UNC CHARLOTTE

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Ph.D. in Health Services Research Student Handbook

2020-2021

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Disclaimer: This Handbook describes the program, policies, and practices of the UNC Charlotte Ph.D. program in Health Services Research. In the event of a conflict between this document and University documents on any issue, University documents shall have precedence.

Who is Covered by the Requirements Given in this Handbook: All matriculating students to the Health Services Research Ph.D. program are governed by the policies described in this Handbook.

CEPH ACCREDITED
BACHELOR'S
MASTER'S
DOCTORAL

Contents

The Department of Public Health Sciences

Overview

The Department of Public Health Sciences was originally founded as the Department of Health Behavior and Administration on July 1, 2002 as part of the transformed College of Health and Human Services. The new Department was conceived in response to recommendations derived from UNC Charlotte's Health Commission report (2000) as well as a variety of initiatives placing emphasis on population health and health behavior research. In May 2007 the Department was renamed to Public Health Sciences to better reflect the unit's larger-scale set of current and planned research programs, degree offerings, and service activities. Faculty research programs focus on individual and population health including: the prevention and management of disease across the lifespan; the health status of diverse, urban communities; and population health and health care analytics. Our goals include creating North Carolina's second accredited School of Public Health.

The Department favors the development and implementation of collaborative academic programs and interdisciplinary scholarship; and embraces the University's core values encouraging diversity and equal educational and employment opportunities throughout the University community. The University's non-discrimination policies, the Council on University Community, and the Multicultural Resource Center support these values.

Our excellence is rooted in the competence of our highly collegial faculty and staff; support from the university's administrative leadership; expert peer review; and the understanding and enthusiasm of our community partners including advisory board members, part-time instructors, and internship preceptors. We welcome your advice and guidance; your collaborations and partnerships; your support and contributions; and your commitment to excellence.

Mission
Advance health equity and well-being in an urbanizing world.

Vision
Healthy communities partnered with responsive population health systems.

The Ph.D. Program in Health Services Research

Overview

Health Services Research is a field of scientific investigation that studies how financing systems, health technologies, organizational structures and processes, personal behaviors, social factors, and policies affect access to health care, quality and cost of health care, and societal health and wellbeing. It is an interdisciplinary field that draws on a wide range of disciplines, including biostatistics, epidemiology, sociology, social work, economics, medicine, nursing, public health, engineering, management, and public policy. Health services research provides knowledge to guide the decisions of those who direct the billions of dollars allocated to health care each year in the United States and globally.

The Institute of Medicine of The National Academy of Sciences offers a similar definition:

> "Health services research is a multidisciplinary field of inquiry, both basic and applied, that examines the use, costs, quality, accessibility, delivery, organization, financing, and outcomes of health care services to increase knowledge and understanding of the structure, processes, and effects of health services for individuals and populations." (Committee on Health Services Research: Training and Workforce Issues. (1995). Health Services Research: Workforce and Educational Issues. M.J. Field, R.E. Tranquada, and J.C. Feasley (Eds.). Washington, D.C.: National Academy Press.

The Ph.D. Program in Health Services Research at UNC Charlotte is an interdisciplinary program. It includes course work in health economics, health organizational structures and processes, epidemiology, health policy, health behavior, grant writing, statistical analysis, research design and implementation, program evaluation, and research ethics. Graduates are prepared to conduct interdisciplinary research using quantitative and qualitative methods and to create new knowledge supporting innovations in health care delivery systems and health policy. Students complete core courses, courses and projects sufficient to develop an individual area of interest, and a dissertation. The dissertation is the capstone of the program and is expected to be a significant contribution to knowledge. It is original and independent research of sufficient quality to warrant publication in peer-reviewed, indexed journals. Students are encouraged to submit grants to support their Ph.D. studies and their dissertation research, as well as their research expenses and professional travel.

Mission of the Program in Health Services Research

The Ph.D. program in Health Services Research at UNC Charlotte is committed to providing students the interdisciplinary knowledge and skills needed to excel in research and education that improves health and human services in diverse socioeconomic groups and geographic settings.

Core Competency Goals of the Ph.D. Program in Health Services Research

To develop doctoral competency in Health Services Research, Ph.D. students at UNC Charlotte will:

1. Demonstrate mastery of core knowledge and theoretical frameworks related to health services research and the larger health and healthcare delivery systems.
2. Formulate and defend problem/case statements in health services research.
3. Design theory grounded, contextually and culturally relevant, and ethically appropriate research studies that address pressing health services research needs.
4. Effectively manage and implement a health services research study protocol and interpret its findings.
5. Communicate and disseminate research findings tailored to professional and lay audiences and advocate for practice and policy changes consistent with those findings.

Advising, Coursework, and Enrollment Requirements

Academic Advising

All course selections require the approval of the Health Services Research Ph.D. Program Director. All students shall have a faculty advisor when they are admitted. The faculty advisor must be a member of the Health Services Research Ph.D. Program Faculty.

During the first year of full-time study or two years of part-time study, students are expected to begin to narrow the focus of their research interest to an area of proposed dissertation study. Each student will typically identify a Dissertation Committee Chair by the end of their first year of full-time study or the beginning of the second year of full-time study. Once the Dissertation Committee Chair is selected, he or she becomes the student's faculty advisor for the remainder of the program. The Dissertation Committee Chair will advise the student in her or his area of specialization and guide the student in recommending additional courses relevant to the planned dissertation. The Dissertation Chair also will advise the student in the selection of additional Dissertation Committee members. Note that Dissertation Chairs must be members of the Program Faculty or members of the Participating Faculty with a Program Faculty member as co-chair of the Dissertation Committee.

Course Requirements and Options

The Ph.D. program in Health Services Research is designed to prepare students to conduct health services research and/or teach at a university level. The program of study is designed around the interests of the individual, taking previous academic training and professional experience into account. The program emphasizes research methods, statistics, and theoretical and empirical concepts in health services research, policy, and management. The Health Services Research Ph.D. Program is offered for full-time and part-time students.

Graduates of the Ph.D. Program in Health Services Research will be prepared for employment as researchers and senior program leaders in: colleges and universities, federal and state governmental agencies, public health organizations, health care provider organizations, advocacy organizations, and international health provider and advocacy organizations.

Administratively located in the [Department of Public Health Sciences](), the Health Services Research Ph.D. Program is interdisciplinary, with courses taught by faculty from the College of Health and Human Services, the Belk College of Business, and the College of Liberal Arts and Sciences. This approach allows the Health Services Research Ph.D. Program to incorporate multiple perspectives and draw on the strengths of scholars from diverse disciplines.

The Ph.D. in Health Services Research consists of 61 total credit hours including the following:

1.   Theory Courses (12 credits)

2.   Methods Courses (12 credits)

3.   Professional Roles and Responsibilities Courses (7 credits)

4.   Area of Emphasis Courses (12 credits)

5.   Dissertation (18 credits)

As defined in the Graduate Catalog, a semester course load totaling nine credit hours is considered full-time. Doctoral-level courses are considerably more time-consuming than most courses at the master's level, and doctoral students should also typically be involved in conducting research in collaboration with faculty. Students should not typically register for more than 10 credit hours in a given semester. A course load less than nine hours is considered part-time. The course plan for the Health Services Research Ph.D. represents the minimum number of courses and credit hours for completion of the degree. Students whose progress in developing skills or knowledge required for successful completion of the dissertation may be required to take additional courses. The requirement to take additional courses will be determined jointly by the student's advisor and the Program Director.

