss their individual needs with the instructor for HPM 881. HPM 880 is generally offered for variable credit; for this module, please enroll for one credit.
- **EPID 600 (Principles of Epidemiology for Public Health):** This 3-credit course provides students with an overview of epidemiological principles and methods.
- **SPHG 600 (Introduction to Public Health Concepts):** This 3-credit course provides an introduction to public health, including history, key concepts, and terms. It is a required prerequisite for all graduate students who do not have a master's degree from a School
of Public Health. HPM 611 (Public Health Concepts in a Systems Context) is a suitable substitution and is generally recommended for our students.

Students with a master’s degree from a School of Public Health will be automatically exempted (i.e., no forms required) from all prerequisites except HPM 880 (which requires completing an exemption form). In addition, students without a master’s degrees from a School of Public Health may also have taken prerequisites (or their equivalents) prior to matriculation into our PhD program. In either case, exempting from any prerequisite requires permission from the instructor and completing the appropriate form (see Section on Exempting from Core Courses).

Course Requirements

A total of 43 credit hours of course work, excluding credits for prerequisites and the dissertation (minimum of six credits), is required for the degree. The PhD Program Checklist (Appendix 1) is intended to help students ensure that they have completed all requirements. Students must register as full-time students (at least nine credit hours) during the fall and spring semesters of the first and second years unless extenuating circumstances exist; this 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:** 9 credit hours

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

To succeed in the analytical methods sequence, students should be familiar with calculus, basic statistics, and linear algebra (matrix algebra) and STATA. Because students enter the program with proficiencies in these areas, students must take for credit, or be exempt from, HPM 880 (see prerequisites).

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

- HPM 871: Seminar in Teaching Health Policy and Management (1 credit)
- HPM 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. This course will not count towards the 43 hours required for graduation.

**Minor Area/Health Policy Elective:** 18 credit hours

In addition to the requirements above, all students must take at least an additional 18 credit hours that include both the requirements for their minor area (typically 5 3-credit courses—see section on minors) plus at least one 3-hour health policy elective (described below).
Health Policy Requirement

PhD students must take at least one course that provides an understanding of one or more of the following general areas: (1) health policy development (including how and why health policies are made); (2) the content of health policy that addresses a particular public health issue; and/or (3) frameworks for understanding or making health policy choices. Although critical for the development of health policy and health policy research, this requirement cannot be fulfilled with courses that primarily focus on understanding research methods or statistics. Rather, for this requirement, policy is defined as a purposive course of actions (e.g., programs, regulations, services management practices) set by government or organizations (e.g., hospitals, insurance companies) that deal with health-related concerns. Relevant courses may be offered in HPM or through various Departments at UNC or other universities. For some students, this requirement may be fulfilled by a course taken as part of the minor requirement. The decision of whether a particular course is appropriate should be made by the student’s advisor, who may consult with faculty on the PhD Advisory Committee. Some suggested courses are listed on our Web site.

Structure of the Program

Students take courses on a full-time basis for two years (a typical schedule is presented below), after which they take comprehensive examinations in the spring of their second year. In the fall of Year 3, students take Developing Proposals for Health Services and Policy Research (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.