Theory Courses (12 credits required)

HSRD 8201 - Introduction to Health Services Research (3)

HSRD 8202 - Healthcare Systems and Delivery (3)

HSRD 8203 - Economics of Health and Healthcare (3)

HSRD 8204- Health Policy (3)

Methods Courses (12 credits)

HSRD 8260 - Design of Health Services Research (3)

HSRD 8261 - Healthcare Program Evaluation, Outcomes, and Quality (3)

HLTH 8270 - Applied Biostatistics: Regression (3)

HLTH 8271 - Applied Biostatistics: Multivariate Methods (3)

Professional Roles and Responsibilities Courses (7 credits)

HLTH 8601 - Ethics and Integrity in Health Research and Practice (3)

HSRD 8600 - Seminar in Health Services Research (taken 4 semesters)

Area of Emphasis Courses (12 credits)

Students will design an area of emphasis in consultation with their advisor, subject to the Program Director's approval. The area of emphasis should align with the student's intended research focus. The area of emphasis must include at least two of the methodology courses listed below (or alternatives approved by the Program Director). The remaining courses should provide added depth relevant to the area of emphasis (e.g., methods, health issue, population), and may be at the master's or doctoral level.

Selectives (choose two of the following, 6 credits):

HLTH 6260/PPOL 8665 - Analytic Epidemiology (3)

HSRD 8262 - Large Data Sets and Health Services Research (3)

HSRD 8263 - Advanced Data Analysis for Health Services Research (3)

HLTH 8221 - Qualitative Research 1: Theory Generation in Behavioral Sciences (3)

HLTH 8282 - Health Survey Design and Research (3)

HLTH 8603 - Teaching Portfolio (3)

Depth (6 credits)

Any relevant graduate courses

Dissertation (18 credits)

HSRD 8901 - Dissertation Research (May be taken as 3, 6, or 9 credits)

Other Requirements

All newly admitted doctoral students are required to enroll in the online non-credit course, GRAD 8990 - Academic Integrity. Students must successfully complete this course prior to registering for the next semester.

Directed Study Courses (Independent Study)

There are no specific limitations imposed by the Graduate School on the number of independent study credits for a Ph.D. student. Students considering more than a total of 6 credits of independent study should consult with the Program Director. **Only in unusual circumstances will more than 6 credits of independent study be acceptable.**

Independent study classes can in some instances be used to satisfy a required course. After consulting with the Program Director, students should complete the independent study class substitution request using the Graduate Academic Petition tool (https://gpetition.uncc.edu/login). Students intending to take independent study credits must complete the "Independent Study Application Form" (see Appendix G), which must be completed (with signatures from the student, the faculty mentor supervising the independent study course, and the Program Director) no later than the end of the first week of classes in the semester in which the independent study occurs. **Independent study courses will not typically be approved to satisfy existing required courses that are offered in the semester that the independent study is taken or that are scheduled for the following semester.** Independent study classes in the Health Services Research Ph.D. Program will be taught by Health Services Research Ph.D. Faculty. The Program Director must approve all independent study courses taken to fulfill requirements of the Health Services Research Ph.D. Program.

Graduate Certificate Opportunities

With careful course selection, students can also earn a Graduate Certificate in a specialty area, often with few or no additional courses. Graduate certificates are available in Gerontology; Applied Ethics; Emergency Management; Africana Studies; Gender, Sexuality & Women's Studies; and Health Informatics. Please consult the Graduate School website for more information (https://graduateschool.uncc.edu/)

Transfer Credit

The UNC Charlotte Graduate School stipulates that students may transfer up to 30 graduate level credits from a regionally accredited university toward a doctoral degree. This program limits master's level transfer credits to at most 6 credits. Courses expire after 9 years. The Ph.D. Program Director, in conjunction with Program Committee, approves graduate level transfer credits. Students must apply for transfer of graduate levels courses within the first year of enrollment, or within one semester following completion of the course if taken during the Ph.D. program. Only courses in which the student earned a grade of B or above (or its equivalent) may be transferred. Credit for dissertation research cannot be transferred. Courses taken to fulfill the master's level prerequisite public health courses do not count toward the 61 credit total.

Time Limits and Continuous Registration

Time Limits

All requirements for the degree must be completed within 8 years after the first registration as a doctoral student or the registration for any course transferred into the program toward degree requirements. The student must receive admission to candidacy within 6 years after admission to the program and complete all requirements within 6 years of admission to candidacy for the Ph.D. degree. These time limits are maximums; students will be typically expected to complete the degree requirements within 5 years.

Continuous Registration

From the Graduate Catalog: Students in graduate degree programs are required to maintain continuous registration (fall and spring semesters) for thesis, dissertation, project, or directed study until work is completed. Students are not required to enroll in any summer term unless they are using campus facilities or they are completing degree requirements in that term. Students using University resources should enroll in the number of graduate credit hours that best reflects the amount of resources being used (typically three (3) or more graduate credit hours). **The continuous registration requirement begins with the semester in which the student first registers for his/her thesis, dissertation, project, or directed study.**

Note: Students must be enrolled during the term (semester or summer) in which they graduate from the University.

GRAD 9999

GRAD 9999 (Doctoral Graduate Residency Credit) has no fees associated with it (only tuition) and is only 1 credit. This course meets Graduate School requirement for continuous enrollment during final term prior to graduation when all degree requirements (including dissertation) have been completed. This course is non-graded, and credit for this course does not count toward the degree. It may be repeated once. Doctoral students who are not using University resources and have already defended their dissertation but have yet to graduate can register for 1 credit hour of GRAD 9999.

GRAD 9800

GRAD 9800 – Full-time Enrollment for Research is an option for graduate students completing their thesis or dissertation research. Students who have completed all required credit and passed all milestones except the final defense are eligible to enroll. This 3-credit course can be used to elevate the qualifying student to full-time enrollment. Students working toward their defense should use this course and not the 1-credit residency course, GRAD 9999. That course (GRAD 9999) should be requested only when a student misses the deadline to defend the thesis/dissertation in one semester and must defend in the first four weeks of the next semester to graduate. That student is using few university resources and simply needs to be registered to graduate. When more thesis or dissertation work is needed, the GRAD 9800 course is appropriate.

Dissertation Research Credits Application

Prior to registering for any dissertation research credits, students must complete the "Dissertation Research Application" found in [Appendix B](#). This application must then be approved by the Program Director. It is the student's responsibility to ensure that the course has been properly added to their schedule. Note: this application requirement applies to all dissertation credit course prefixes including HLTH, HSRD, and GRAD. A new application should be submitted each semester prior to registering for dissertation credits.

Leave of Absence

The Leave of Absence adheres to the current Graduate School Catalog. Please carefully consult the Graduate School Catalog for details regarding who may apply for a leave of absence, the forms and processes required, the timeframes for doing so, special instructions for international students, and consequences of an extended leave of absence. Students experiencing a medical emergency should contact the Dean of Students Office. Students with questions about the leave of absence option can contact the Center for Graduate Life.

Academic Standards, Progress, and Graduation Requirements

UNC Charlotte requires that graduate students maintain academic standards as outlined on the Graduate School Website.

Graduate students must average at least a B (3.0 on a 4 point system) over all courses attempted as part of the requirements to qualify to receive a graduate degree. Note: A grade of U or NC in any course constitutes an automatic termination of enrollment.

Accumulated Low Grades

Doctoral studies require excellence in academic performance. It is typically expected that most Ph.D. students will earn "A" grades in most or all of their courses. A student earning a large number of "B" grades as a doctoral student should recognize that this may indicate questionable preparation for the dissertation, and may be viewed negatively by some potential employers—particularly colleges and universities. A total of two C grades or a single grade of U results in termination. A terminated student may not register for classes unless approved for reinstatement. If the program reinstates a student, a subsequent grade of C or U will result in immediate dismissal from the program. If a program does not approve reinstatement, the student is dismissed from the program. (Note that even a single C grade is unexpected in doctoral study; it is unlikely that the Health Services Research Ph.D. Program Committee will consider reinstating a student in this situation in the absence of unusual extenuating circumstances.)

Program of Study

DegreeWorks is the definitive record for graduation clearance. Students may access DegreeWorks via http://my.uncc.edu. Students are encouraged to routinely check their degree progress in DegreeWorks. Prior to the final term, all students are encouraged to schedule an appointment to meet with their advisor and/or graduate program director. It is the student's responsibility to ensure that he/she is making satisfactory progress towards graduation, based on the program requirements outlined in DegreeWorks and any additional directions issued by the graduate program.

Annual Evaluation of Health Services Research Ph.D. Students

Each Health Services Research Ph.D. student will complete an annual self-evaluation in conjunction with their advisor/chair. This evaluation will help prepare doctoral students professionally and document their progress in the Health Services Research Ph.D. Program. The evaluation content includes academic and research progress, professional development evaluation, and plans for the following year. Students must submit an Annual Progress Report to be in good academic standing. **Students are also required to attach a CV with relevant items highlighted from the current academic year**. Upon completion of this evaluation and agreement between the student and the advisor/chair regarding the content, the advisor/chair will submit the completed and signed form to the Ph.D. Program Director for final approval. The advisor/chair may also provide additional confidential feedback regarding the student's performance. The advisor/chair should submit the completed and signed evaluation by April 1st. The evaluation form can be found in Appendix F.

The advisor evaluation becomes part of the student's permanent file. They may be used when evaluating the adequacy of student progress for continued assistantship funding, fellowship opportunities or other honors, determining priorities for funding 4th year assistantships in years when they might be available, preparing letters of recommendation for employment, and so forth.

Students with graduate assistantships will be additionally evaluated by their direct supervisor every semester. Please refer to the Professional Responsibilities of Students with Graduate Assistantships section in this handbook for more details.

Deadlines for Form Submission

Deadlines for submission of various forms, such as for Admission to Candidacy and Application for Graduation in a particular semester, are available in the Academic Calendar, http://www.registrar.uncc.edu/calendar.asp. Students should note that dates for submission of candidacy forms and applications for graduation occur very early in each semester; for May graduation, for example, the date for the Application for Graduation and the final date for the Application for Candidacy typically occurs in the 3rd week of January. The Application for Candidacy for a Degree and the Application for Candidacy for Graduate Certificate forms are paper forms that are available from the "Graduate School Forms" page of the Graduate School Website at: http://graduateschool.uncc.edu/current-students/forms. Similarly, the last day to file a dissertation with the Graduate School for May graduation typically occurs no later than the 3rd week of March. See the Academic Calendar for exact dates that apply for a given semester.

Residency Requirement

The student must satisfy the UNC Charlotte continuous residency requirement for the program by completing 21 credit hours. Residency is considered to be continuous if the student is enrolled in one or more courses in successive semesters until 21 hours are earned. Continuous enrollment in fall and spring semesters is adequate for the purpose of establishing continuous residency.

The purpose of the residency requirement is to ensure that doctoral students benefit from and contribute to a broad array of educational and professional opportunities provided on the UNC Charlotte campus. When establishing residency, it is expected that the student will interact regularly with faculty and peers by regularly participating in courses, seminar series, and actively use the library and other facilities, including laboratories, available for graduate education.

Graduation

During the semester before the PhD candidate expects to receive the degree, the candidate will review his/her academic record and progress on the dissertation with the chair of his/her

dissertation committee. If the chair of the dissertation committee agrees that all work on the dissertation, including the defense, is likely to be successfully completed by the end of the following semester, the candidate will apply for the graduation on Banner Self Service. The candidate will then be billed by Student Accounts for the Application for Degree fee. Graduation announcements may be ordered through the campus bookstore. Caps, gowns, and hoods may be either rented or purchased through the bookstore.

Doctoral students must apply for graduation by the published deadline in the final term. Students who fail to apply for graduation by the published deadline will not be evaluated for graduation and will be ineligible to participate in the commencement ceremony.

The Qualifying Examination

Examination Guidelines

The qualifying examination will take place in August and December/January of each year (exact dates to be announced to students at least three months in advance). The qualifying examination is a two-day, closed book, written examination. In lieu of recent events, the examination will take place using the Lockdown Browser and Respondus Monitor features of Canvas. Students will be provided a reading list to assist them in preparing for their examination. The examination must be taken and passed prior to enrollment in dissertation research credit hours (HSRD 8901).

Students may not use books, notes, cell phones, or other materials during the examination unless told otherwise. Students should always show the camera any item they are using and speak to the camera so it is clear why they picked up an item.

Students who plan to take the comprehensive examination will be asked to provide the Qualifying Examination Committee with the name of their identified content person and a one-page document that summarizes the following: their content area, how their content area complements their planned dissertation research, and a list of two to five theories that relate to their content area with a brief description of how they arrived at that determination.

Qualifying Examination Committee

The HSR PhD Qualifying Examination Committee is responsible for administering the examination.

Examination Format

The qualifying examination will consist of three competency sections over the course of two days: methods, theory, and integrative.

The Qualifying Examination Committee has determined that the following Methods classes will be included on the examination: Design of Health Services Research; Healthcare Program Evaluation, Outcomes, and Quality; Applied Biostatistics: Regression; and Applied Biostatistics: Multivariate Methods. Theory classes to be included on the examination include: Introduction to Health Services Research and Healthcare Systems and Delivery. Ethics and Integrity in Health Research and Practice will also be included on the examination. The Qualifying Examination Committee, in consultation with each student's content person, will be responsible for writing questions and detailed rubrics that encompass the subject matter for the classes in an integrative manner.

The Qualifying Examination Committee will select a set of questions for the Methods and Theory examination sections. All students will be required to answer one "standard" question in the Methods and Theory sections. Students will be allowed to choose one additional question to answer for each section from the remaining questions. Thus, in total, students will complete two

questions in the Methods section and two questions in the Theory section. The Methods and Theory sections will take place during Day 1 of the qualifying examination.

Day 2 of the qualifying examination will be the Integrative section. This section will be written by members of the Qualifying Examination Committee with assistance from each student's identified content person. The Integrative section will be related to the student's content area. To prepare for this section (as well as the other sections), it is recommended that students be very familiar with 5-10 key articles related to their content area.

The schedule for the comprehensive examination is provided below (note: times are approximate):

Day 1
8am-12pm: Theory section
12pm-1pm: Lunch break
1pm-5pm: Methods section

Day 2
8am -12pm: Integrative section

Examination Grading

Questions will be graded independently by the faculty member who wrote the question and one additional grader familiar with the course material using the rubric provided to the HSR PhD Qualifying Examination Committee. If the scores of the two graders do not agree, a third grader will be asked to grade the student's response. Individuals responsible for grading the Theory section will be provided with the responses to those questions during the afternoon of Day 1. Individuals responsible for grading the Methods section will be provided with those responses by the morning of Day 2. Individuals responsible for grading the Integrative section will be given those responses the evening of Day 2. It is expected that all grading will occur within 48 hours of receipt of the responses so students can be notified of the outcome of their qualifying examination in a timely manner. Please note, in December graders may need more than 48 hours given that they will also be grading final exams for their own courses.

The scores for the two questions within the Theory section will be averaged to derive an overall score for that section. Similarly, the scores for the two questions within the Methods section will be averaged to derive an overall score for that section. The Integrative section will have one overall score. In order to pass the qualifying examination, the student must receive a pass in all three sections.

Second Attempt at Qualifying Examination
If a student fails one section of the qualifying examination she/he may retake just that one section the next time the qualifying examination is offered. If a student fails two or more sections, she/he will need to retake the entire examination the next time it is offered. If the student fails a second time, she/he will be dismissed from the program.

Students may not register for HSRD 8901 until they have successfully passed their qualifying examination. In the event that a student does not pass the qualifying examination on her/his first attempt, the student should consult with her/his advisor and Program Director to determine additional classwork that should be taken to assist in preparing for a subsequent iteration of the qualifying examination

The Dissertation Process

Summary of Dissertation Steps, with Required Forms

Note regarding forms: the forms described below are required by the Graduate School. Doctoral Student Forms are submitted electronically through DocuSign unless otherwise noted. For more information, see https://graduateschool.uncc.edu/current-students/graduation-clearance/doctoral-checklist. A copy of each form will be included in the student's program file. The newest versions of forms are at the Graduate School's website: http://graduateschool.uncc.edu/current-students/forms.