<table>
<thead>
<tr>
<th>Fall, Year 1</th>
<th>Spring, Year 1</th>
<th>Fall, Year 2</th>
<th>Spring, Year 2</th>
<th>Fall, Year 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>BIOS 600</td>
<td>HPM 881</td>
<td>HPM 882</td>
<td>HPM 883</td>
<td>HPM 994</td>
</tr>
<tr>
<td>HPM 880</td>
<td>HPM 885</td>
<td>HPM 886</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HPM 884</td>
<td>HPM 873</td>
<td>HPM 874</td>
<td>HPM 874</td>
<td></td>
</tr>
<tr>
<td>HPM 873</td>
<td>HPM 874</td>
<td>HPM 874</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HPM 874</td>
<td>Minor</td>
<td>Minor</td>
<td>Minor</td>
<td></td>
</tr>
<tr>
<td>Minor</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- BIOS 600, HPM 880, HPM 754, EPID 600, and SPHG600 are prerequisites for which students may place out; students who must take these courses will do so in the semester that best fits their schedules.
- HPM 873 and HPM 874 are core Departmental seminars. All students are required to take HPM 873 during the fall and spring semesters of their first year (total of 2 credit hours) and HPM 874 during the fall and spring semesters for their first two years (total of 4 credit hour).
- HPM 871 (Seminar in Teaching Health Policy and Management) will be taken in the semester the student is a Teaching Assistant.
<table>
<thead>
<tr>
<th>Competency</th>
<th>Course Number</th>
<th>Minor Courses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understand critical issues related to health policy in the United States</td>
<td>884 X</td>
<td>885 X</td>
</tr>
<tr>
<td>Develop expertise in a substantive area (a minor)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review and synthesize a body of research literature</td>
<td>X X X</td>
<td>X X</td>
</tr>
<tr>
<td>Identify and appropriately apply theoretical knowledge and conceptual models in support of health services/health policy research</td>
<td>X X X X X X X</td>
<td></td>
</tr>
<tr>
<td>Develop hypotheses that can be tested in a research project</td>
<td>X X X X X X X X X</td>
<td></td>
</tr>
<tr>
<td>Select appropriate research designs and methodologies (quantitative and qualitative) for health services/health policy research</td>
<td>X X X X X X X X X X X</td>
<td></td>
</tr>
<tr>
<td>Understand and appropriately apply analytical strategies used in health services/health policy research</td>
<td>X X X X X X X X X X</td>
<td></td>
</tr>
<tr>
<td>Identify the ethical implications of research methods</td>
<td>X X X X X X X X X</td>
<td></td>
</tr>
<tr>
<td>Interpret and explain the results of research</td>
<td>X X X X X X X X</td>
<td></td>
</tr>
<tr>
<td>Critically evaluate articles from scholarly journals and research presentations</td>
<td>X X X X X X X X X</td>
<td></td>
</tr>
<tr>
<td>Write articles for submission to scholarly journals</td>
<td>X X X</td>
<td></td>
</tr>
<tr>
<td>Understand the grant writing process and write grant proposals</td>
<td>X X</td>
<td></td>
</tr>
<tr>
<td>Make oral presentations to scientific audiences</td>
<td>X X</td>
<td></td>
</tr>
<tr>
<td>Develop teaching skills in health services research, policy or management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Explain your research to various audiences (e.g., policymakers, health care professionals, general public, journalists)</td>
<td>X X</td>
<td></td>
</tr>
<tr>
<td>Learn to work on multidisciplinary teams</td>
<td>X X</td>
<td></td>
</tr>
</tbody>
</table>

* Developing Proposals for Health Services and Policy Research taken in the fall of the third year.
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 listed above must get approval from the Director of the PhD Program. Students must register for at least 15 credit hours in their minor area, and at least one course must be in theory. A list of faculty and more in-depth information on each minor can be found at our Web site (http://www.sph.unc.edu/hpm/academic/doctoral.htm).

Decision Sciences and Outcomes Research: The minor in Decision Sciences and Outcomes Research is an interdisciplinary program that prepares PhD students to focus on (1) methods for analyzing potential benefits/harms and costs of health technologies and interventions and (2) how to measure, analyze, and apply patient-reported outcomes 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 courses will depend upon whether students choose the modeling or outcomes research emphasis for a total of 15 credit hours; these courses will be selected in consultation with the student's minor advisor. Students without prior spreadsheet modeling experience are required to take HPM 770 (Introduction to Spreadsheet Modeling and Decision Analysis Tools for Improving Health Care Management and Policy Decision Making) as a pre-requisite, which does not count toward the 15 total credit hours.