Step 1: The students selects a Dissertation Chair. The Chair must be a member of the Health Services Research Ph.D. Program Faculty, or a member of the Health Services Research Participating Faculty with a co-Chair who is a member of the Program Faculty. Students should consult with their faculty advisor and the Program Director as they develop their plans for selecting the dissertation committee chair, and for forming the dissertation committee. It is important that the Chair of the dissertation committee is actively involved with the selection of the other committee members. Having identified a Chair who agrees to serve in that role, the student should work closely with the Chair on identifying other committee members, and typically should approach other faculty about serving on the committee only after consulting with the Chair.

The following steps should be undertaken in consultation with the Dissertation Chair.

Step 2: The student selects the Dissertation Committee, which must be at least 4 members. Three must be from the Health Services Research Ph.D. Program Faculty or Participating Faculty (one of whom is the Chair). The student submits the "Appointment of Doctoral Dissertation Committee" form. The Graduate School appoints the 4th member. The four members of the dissertation committee will serve as the student's committee for the refinement of the dissertation topic, the development and defense of the dissertation proposal, the development of the dissertation, and dissertation defense.

Experts in the University who are not members of the Program or Participating Faculty may be nominated for membership at the appropriate level. Interested faculty should contact the Health Services Research Ph.D. Program Director. Experts outside the university who can contribute usefully to the dissertation committee can also be nominated for participation. This requires: (1) adjunct faculty status in one of the departments of the CHHS, (2) admission to the UNC Charlotte Graduate Faculty, and (3) admission to the Health Services Research Ph.D. Participating Faculty. It should be noted that the 3 approval processes just described can take several months; students who want to involve an outside expert should plan accordingly.

Step 3: The Chair of the dissertation committee and the student together select the dissertation topic. The Chair of the dissertation committee is responsible to ensure that all members of the committee are actively involved and agree to the direction and the specifics of

the proposal (e.g., data, methods). Ensuring this involvement and agreement is a major goal of the Topic Approval Meeting. When the Chair approves the topic and approach to the dissertation, the student schedules the Topic Approval Meeting with the Dissertation Committee. The student submits a 2-3 page description of the dissertation plan to the Dissertation Committee at least 2 weeks prior to the Topic Approval Meeting. This single-spaced description of the topic includes the following sections: (1) Background and Significance, (2) Hypothesis and Specific Aims, and (3) Methods. The Topic Approval Meeting is not typically open to visitors. Students will present a brief oral summary of: the dissertation topic, the context of related research literature, data and methods, and implications for policy and practice, followed by questions and discussion among the committee and the student. The Topic Approval Meeting may be repeated as needed.

Step 4: Following the Topic Approval, the student writes the Dissertation Proposal and prepares for the Oral Proposal Defense. Students should consult with their Dissertation Chair and Committee early in the process to determine whether the "traditional" or "three manuscript" approach is most applicable to their proposed dissertation research. Regardless of the approach selected, the dissertation proposal should contain the following elements:

1. *Introduction*. This chapter should highlight the importance of the problem to health services research and the significance of the proposed research.
2. *Literature Review.* This chapter should critically review and synthesize literature relevant to the proposed topic. It may be appropriate to include a conceptual or biological model to further position the research questions to be explored.
3. *Hypotheses and Specific Aims*.
4. *Methods.* This chapter should include information on the study design, study population, measurement of variables, and statistical analysis plan. For the proposal, this chapter should also contain information on study strengths, limitations, and potential implications. Please note that this information will be incorporated into a different chapter for the final dissertation.
5. *References.* Students should consult with their Dissertation Chair regarding what citation style to use.
6. *Appendix.* This chapter is optional but may include dummy tables, questionnaires, informed consent forms, data request forms, or other relevant information that is referenced in an earlier chapter.

If students plan on using the "three manuscript" approach they should also include a brief description of the three manuscripts they will produce and relate them to their hypotheses and specific aims. Students should also list target journals for these manuscripts. For the proposal, this information can be included within Chapter 3. For additional information on the "three manuscript" approach, please consult the Graduate School website.

Students are expected to meet with their Dissertation Chairs on a regular basis to discuss their dissertation research. Students and Dissertation Chairs should consult with the Dissertation Research Credit Application that they completed together to ensure that appropriate progress is being made during the semester. All members of the committee must receive the full proposal at least 2 weeks before the Proposal Defense.

Step 5: The submission of the proposal is followed by the Oral Proposal Defense. In the Health Services Research Ph.D. Program, the Oral Proposal Defense is open to faculty and students. The student must provide the title of the proposed dissertation, the date, time, and location of the Oral Proposal Defense to the Program Director no later than two weeks prior to the Oral Proposal Defense. This is designed to ensure that interested Health Services Research Ph.D. faculty and students have adequate notice to attend the Oral Proposal Defense. Health Services Research Ph.D. students are particularly encouraged to attend these Oral Proposal Defenses. The proposal defense announcement template, which should be completed by the student and provided to the Program Director, can be found in Appendix H.

The student should prepare a PowerPoint presentation approximately 20 minutes in length summarizing the research proposal. Following the student's presentation, the committee will ask questions about the research plan. The student will be excused from the meeting to permit the committee to discuss the merits of the proposal, after which the student will return to the meeting to receive the committee's comments and required modifications to the research plan. After successful completion of the Oral Proposal Defense, the student submits two forms, "Proposal Defense for Doctoral Dissertation and/or Master's Thesis," and "Report of Comprehensive Exam or Qualifying Exam (Doctoral)." Additionally, the student must apply for candidacy through Banner Self Service's Student Services.

A doctoral student advances to candidacy after the dissertation topic and approach has been approved by the student's dissertation committee and the Dean of the Graduate School. NOTE: Completing Step 3 above, the Topic Approval Meeting, does not constitute advancement to candidacy. Advancement to candidacy requires approval of both the topic and the detailed dissertation plan at the time of the oral proposal defense, including any required plan for the protection of human subjects. **If human subjects are involved, the Proposal Defense for Doctoral Dissertation and/or Master's Thesis form requires the attachment of the IRB approval.**

Candidacy must be achieved at least **six months** before the degree is conferred.

All members of the committee must usually be physically present at the Proposal Defense. The Graduate School provides for one exception only for a single committee member who may participate remotely via audio or video conferencing, where the latter is preferred. Remote participation requires the form, "Approval of Remote Committee Participation." All conditions listed on the form must be fulfilled. This form should be completed and returned to the Graduate School well in advance of the proposal defense.

A student who fails to complete the Oral Proposal Defense satisfactorily may be given the opportunity to revise components of the research proposal under the direction of the Chair and/or to repeat the Oral Proposal Defense, at the discretion of the Dissertation Committee; a second failure results in dismissal from the PhD program.

Step 6: The student writes the dissertation. The student is required to maintain continuous enrollment in HSRD 8901 for dissertation study until the dissertation is completed. **The continuous enrollment requirement begins in the semester after the dissertation topic is approved.** Students conducting dissertation research should meet regularly with their committee Chair and other members of the committee. At a minimum, the student must meet with the committee Chair at least once each semester.

Step 7: When the chair of the dissertation committee agrees that all work on the dissertation, including the defense, is likely to be completed successfully, the candidate applies for graduation through Banner Self Service. See the section, "[Deadlines for Form Submission](#)," below.