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 units. Three core courses are required for this minor: Math Methods (Econ 700, which typically begins in early August), Microeconomic Theory (Econ 710), and Health Economics (Econ 850). For the remaining two electives, students can choose from courses at either UNC or Duke 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 (www.unc.edu/the). Students may receive one unit of credit for participating in the Triangle Health Economics seminars each semester by enrolling in HPM815, for up to 3 units of credit towards the minor. In addition to the courses above, health economics course offerings include:

- Health Economics in Developing Countries (Econ 851)
- Advanced Microeconomics (Econ 711)
- Econometrics courses (Econ 770, 771, 870-873)
- Labor (Econ 880-881)
- Demography (Econ 855)
- Economic Regulation of Industry (Econ 846)
- Public Finance (Econ 840-841)

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 (Quality of Care) is required of all students who minor in quality and access. In addition, students must take courses from at least three departments (including Health Policy and Management).

**Organization and Implementation Science:** Implementation science is a rapidly growing interdisciplinary field of study, with multiple federal agencies and Institutes within the National Institutes of Health (NIH) assigning scientific priority and research funding to this area of research. The NIH defines implementation science as “the use of strategies to adopt and integrate evidence-based health interventions and change practice patterns in specific settings.” Organization science has much to contribute to implementation science since the implementation of evidence-based health interventions typically occurs in organizational settings and efforts to change practice patterns typically focus on organizational members. The newly created Organization and Implementation Science minor equips doctoral students with the knowledge and skills to conduct implementation research, while preserving their marketability for faculty positions in health care organization and management. Students in this minor are required to take: (1) HPM 930/NURS 928 (Doctoral Seminar in Organizational Theory and Health Care Organizations); (2) either HBHE 730 (Theoretical Foundations of Social and Behavioral Science) or DPOP 803 (Social and Behavioral Aspects of Pharmaceutical Use); (3) HPM 767 (Disseminating Evidence and Innovation in Research Navigation); and (4) either PUBH 767 (Team Leadership in Research Navigation) or BUSI (Groups and Teams).

**Earning Degrees from Other Departments**

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

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

Learning to Work on Multidisciplinary Teams

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

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

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

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

Teaching

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

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

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

Parameters of the shadowing experience are as follows:

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

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

Other Professional Development Opportunities
Our curriculum is designed to provide students with skills they will need in their careers. These include HPM 874 and shadowing opportunities. We have also hold professional development seminars that primarily target students who have completed comprehensive examinations and are starting to more seriously think about jobs. We hold approximately 2-3 evening seminars per semester, and students from all years are invited.

Writing Skills
Learning to write for scientific audience, including your dissertation, 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) write a manuscript during HPM 874; (2) participate in an NC TraCS Institute-sponsored seminar (Writing from the Reader’s Perspective) offered by Dr. George Gopen; and (3) attend the HPM Writing Boot Camp 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 (http://www.unc.edu/depts/wcweb) offers individual tutorials, either in person or on line. This is an outstanding resource for all students. The Writing Center also provides a listing of resources specifically for English as Second Language (ESL) students (http://www.unc.edu/depts/wcweb/elac/index.html). The International Scholar and Student Services Office (http://oisss.unc.edu/resources/esl.html) offers several classes through the
English department, the Graduate School and the Writing Center itself intended to assist ESL students in acclimating to academic life in the U.S.

**Dissertation**
Each PhD student is required to write and defend a dissertation based on original research of a high scholarly standard that makes a significant contribution to knowledge in the field of health services research, policy or management. Students typically defend their dissertation proposal during the third year, and defend their final dissertation during the fourth year. The Department has developed a document entitled *General Guidelines and Procedures for PhD Dissertations and Dissertation Proposals*, which has been posted on our web site. The format of the dissertation should adhere to the guidelines specified in *A Guide to Theses and Dissertations* published by the Graduate School. **Notably, all dissertations must be submitted electronically.**

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. However, this option generally requires more effort 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. The general structure of the three-manuscript option is described in the HPM *General Guidelines and Procedures for PhD Dissertations and Dissertation Proposals*.

**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 courses. They are open book examinations. 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 prerequisite and required courses. In some cases, students will be allowed to take the comprehensive written exams without completing HPM 871, HPM 873, or HPM 874. Comprehensive exams are offered once per year, soon after the spring semester. Under no circumstances will the comprehensive exam be scheduled on a special basis.

Students will take comprehensive exams in three areas:

2. Analytical Methods: HPM 881, HPM 882, HPM 883
3. Minor Area (including Health Policy Elective).

Each exam is scheduled for a different day (*e.g.*, Monday, Wednesday, and Friday), typically in late May or early June. 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. Students may be expected to identify
faculty who will write questions for their minor area. 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. Comprehensive exams are open-book. Students should not discuss the articles (once they are distributed) or the exam questions (once they are released) with anyone, including students, faculty members, or other individuals. Students may work wherever is most comfortable for them (including out of town).

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

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

- **Incomplete** indicates that the student is deficient in one or more areas included on the examination. The committee will make recommendations for correcting these deficiencies. These recommendations can vary depending on the nature of the deficiency, and might include any or all of the following: completing an independent study; successfully completing formal course(s) for credit; clarifying their answers in writing; or providing oral clarification.

- **Fail** indicates that the student must retake the comprehensive exam. Because comprehensive exams are offered only once per year, students who fail the exam must wait until the following spring to retake the examination.

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

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

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

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

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

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

Advisor and Dissertation Committee

A description of role of the advisor and the structure/operation of the dissertation committee may be found in the HPM General Guidelines and Procedures for PhD Dissertations and Dissertation Proposals.
Advisor: Faculty advising is one of the most important factors to students’ successfully completing their doctoral studies. Faculty advisors serve a number of roles including academic advisor, research mentor, career advisor, and professional colleague. Because advising is so important, the Department has developed performance standards for PhD advisors and students (Appendix 3).

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

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 his or her primary appointment in HPM and have a doctoral degree. One the PhD Program’s core 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 HPM Student Services Manager. Notably, this process may take up to six weeks, and it is the student’s responsibility to initiate this process. The committee must be approved by the committee chair and the Director of the PhD Program. The dissertation committee must be appointed prior to the dissertation proposal defense. After forming a committee, the student must complete the Report of Doctoral Committee Composition form, and then submit the form to the Graduate School through the HPM Student Services Manager for approval by the Dean of the Graduate School. If there is a change in the committee, this form must be resubmitted.

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

**Transfer of Credits, Registration, and Time Limits**

**Transfer of Credit**

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

**Registration**

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

**Time Limit**

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

**Funding and Research Environment**

**Funding**

Doctoral students receive funding from a variety of sources. HPM typically grants PhD students full financial support (including stipend, tuition, and health insurance) for at least the first two years of study through department research and teaching assistantships, federal traineeships, and Graduate School awards. (This support is contingent upon satisfactory academic progress and availability of sufficient funds.) Most students work with faculty on research projects, for experience and income. Our students have been extremely successful in winning dissertation funding from the federal government and UNC research centers. Types of funding include:

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

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

**UNC-CH Campus:** On campus, HPM has close ties with researchers at the Schools of Medicine, Pharmacy, Dentistry, and Business, as well as at various Departments across campus. Several research centers also provide important resources for graduate students, including funding, office space, computing facilities, seminars, data, and help writing grants. These research centers include the Sheps Center for Health Services Research (www.shepscenter.unc.edu), the Lineberger Cancer Center (cancer.med.unc.edu), 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 Institute on Aging (www.aging.unc.edu), the Odum Institute for Research in Social Sciences (www.irss.unc.edu), the Center for Health Promotion and Disease Prevention (http://www.hpdb.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 (http://www.robertsonscholars.org/index.php?type=static&source=68) that run between the UNC and Duke campuses during the fall and spring semesters. The express bus has allowed students, researchers, faculty and staff to take advantage of the resources at both universities. PhD students may enroll in courses at Duke University without incurring extra tuition.

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

**Health Economics:** There is a strong and rapidly growing group of health economists in the Triangle in addition to the health economists in HPM. The Triangle Health Economics Seminar, jointly sponsored by HPM, draws faculty and students from UNC, Duke, RTI, North Carolina State, and UNC-Greensboro. The Economics Departments at UNC and Duke University provide students with outstanding health economists through courses they offer and by serving on their dissertation committees. Several other health economists are found in Duke’s Sanford Institute of Public Policy (www.pubpol.duke.edu). RTI also employs many health economists (www.rti.org/unite/seid/cer/healthcon.cfm).