Step 8: The final examination on the dissertation research, commonly called the Dissertation Defense, is the culminating activity of doctoral studies. Typically the dissertation chair and committee should not schedule the defense until they are reasonably confident that the dissertation is likely to be approved, either as-is or with relatively minor revisions. The Graduate School requires that the dissertation must be submitted to the committee at least three weeks before the date of the final examination in which the dissertation is defended. The announcement of the final defense can be disseminated through the Academic Affairs listserv (http://graduateschool.uncc.edu/current-students/graduation-clearance/submit-your-dissertation-defense-announcement). The announcement of the dissertation defense should include the identification of the student's full name, the date of the defense, the location of the defense, the time of the defense, the title of the dissertation, the name of the Chair of the Dissertation Committee, and a brief abstract of the dissertation. Doctoral students should complete the form for the Academic Affairs listserv at least two weeks prior to their defense date.

The student also must inform the Program Director of the final dissertation title, and the place and time of the scheduled final examination, at least 3 weeks before the final examination. The final defense announcement template, which should be completed by the student and provided to the Program Director, can be found in [Appendix I](#). The final examination is open to the university community.

All members of the committee must usually be physically present at the Dissertation Defense. The Graduate School provides for one exception only, for a single committee member who may participate remotely via audio or videoconferencing. Remote participation requires the form, "Approval of Remote Committee Participation". All conditions listed on the form must be fulfilled.

The final defense is graded using the Final Defense Rubric found in Appendix M. The scoring of the defense results in either a Pass, Pass (contingent upon revisions), or Fail.

In some instances, the dissertation committee may not approve the dissertation at the time of the first defense. In keeping with the Graduate School's regulations, no student is permitted to take the final examination more than twice.

Guidelines for the preparation of the dissertation are available from the Graduate School and on the Graduate School website. (Note: if students choose the three manuscript option, there are specific guidelines for the preparation of this format).

Along with the accepted dissertation, the student files the form, "Final Defense Report." This form requires the signatures of the entire dissertation committee and should be completed at the conclusion of the successful dissertation defense.

The physical format of the dissertation is governed by the University. Dissertations must conform to required margins, paper type, and so forth, in order to be accepted by the Graduate School. The student should consult these resources at The Graduate School early in the dissertation process: Manual of General Formatting Requirements for Dissertations and Theses and other resources available at the Dissertation & Thesis Formatting webpage through the Graduate School (https://graduateschool.uncc.edu/current-students/thesis-and-dissertation-formatting/manuals-and-templates). In order to graduate, the student must make an appointment to meet with the Center for Graduate Completion Specialist to review compliance with dissertation formatting. Appointments can be made at https://aurayoung.youcanbook.me/; please note the deadlines for doctoral students.

Deadlines for Form Submission

Academic deadlines, such as the Application for Graduation in a particular semester, are available in the Academic Calendar, http://www.registrar.uncc.edu/calendar. Students should note that dates for submission of candidacy forms and applications for graduation occur very early in each semester; for May graduation, for example, the date for the Application for Graduation typically occurs in the 3rd week of January. Similarly, the last day to file a dissertation with the Graduate School for May graduation typically occurs no later than the 3rd week of March. See the Academic Calendar for exact dates that apply for a given semester. It is the responsibility of the student to review the academic calendar frequently for relevant deadlines.

Further Definition of the Doctoral Dissertation

An appropriate dissertation provides an original and significant contribution to health services research as judged by the candidate's doctoral dissertation committee. The dissertation is the culminating research experience of the Health Services Research Ph.D. Program.

"Original contribution" implies that the body of work undertaken and intellectual contribution of the research is the candidate's own. It is expected that the candidate will be an expert in the contributions of others scholars to provide a foundation for his or her original research.

"Significant contribution" implies that the result of the dissertation scholarship notably advances a useful area of health services research as judged by peer scholars. The most meaningful criterion in this regard is that the research is judged by the committee to be appropriate for submission to scholarly peer-reviewed journals.

It is our expectation that doctoral candidates will be able to demonstrate competent application of research methods that are appropriate to the area of study; research methods include qualitative or quantitative methods, or mixed methods.

Ethical Procedures Approval, Institutional Review Board (IRB): All dissertation-related materials must comply with ethical review guidelines current at the time of review. Students are required to submit all required documents for review and receive formal approval prior to beginning any research involving human subjects.

Dissertation Format

Students have two options for the format of the dissertation. They may choose either the traditional five chapter format or the three article/manuscript format (which also has five chapters). The breadth, depth, and rigor are the same for both formats. The format is chosen by the student in close collaboration with the Dissertation Chair and the Dissertation Committee. The choice of format occurs during the proposal development stage, and cannot be changed once the dissertation proposal has been approved. Each of the two formats is listed below. Please review the graduate school website for more information on the two formats.

The Traditional Five-Chapter Dissertation Format:

Chapter One: Introduction. A relatively brief statement of the topic and why it is important.

Chapter Two: Conceptual Model and Literature Review. A thorough review of the literature of all literature relevant to the topic.

Chapter Three: Methods. A description of all methods to be used to complete the research.   If a conceptual framework is used, it should be described.   All variables should be described.   The analysis approach, qualitative or quantitative, should be described, as well as how the hypotheses and/or research questions will be addressed.

Chapter Four: Results. All results should be presented.   Descriptive findings are usually presented first, followed by bivariate, and then multivariate.   Results can also be organized by hypotheses and/or research questions.

Chapter Five: Conclusions and Recommendations. This chapter should include a brief summary of the findings, the limitations of the research, a discussion of the implications of the research for policy and practice, and suggestions for future study.

References

Appendices

The Three Manuscript Dissertation Format

Students who elect this option will complete Chapter One, as described above (it is also recommended that students include parts of Chapter Two as well). Chapters 2, 3, and 4 will be replaced by three manuscripts. Each manuscript must be complete and prepared for submission to a peer-reviewed journal. Each manuscript will include a title page, abstract, introduction, literature review, methods, results, and discussion sections, as well as references, and tables/figures. Sections of the manuscript should align with the requirements of the journal the chosen journal. Appendices to the manuscripts may provide additional detail.

An additional final chapter must be included, briefly summarizing the dissertation findings, and discussing implications for policy and practice, as well research extensions, in greater detail. The specific format of the dissertation will be determined by the dissertation committee.

Chapter One: Introduction

Chapter Two: Manuscript 1

Chapter Three: Manuscript 2

Chapter Four: Manuscript 3

Chapter Five: Conclusions

References

Appendices

Special Considerations for the Three Manuscript Format

The three manuscript dissertation option is a departure from the traditional dissertation format and requires special considerations. Students should discuss this option with their dissertation chair early in the process. Outlined below are some of the important requirements for the three manuscript format. These include, but are not limited to:

• Minimum of three articles

• Coherence between articles. The articles that make up the dissertation must have a clear justification for their use in context. All articles must relate to the theme of the dissertation as a whole without overlapping so heavily that inclusion of an article makes its existence redundant.

• Authorship and quality. Each article must be of publishable quality as decided by the student's dissertation committee. Previously published work may be used, but the student must be first author and previously published articles are limited to a maximum of one (1) prior

to the proposal defense. This includes any work that has been accepted for publication. Students should consult with all members of their Dissertation Committee if they intend to use previously published work.

• The draft of the manuscript included in the final dissertation shall be the draft agreed upon by the dissertation chair or designated committee member who provides expertise on the content of that particular manuscript. It is expected that while this draft of the manuscript will be appropriate to share with the entire committee, it may still require additional editing and revisions. This is the version of the manuscript that the student will be rated using the Final Dissertation Defense Rubric Report. It is expected that committee members will provide additional edits and suggestions to be included in the draft of the manuscript that is ultimately submitted for publication.

• Proper copyright permission must be obtained from the copyright holder prior to a student using his/her previously published material as required by law. This may include multiple author releases where applicable.

• More information can be found in the Graduate School Three Article Dissertation Guidelines at https://graduateschool.uncc.edu/current-students/thesis-and-dissertation-formatting. Additionally, students should contact the Graduate Completion Specialist with any questions or concerns about dissertation formatting.