**Student Awards**
Each year HPM awards the Jean G. Yates Award to the outstanding HPM doctoral student, and the Harry T. Phillips Award for outstanding teaching by a doctoral student.
<table>
<thead>
<tr>
<th>Year</th>
<th>Jean G. Yates Doctoral Award</th>
<th>Harry T. Phillips Award for Outstanding Teaching by a Doctoral Student</th>
</tr>
</thead>
<tbody>
<tr>
<td>1997</td>
<td>Michelle Mayer</td>
<td>Simone Cummings</td>
</tr>
<tr>
<td>1998</td>
<td>Glen Mays</td>
<td>Ying-Chun Li</td>
</tr>
<tr>
<td>1999</td>
<td>Kathleen Dalton</td>
<td>Laurie Goldsmith</td>
</tr>
<tr>
<td>2000</td>
<td>Courtney Van Houtven</td>
<td>Deokhee Yi</td>
</tr>
<tr>
<td>2001</td>
<td>Laurie Goldsmith and Zhimei Liu</td>
<td>John Staley and Julie Siebert</td>
</tr>
<tr>
<td>2002</td>
<td>Jessica Lee</td>
<td>Scott Stewart</td>
</tr>
<tr>
<td>2003</td>
<td>Tamara Hodlewsky</td>
<td>Bill Carpenter</td>
</tr>
<tr>
<td>2004</td>
<td>Bill Carpenter and Melanie Wasserman</td>
<td>Rachel DiSantostefano</td>
</tr>
<tr>
<td>2005</td>
<td>Ashley Skinner</td>
<td>John Staley and Julie Siebert</td>
</tr>
<tr>
<td>2006</td>
<td>Jeongyang Park</td>
<td>Ashley Skinner and Virginia Wang</td>
</tr>
<tr>
<td>2007</td>
<td>Elizabeth Wiley</td>
<td>Young Do</td>
</tr>
<tr>
<td>2008</td>
<td>Bhavna Talekar Patel</td>
<td>Leah Masselink</td>
</tr>
<tr>
<td>2009</td>
<td>Danny Yeh</td>
<td>Stephanie Wheeler and Brad Wright</td>
</tr>
<tr>
<td>2010</td>
<td>Stephanie Wheeler</td>
<td>Doug Melton</td>
</tr>
<tr>
<td>2011</td>
<td>Michaela Dinan</td>
<td>Wayne Psek</td>
</tr>
<tr>
<td>2012</td>
<td>Dio Kavalieratos</td>
<td>Elizabeth Blodgett and Jeff Federspiel</td>
</tr>
<tr>
<td>2013</td>
<td>Jeff Federspiel</td>
<td>Saleema Karim</td>
</tr>
</tbody>
</table>

**Student Offices**

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

**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, the Honor Code, non-discrimination, racial and sexual harassment, and the alcohol policy.

**Institutional Review Board (IRB) and Research Involving Human Subjects**

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

It is essential to receive approval prior to beginning research. Approval will not be given retroactively for any research and most journals will not accept manuscripts on research that has not received approval. Working as a research assistant under a faculty member's IRB-approved research does not exempt students from seeking separate IRB approval for their dissertation research, even if related to that project.
Early in the first semester, students should obtain training from an approved ethics training course. The Office of Human Research Ethics (http://research.unc.edu/offices/human-research-ethics/researchers/training/index.htm) provides instructions about how to obtain ethics training and certification. After completing the online course, print a copy of the certificate of completion and keep it in a safe place (e.g., student’s permanent file in the department).

Health Insurance Portability and Accountability Act (HIPAA)
HIPAA, which regulates the exchange of health information that is often critical to research, became law in 1996. HIPAA privacy regulations do not replace existing human research participant protections. Rather, HIPAA presents additional requirements. The regulations apply to personal, health and demographic information in the records of health care providers, health plans and health care clearinghouses (so-called “covered entities”) which include the UNC Health Care System, School of Medicine and other health care providers such as private clinics and hospitals. These entities will refuse to share health records without demonstrated HIPAA conformity, such as a patient’s signed authorization or a waiver of authorization from the researcher’s IRB. All researchers should know the HIPAA regulations. Online training is available at http://www.unc.edu/hipaa/. Some Schools and Centers will require additional training. For questions about the HIPAA, the IRB process or how to complete particular aspects of the application, please review the IRB web site (http://ohre.unc.edu).

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 on-line 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 (e.g., within a week or two). Approval for collecting sensitive data about human subjects may require several revisions before IRB approval is granted (e.g., 1-2 months). Therefore, plan ahead so that the research is not delayed. 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 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
When a Health Policy and Management graduate student is made academically ineligible, s/he 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 the 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 chair to endorse or decline to endorse the student’s request for reinstatement, but the final decision is made by the chair and is forwarded to the Graduate School. Final approval rests with the Graduate School.

Harassment and Discrimination Policy

University of North Carolina at Chapel Hill Policy on Prohibited Discrimination, Harassment and Related Misconduct including Sexual and Gender-Based Harassment, Sexual Violence, Interpersonal Violence and Stalking

The University of North Carolina at Chapel Hill is committed to providing an inclusive and welcoming environment for all students, faculty and staff. As part of this commitment, the University has adopted a more comprehensive policy addressing discrimination and harassment — the Policy on Prohibited Discrimination, Harassment and Related Misconduct Including Sexual and Gender-Based Harassment, Sexual Violence, Interpersonal Violence and Stalking.

Laptop Policy

In the 2012-13 academic year, the School of Public Health strongly recommends that all students own a laptop that meets campus minimum requirements. In 2013-14, owning a laptop will be required.

HPM Student Concerns and Complaints Guidelines

The Department of Health Policy and Management (HPM) is governed by the policies and procedures established by the University. Specific University policies are listed at the following webpage: [http://policies.unc.edu/](http://policies.unc.edu/).

In addition to compliance with University policies, HPM follows guidelines from the Gillings School of Global Public Health (GSGPH) when addressing student concerns. These can be found at [http://sph.unc.edu/files/2014/04/Addressing-Student-Concerns1.pdf](http://sph.unc.edu/files/2014/04/Addressing-Student-Concerns1.pdf).

Specifically, students in HPM should follow these steps when seeking to address a specific concern or to file a formal complaint.

**Process**

1. Contact and discuss with the course instructor or the individual with whom you have a concern. If the issue is unresolved, proceed to Step 2.

2. Discuss your concern with the director of the program in which you are enrolled. Contacts for each degree program are as follows:

<table>
<thead>
<tr>
<th>Program</th>
<th>Director/Co-Directors</th>
<th>Email</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>BSPH</td>
<td>Karl Umble</td>
<td><a href="mailto:umble@email.unc.edu">umble@email.unc.edu</a></td>
<td>919-962-2974</td>
</tr>
<tr>
<td>Residential Master’s</td>
<td>Bruce Fried</td>
<td><a href="mailto:bruce_fried@unc.edu">bruce_fried@unc.edu</a></td>
<td>919-966-7355</td>
</tr>
</tbody>
</table>
If the issue continues to be unresolved, proceed to Step 3.

3. Discuss your concern with the Department Chair, Dr. Sandra Greene, sandrab_greene@unc.edu, 919-966-8930. Depending upon the nature of the issue, at this point the Chair may convene a committee of faculty members to review the concern, interview the involved parties, and determine an appropriate course of action.

4. At any point in the process it may be determined that a University policy takes precedence and will be followed.

5. As stated in the GSGPH guidelines, if you are not comfortable interacting with the Instructor, Program Director, or Department Chair, at any time in the process, the Assistant Dean for Student Affairs, Charletta Sims Evans, sph-os@unc.edu, 919-966-2499, will meet with you.

6. If all preceding steps do not result satisfactorily, then continue to follow the GSGPH guidelines, steps 5 and 6. Appeal to the UNC Graduate School is also an option.
Timeliness
The timeliness in addressing any concern will initially be determined by the student who brings forth the concern. Factors influencing timeliness will be the nature of the issue, degree of seriousness of the issue and/or the urgency of the issue, once brought to the attention of the Instructor, Director, Department Chair, or Assistant Dean. If a concern has programmatic implications the issue will also be reviewed by the appropriate committee. In any case, all effort will be made to engage the student and to resolve quickly, equitably and satisfactorily the issue or concern.