Expectations for the Dissertation and Academic Integrity

Candidates must conduct their research in a manner that reflects the policies of their institution and program. Before collecting any data for research, candidates must ensure that they comply with rules and regulations established by the Institutional Review Board (IRB). No research may be conducted prior to submission of the appropriate forms and receiving the proper approvals. Completing a Dissertation allows the candidate the opportunity to demonstrate attainment of the necessary skills to join a wide community of academic scholars. It is therefore essential that candidates conduct their research in a manner that reflects academic integrity and upholds the values that have long been a tradition of the endeavor. Accordingly, candidates must be familiar with all policies regarding plagiarism and data falsification; candidates may refer to the University Code of Student Academic Integrity. All aspects of the Dissertation must be completed by the candidate her/himself, be her/his own work, and ultimately must reflect the ability to conduct independent research. Outsourcing any element of the Dissertation to be completed by a third party is strictly forbidden. This includes, but is not limited to, using consultants to collect and/or analyze data. Translation or transcription services may be used with prior approval of the Program Director, Committee Chair and IRB Board. If at any time the candidate has uncertainty about the originality of their work, they may consult a plagiarism detection service such as Turnitin or contact the Research Integrity Office.   Candidates are always permitted, and encouraged, to consult with their dissertation committee members for assistance.

Support Opportunities for Ph.D. Students

The Health Services Research Ph.D. Graduate Assistantship

Exceptionally qualified full-time students may be offered graduate assistantships. The assistantship provides a stipend (salary), currently $18,500 per year for a 9-month position with a work commitment of 20 hours per week (excluding university holiday periods). Students with assistantships will assist faculty with research, teaching, and/or service. The Health Services Research Ph.D. Program strives to match student research interests with those of the faculty with whom they are assigned for the graduate assistantship, although this cannot be guaranteed in every instance.

For students with assistantships of at least $6,000, the University's Graduate Assistance Support Plan (GASP) provides a highly competitive multi-year support package. The award package covers both resident and non-resident tuition (as appropriate), and provides coverage under the University's student health insurance program. This award package is in addition to assistantships and/or fellowship stipends. Other student fees totaling about $1800 each semester are not covered by this award.

The College of Health and Human Services will in most instances provide 3 years of assistantship support. Students with assistantships must maintain good academic standing.

Professional Responsibilities of Students with Graduate Assistantships

Graduate assistantships are intended to serve as an extension of the teaching and research mission of the Health Services Research Ph.D. Program by giving students experience in research and teaching in a mentorship relationship with faculty. Students with assistantships will also gain experience with fulfilling academic service needs, and in this way will learn more about becoming a productive and successful member of an academic community. While serving in on- or off-campus graduate assistantships, students are representatives of UNC Charlotte. As such, they will act with total professionalism at all times.

Graduate assistants are expected to provide service to the Department, the College, the University, and the community. Such service can include attending orientation for 1st year doctoral students (for 2nd year students and above), mentoring 1st year doctoral students, attending faculty candidate research presentations, meeting with faculty candidates during times scheduled for students, service as an officer or active member of the graduate student organizations, membership on departmental, College, or University committees, assisting the Program Director with occasional information gathering required by the Program and the Department, performing service in the community as a representative of the Health Services Research Ph.D. Program, and so forth. Although success in the HSR Ph.D. Program is primarily judged by scholarship, the HSR Ph.D. Program takes the student's record of service into

consideration when recommending students for fellowships and grants, including travel grants, tuition support, and competitive dissertation-year fellowships at the university.

Graduate assistantships are typically arranged for 9 months annual commitment. Graduate Assistants receive University holidays, but are otherwise expected to work on their normal schedule throughout the 9 month period.

A graduate assistant must register for at least six graduate level semester hours during each semester in which an assistantship is awarded. Graduate assistants enrolled in GASP must register for a minimum of 9 graduate credit hours each term. Students with support from GASP must maintain at least a 3.0 average to be eligible for continued support.

If a student does not have an assistantship, the Graduate School does not impose any limitations on either part-time or full time employment. Students with assistantships are limited to no more than 20 hours of total weekly employment. Thus, students with assistantships of 20 hours per week are not permitted to have additional employment.

All graduate assistants will have performance evaluations conducted each semester. The supervisor will complete the "Graduate Assistant Evaluation Form" each semester as a means of evaluating progress and performance. The Fall Semester form Appendix J is due to the Ph.D. Program Director by December 1st, and the Spring Semester form Appendix K is due to the Ph.D. Program Director by April 1st. Teaching assistants' performances will be additionally evaluated by their students. The teaching assistant's supervisor should administer this evaluation form to students enrolled in the class such that it can be completed anonymously.

Conference Support & Travel

Funding support is available to both full-time and part-time students. Support can include conference registration, air and ground travel, food, and lodging. Special State budget criteria apply to students who do not hold assistantships; although their conference travel may be fundable, students who do not have assistantships must consult with the appropriate administrative staff about the budget criteria details. Podium and poster presentations will be given equal priority; however, student conference travel receives the highest priority.

- Students need to discuss potential uses of professional development funds with the program director **at least 45 days** before the event.

- Individuals seeking Public Health Sciences Ph.D. travel support must complete the travel application in Appendix D and attach the information requested in the application.

Students working on travel budgets should consult with the appropriate administrative staff. Students may contact the Program Director for the current contact. Note: it is the student's responsibility to develop the initial travel budget and itinerary. See Appendix E for the travel authorization form tips.

- Students arranging conference travel are responsible for making flight reservations, identifying a hotel, registering for the conference, and for making any related reservations or arrangements.
- Students are encouraged to work closely with the appropriate administrative staff regarding these arrangements, but making reservations for flights, lodging, and conference reservations are the student's responsibility.
- Particularly, in an era of tight budgets, conferences that might be viewed by the public as taking place in resort areas or related travel destinations will not be funded. Showing appropriate restraint in the budget request can increase the likelihood of funding; this can be shown by sharing costs among students (e.g., shared lodging, selecting low-cost lodging, etc.)
- Students receiving conference travel support are expected to provide all required receipts and evidence of conference attendance (e.g. boarding passes) to the appropriate administrative staff within one week following their return from the conference.

Students are expected to seek funding from the UNC Charlotte Graduate & Professional Student Government (GPSG). Students will not be reimbursed for support dollars that would typically be funded by GPSG travel funds. Travel forms are available at http://suar.orgsync.com/org/gpsguncc/Funding.

Additional criteria, Professional Responsibilities of Students with Graduate Assistantships, apply to conference support as previously outlined in this Handbook: "Although success in the Health Services Research Ph.D. Program is primarily judged by scholarship, the Health Services Research Ph.D. Program takes the student's record of service into consideration when recommending students for fellowships and grants, including travel grants."

Failure to complete and submit the Annual Progress Report will resort in funds being withheld.

We cannot guarantee funding for all travel requests. Please do not assume that you have received a travel award until the Public Health Sciences Ph.D. Program Director has notified you.

Research Support
Students may choose to use their Professional Development funds for research purposes. Such use is dependent on University Policies

Steps Involved

The process of applying for support includes the following:

1. Complete the research support form [Appendix C](#) and provide the Ph.D. Program Director a brief description of the need and support requested.
2. Submit the form to the Program Director for signature, and then route to the appropriate administrative support person for processing.

UNC Charlotte Student Resources

Center for Graduate Life

To be successful, graduate students must do more than excel in their academic work. Success requires that students develop skills like public speaking, professional writing and financial literacy. The Graduate School sponsors professional development opportunities for graduate students through the Center for Graduate Life. The Center features teaching seminars, writing workshops, sessions on research skills, programs on writing the dissertation, and more. In addition to gaining new skills, students have the opportunity to network with peers from across disciplines. These workshops are covered through the usual tuition and fees, without addition cost. You can find details about the Center for Graduate Life at: https://gradlife.uncc.edu/

The Graduate School at UNC Charlotte also offers a broad array of other professional development activities, including career fairs, funding opportunities, and special guest speakers, throughout the year. Health Services Research Ph.D. students are updated about these opportunities through email announcements from the Health Services Research Ph.D. Program Director.