Confidentiality
Concerns or issues are handled in a confidential manner in compliance with University FERPA, (http://registrar.unc.edu/academic-services/uncferpa/ferpa-documents/) and/or HIPAA regulations, (http://research.unc.edu/offices/research-compliance-program/privacy/hipaa/hipaa-basics/). The “Student Grievance Policy and Procedures, University of North Carolina at Chapel Hill” is found at https://deanofstudents.unc.edu/sites/deanofstudents.unc.edu/files/Revised%20Student%20Grievance%20Policy%20and%20Procedures%20%2800046292-12%29.pdf

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, 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. In terms of English language opportunities, ISSS maintains a directory of some 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 on line at http://oisss.unc.edu/.

Accessibility Resources and Services
The Department of Accessibility Resources and Services 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. You can learn more about their services at http://disabilityservices.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 web site (http://gradschool.unc.edu/forms/#doctoral). Other forms are required by the Department. Whether required by the Graduate School or Department, all forms should be submitted to the HPM Student Services Office so they can be placed in students; permanent files. Students should NEVER submit forms directly to the Graduate School. In addition to the required forms, there are a number of optional forms that serve to ensure students are making progress. We strongly recommend that these forms be completed each year.

Required Forms

<table>
<thead>
<tr>
<th>Report</th>
<th>When filed</th>
<th>Responsible party</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Doctoral Exam Report Form—Part I: Report of the Preliminary Written Examination</td>
<td>After taking comprehensive exams</td>
<td>Student</td>
</tr>
<tr>
<td>2. Report of the Doctoral Committee Composition</td>
<td>After assembling dissertation committee</td>
<td>Student</td>
</tr>
<tr>
<td>3. Report of the Approved Dissertation Project</td>
<td>After successfully defending the dissertation proposal</td>
<td>Student</td>
</tr>
<tr>
<td>5. IRB Approval (Initial and Annual, if required)</td>
<td>As per IRB guidelines</td>
<td>Student</td>
</tr>
<tr>
<td>6. Application for Graduation</td>
<td>Completing all requirements (except dissertation defense), about 3 months before graduation</td>
<td>Student</td>
</tr>
<tr>
<td>7. Doctoral Exam Report Form—Part III: Report of the Final Oral Examination</td>
<td>After successfully defending the dissertation</td>
<td>Committee Chair</td>
</tr>
<tr>
<td>8. Doctoral Exam Report Form—Part IV: Report of the Final Dissertation</td>
<td>When submitting dissertation to the Graduate School</td>
<td>Committee Chair</td>
</tr>
</tbody>
</table>

1. **Doctoral Exam Report Form—Part I: Report of the Preliminary Doctoral Written Examination.** This form is filed after taking written comprehensive exams and is filed regardless of whether the outcome of the examination is a pass or fail. The student is responsible for completing this form, obtaining the signature of the Director of the PhD Program, and filing the form the HPM Student Services Office.

2. **Report of the Doctoral Committee Composition.** This form is submitted to the HPM Student Services Office after assembling a dissertation committee. The committee must be
approved by the Director of the PhD Program, the chair of the dissertation committee, and
the Graduate School. Note: Students are responsible for submitting curriculum vitae of
members who are not part of the UNC faculty to the HPM Student Services Offices so that
they may be appointed to the Graduate School to serve on their committees.

3. Report of the Approved Dissertation Project: This report is filed after the dissertation
committee judges the dissertation project to be feasible and advises the student to proceed
with the proposal research. The student is responsible for filing this form with the HPM
Student Services Office.

4. 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.

5. IRB Approval: Initial and annual approvals from the IRB should be submitted to your
faculty advisor and the HPM Student Services Office. Additional information can be found
in the Ethics, Institutional Review Board, and HIPAA section of this manual.