Career Services

The UNC Charlotte University Career Center offers career development services to both graduate and undergraduate students. The office is located at 150 Atkins Building. This office exists to serve students who need assistance in making a successful transition from college or graduate school to their chosen field or career. Their contact information is: Phone: 704-687-0795; Fax: 704-687-5298, Website: http://career.uncc.edu/

Student services offered by the University Career Center include workshops on: career planning, internships, resume's and cover letters, and effective interviewing.

Disability Services

The Office of Disability Services works with current undergraduate and graduate students along with prospective students to ensure equal access to UNC Charlotte's campus and educational programs. All services are dependent upon verification of eligibility. Once approved for services, students receive appropriate and reasonable accommodations which are based upon the

nature of an individual's disability and documented needs. Their contact information is, Phone: 704-684-0040, Website: http://ds.uncc.edu/

Counseling Center

The UNC Charlotte Center for Counseling and Psychological Services (CAPS) offers individual counseling to assist students with concerns of a personal nature by helping them develop better coping strategies, resolve conflicts and handle crisis situations. Typical concerns are depression, anxiety and stress, relationship issues, identity development, substance use problems, eating and body image issues. Further information is at: http://caps.uncc.edu/

A staff psychiatrist is also available through the Student Health Center to assess whether medication may be helpful in addressing the student's concern or for follow-up on previously prescribed medications. The psychiatrist will write prescriptions when appropriate and follow-up with students to make adjustments to medications as necessary. Further information is at: http://www.studenthealth.uncc.edu/

Students who wish to consult with our psychiatrist should contact the Student Health Center directly at 704-687-7400. Students can also discuss a referral to psychiatry with a counselor at CAPS. The counseling and psychiatry services are supported by the usual tuition and fees, and are available without additional cost.

Ombudsman Services

The Ombudsman for the Graduate School is a faculty member who helps graduate students and members of the Graduate School community navigate and manage conflict in a constructive way. The Ombuds is an advocate for fairness who listens to graduate students' concerns and helps students achieve a greater understanding of the problem and possible solutions and looks for information and resources applicable to the situation. Students should contact the ombudsman as soon as a concern develops. Concerns can include almost any issue arising within the university setting, including personal and academic concerns. Further information is available at: Ombudsman | The Graduate School | UNC Charlotte

Professional Student Organizations

Graduate and Professional Student Government (GPSG)

The purpose of GPSG according to the by-laws, is to serve as an appropriate voice on campus for graduate students, to meet the various needs of graduate students, and to establish a liaison between graduate faculty, graduate students, and the University. The UNC Charlotte GPSG is here to serve as an advocate for students, and it will be as strong and effective as the passion and participation of its members; thus, your active participation will ensure that your issues are heard and addressed.

Graduate Public Health Association (GPHA)

The purpose of GPHA is to foster an environment that contributes to the enhancement of the academic and professional concerns, goals, and careers of public health students and others at UNC Charlotte interested in the professions of Public Health. See https://ninerengage.uncc.edu/organization/graduate-public-health-association for more information.

The GPHA also is the official voice of students in the governance and continuous quality improvement processes within the graduate public health programs. While students are always welcomed and encouraged to directly contact faculty and administrators with course and/or program concerns and suggestions, the GPHA provides an official voice with representatives on the Graduate Public Health Programs Committee. Doctoral students are encouraged to participate in GPHA as leaders.

Charlotte Healthcare Executives Student Organizations (CHESO)

CHESO is a chartered graduate student membership society for future healthcare executives from UNC Charlotte. CHESO is designed to meet its member's professional, educational, and leadership needs; to promote high ethical standards and conduct while providing opportunities for members to learn from one another as well as those in the healthcare executive profession.

The International Society for Pharmacoeconomics and Outcomes Research at UNC Charlotte (ISPOR-UNC Charlotte)

ISPOR is a nonprofit, international, educational, and scientific organization that promotes health economics and outcomes research excellence to improve decision making for health globally. ISPOR-UNC Charlotte is the local student network which provides an environment where students can share knowledge in pharmacoeconomics and health outcomes research; serve as a bridge in bringing together students interested in pharmacoeconomics and members of the pharmaceutical industry, health-related organizations, and academia; act as a resource for new students interested in pharmacoeconomics and outcomes research; and provide an opportunity for student chapter members to become familiar with the affairs of ISPOR as well as have representation in its affairs.

Doctoral Student Responsibilities and Code of Ethics

Code of Student Academic Integrity

Students enrolled in any educational program in CHHS are required to demonstrate the highest ethical standards. These requirements pertain to both academic and professional behavior.

All Health Services Research Ph.D. students are required to read and abide by the Code of Student Academic Integrity (https://legal.uncc.edu/policies/up-407). Please especially note: you are held accountable to this Code even if you violate it inadvertently.

Violations include the following:

Cheating: intentionally using or attempting to use unauthorized materials, information, notes, study aids, or other devices in any academic exercise. This definition includes unauthorized communication of information during an academic exercise.

Fabrication and falsification: intentional and unauthorized alteration or invention of any information or citation in an academic exercise. Falsification is a matter of altering information, while fabrication is a matter of inventing or counterfeiting information for use in any academic exercise.

Multiple submissions: the submission of substantial portions of the same academic work (including oral reports) for credit more than once without instructor approval.

Plagiarism: intentionally or knowingly presenting the work of another as one's own (i.e., without proper acknowledgment of the source). The only exception to the requirement of acknowledging sources is when the ideas, information, etc., are common knowledge.

Abuse of academic materials: intentionally or knowingly destroying, stealing, or making inaccessible library or other academic resource material. Typical Examples: Stealing or destroying library or reference materials needed by other students.

Complicity in academic dishonesty: intentionally or knowingly helping or attempting to help another to commit an act of academic dishonesty.

Applicable Policies

Health Services Research Ph.D. students are expected to be knowledgeable about and abide by the policies of CHHS, the Graduate School, and UNC Charlotte.

- The policies for CHHS can be found in the CHHS Handbook, located at: https://health.uncc.edu/sites/health.uncc.edu/files/media/2017-18%20Student%20Handbook.pdf
- The Graduate School policies are located at: https://catalog.uncc.edu/index.php?catoid=21

- The University level policies can be found at:
  http://www.legal.uncc.edu/policies/

University policies that are highly relevant for Health Services Research Ph.D. students include, but are not limited to:

- The Code of Student Responsibility (http://legal.uncc.edu/policies/up-406);
- The Code of Student Academic Integrity (https://legal.uncc.edu/policies/up-407);
- Sexual Harassment Policy and Grievance Procedures (https://legal.uncc.edu/policies/up-502);
- Information Technology Services' Standard for Responsible Use (https://itservices.uncc.edu/iso/standard-responsible-use)

Note: Both the Graduate School and the College of Health and Human Services have adopted policies requiring students to demonstrate knowledge and awareness of academic integrity violations and policies. All newly admitted doctoral students are required to enroll in the online non-credit course GRAD 8990 –Academic Integrity. This course must be successfully completed prior to registering for the next semester.

Doctoral students are typically expected to have a thorough understanding of academic integrity issues as a result of their undergraduate and master's-level education. As a result, the Health Services Research Ph.D. Program simply expects academic integrity. A doctoral student who commits any of the violations listed above may be dismissed from the Health Services Research Ph.D. Program.

Appeals and Complaint Process

To resolve course disputes, students are directed to first discuss the issue with the course instructor. If the issue is not resolved at that level, it should be brought to the Program Director (program, faculty conduct related matters) or the PhD Program Committee (course content, workload) via the PhD Program Committee Student Representative. If the issue cannot be resolved, then the Department Chair (faculty conduct related matters) should be consulted. If the professor of the course in question is the PhD Program Director or the dispute is with the actions of the Program Director the issue should be brought directly to the Department Chair. Students can also reach out to the graduate student ombudsman to navigate their challenges or concerns. See Ombudsman Services in the UNC Charlotte Student Resources section of this handbook or visit : Ombudsman | The Graduate School | UNC Charlotte.