6. Application for Graduation (Filed after completing all requirements except dissertation
defense, about 3 months before graduation—please check University calendar for the
exact filing date): Degrees are awarded three times a year; May, August, and December.
A student who expects to finish soon must notify the department and the Graduate School
of their intention to graduate by submitting an application for graduation on a specific date.
In order to have the degree awarded at the desired time, all degree requirements must be
completed (except the dissertation defense) no later than the deadline specified in the
University Registrar's Calendar for the relevant commencement. The Graduate School
cannot make exceptions to this rule. The student is responsible for filing this form.

examination takes place at the time of the dissertation defense. The Dissertation Committee Chair is responsible for submitting this form to the HPM Student Services Office.

by the Committee Chair, certifies that the final document is approved for electronic
submission. The Dissertation Committee Chair is responsible for submitting this form to the
HPM Student Services Office.

Optional Forms

- Curriculum Vitae (Filed by February 1 of each year): Students should provide a copy of
  their current curriculum vitae to their advisor. 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 2.
Additional Forms

- *Change of Advisor Request:* This form is filed whenever the student requests a change in either advisor or committee member.

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

- *PhD Checklist:* Although this is not an official form, the checklist (Appendix 1) is used to ensure that students have met all graduation requirements.
## Appendix 1: PhD Checklist

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Title</th>
<th>Semester(s) Completed</th>
<th>Credits</th>
<th>Pertinent notes: all substitutions and exemptions.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prerequisites</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>BIOS 600</td>
<td>Principles of Statistical Inference</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HPM 880</td>
<td>Math and Stata Modules</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>HPM 754</td>
<td>Health Care in the United States: Structure and Policy</td>
<td></td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>EPID 600</td>
<td>Principles of Epidemiology</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HSR/HSR Methods</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HPM 884</td>
<td>Health Services/Health Policy Research Methods I</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HPM 885</td>
<td>Health Services/Health Policy Research Methods II</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HPM 886</td>
<td>Advanced Applications in Research Methods</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Analytical Methods</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HPM 881</td>
<td>Linear Regression Models</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HPM 882</td>
<td>Advanced Methodology in Health Policy and Management</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HPM 883</td>
<td>Analysis of Categorical Data</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Minor Requirements</td>
<td>All students must take an 18 credit hours that include both the requirements for their minor area (typically five 3-credit courses—see section on minors) plus one 3-hour health policy elective (described below). Specific courses vary with the students' interests.</td>
<td>18</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minor</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional Development</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HPM 871</td>
<td>Seminar in Teaching Health Policy and Management</td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>HPM 994</td>
<td>Developing Proposals for Health Services and Policy Research</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>HPM 873</td>
<td>Research Seminar in Health Policy and Management</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>HPM 874</td>
<td>Advanced Research Seminar in Health Policy and Management</td>
<td></td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Dissertation Hours</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HPM 994</td>
<td>Doctoral Dissertation Hours (Does not count towards 43 hours)</td>
<td></td>
<td>Variable</td>
<td></td>
</tr>
</tbody>
</table>

### Total Credit Hours (Minimum of 43 Hours, not Including Prerequisites or Dissertation Hours)

- Approval of Final Electronic Dissertation: Doctoral Exam Report Form Part IV

1 Neither prerequisites nor HPM 994 (Doctoral Dissertation Hours) count towards the required 43 credit hours. HPM 871 is taken during the semester in which the student is a teaching assistant. All students are required to take HPM 873 during the fall and spring semesters of their first year (total of 2 credit hours) and HPM 874 during the fall and spring semesters for their first two years (total of 4 credit hour).
Appendix 2: Annual Progress Report for Students Enrolled in Dissertation Hours
HPM 994

Name: ___________________________ Advisor: ___________________________
Year Entered PhD Program: ____________________

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

If you have not defended your dissertation proposal:

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

If you have defended your dissertation proposal:

Date passed: ____________________________________________
Committee Members: _______________________________________

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

Other Activities:

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

Signature of Faculty Advisor: ____________________________ Date
Signature of Student: ____________________________ Date
Appendix 3: Department of Health Policy and Management
Performance Standards for PhD Advisors and Students

Advisor Performance Standards

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

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

Students’ Performance Standards:

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

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