Laptop Requirement

In addition to compliance with the UNC Charlotte Information Technology Services' Standard for Responsible Use policy described above, the program requires students to have access to a personal laptop or desktop computer. Students may be required to bring a laptop to class at the discretion of the professor. If students do not have access to a personal laptop for required coursework, the J. Murray Atkins Library has PC and Mac laptops available for 24-hour loan periods. Laptop rentals are located on the first floor of the library near the main entrance and are available on a first-come, first-served basis. A valid UNC Charlotte ID card must be presented for laptop rentals.

Email Communication Expectations

For most students, email will be the primary source of communication between the program director, faculty, and advisors. Students are expected to check their email on a regular basis during the semester and periodically throughout the off sessions. It is crucial for students to read the entire email, not just the subject heading, to ensure content is not misunderstood.

iThenticate

The Graduate School requires all doctoral students to submit their dissertations to iThenticate, a plagiarism detection service. This tool checks documents against published items, so this process should educate and protect students from inadvertent plagiarism.

This must take place prior to the final defense, and doctoral dissertation committees are expected to review the resulting *Similarity Report* along with the final, pre-defense draft of the dissertation. Committee members will now sign the *Final Defense Report* not just to indicate that the student has passed his or her final defense, but also in order to verify the originality of the dissertation.

Visit the iThenticate tab under Current Students on the Graduate School webpage to learn more. Training videos are available there for students and faculty.

Appendix

Appendix A: Health Services Research Faculty Directory
Health Services Research Ph.D. Program Faculty

Ahmed Arif, Ph.D., MD., *Professor, Department of Public Health Sciences*. Research interests: Epidemiology of asthma and occupational asthma, occupational epidemiology, public health data analysis. aarif@uncc.edu

Suzanne Boyd, Ph.D., *Associate Professor, School of Social Work*. Research interests: Child and adolescent mental health, adult mental health, consumer-operated services, peer support mental health services, building research capacity within organizations, program evaluations, recovery-based mental health systems. sboyd@uncc.edu

William Brandon, Ph.D., *Emeritus Professor of Health Policy and Emeritus MMF Distinguished Professor, Department of Political Science and Public Administration.* Research interest: Health and Healthcare; Social Policy; Medicaid/Affordable Care Act; Aging; History of Health Care; Health Financing. wilbrand@uncc.edu

Maren Coffman, Ph.D., *Associate Professor, School of Nursing*. Research interests: population health, maternal child health, chronic disease self-management. mjcoffma@uncc.edu

Robert Cramer, PhD, *Associate Professor & Belk Distinguished Scholar in Health Research, Department of Public Health Sciences*. Research interests: suicide prevention, sexual and gender minority health, hate crimes & violence prevention, military health, scale development, program evaluation, community-engaged research, and the intersection of social science, law & policy. rcramer4@uncc.edu

Melinda (Lyndie) Forthofer, Ph.D., *Professor, Department of Public Health Sciences*. Research interests: Social epidemiology, social networks, community-based prevention research, diffusion of innovation/translational science, chronic disease-related health behaviors, especially physical activity. forthofer@uncc.edu

Andrew Harver, Ph.D., *Professor, Department of Public Health Sciences*. Research interests: Asthma; dyspnea; COPD; symptoms. arharver@uncc.edu

Reuben Howden, Ph.D., *Associate Professor, Department of Kinesiology*. Research interests: Genetic control of cardiopulmonary function and mechanisms associated with isometric training in regulating resting blood pressure. rhowden@uncc.edu

Larissa Huber, Ph.D., *Professor, Director of Health Services Research and Public Health Sciences PhD Programs, Department of Public Health Sciences*. Research interests: Reproductive epidemiology including unintended pregnancy, contraceptive failure, and trends in contraceptive use. lrhuber@uncc.edu

Yvette Huet, Ph.D., *Professor, Department of Kinesiology*. Research interests: The role of estrogen in disease processes: the effects of neonatal exposure to environmental estrogens on adult disease; exercise and PCOS and the roles of nitric oxide in early pregnancy. ymhuet@uncc.edu

Sarah Laditka, Ph.D., *Professor, Department of Public Health Sciences*. Research interests: Formal and informal long-term care, healthy life expectancy for older people, public health preparedness for frail and disabled older populations, and access to primary health care for people in vulnerable groups. sladitka@uncc.edu

Rajib Paul, Ph.D., *Associate Professor, Department of Public Health Sciences*. Research interests: Bayesian statistics and spatial and spatio-temporal statistics with applications in epidemiology, health policy, and environment; Bayesian nonparametric and robust nonparametric methods for large datasets and Geographic Information Systems (GIS) based research. rpaul9@uncc.edu

Elena Platonova, Ph.D., MHA, *Associate Professor, Department of Public Health Sciences*. Research interests: strategic health care management, public health systems, and health services research; patient trust, patient satisfaction, and patient loyalty to primary care physicians. eplatono@uncc.edu

Teresa Scheid, Ph.D., *Professor, Department of Sociology*; *Adjunct Professor, Department of Public Health Sciences.* Research interests: Organization and delivery of health care services, mental health, professionals and professional power, integration of healthcare services, HIV. tlscheid@uncc.edu

Michael Thompson, Dr.PH., *Associate Professor, Department of Public Health Sciences*. Research interests: Competency-based education; accreditation; community assessment; program evaluation; chronic disease; health disparities; community-based research. methomp1@uncc.edu

Meredith Troutman-Jordan, Ph.D., *Associate Professor, School of Nursing*. Research interests: Successful aging, health promotion of older adults, gerotranscendence. meredithtroutman@uncc.edu

Health Services Research Ph.D. Participating Faculty

Willie Mae Abel, Ph.D., PhD, RN, FAHA, *Associate Professor, School of Nursing.* Research interests: Cardiovascular disease in Blacks, cardiovascular risk factors, medication adherence. wmabel@uncc.edu

Bruce Arrigo, Ph.D., *Professor, Department of Criminal Justice*; *Adjunct Professor in Department of Public Health Sciences*. Research interests: Mental health services research from the perspective of medical sociology, bioethics, and law. barrigo@uncc.edu

Jessamyn Bowling, Ph.D., MPH, *Assistant Professor, Department of Public Health Sciences*. Research interests: Female condoms, human sexuality, sexual minorities, international health (India), sexuality communication. jbowlin9@uncc.edu

Allison Burfield, Ph.D., *Associate Professor, Department of Sociology.* Research interests: geriatrics, pharmacotherapeutics, mental health across the age spectrum, care outcomes, large datasets. aburfiel@uncc.edu

Keith Carnes, Ph.D., MHA, *Research Assistant Professor, Department of Public Health Sciences*. Research interests: Methodology, alignment of research questions and data, surveys, bivariate analysis. kjcarnes@uncc.edu

Jacqueline Chattopadhyay, Ph.D., *Associate Professor, Department of Political Science and Public Administration*. Research interests: American health policy (Affordable Care Act; Medicare; Medicaid) and aging policy (long-term care; caregiving; aging in place). jchattop@uncc.edu

Judith Cornelius, Ph.D., *Associate Professor, Nursing*. Research interests: HIV prevention in African American families; HIV prevention in older African American women. jbcornel@uncc.edu

Boyd H. Davis, Ph.D., *Professor, Department of English*. Research interests: language use in dementia and in TBI; caregiver training; patient-provider communication; technology-based care interventions. bdavis@uncc.edu

Christine Davis, Ph.D., *Professor, Department of Communication Studies*. Research interests: health communication, end-of-life communication, communication and disability, healthcare groups and teams, cultural communication, material culture, body politic, health humanities. christine.s.davis@uncc.edu

Eric Delmelle, Ph.D., Associate Professor, *Department of Geography and Earth Sciences.* Research interests: Geographic Information Science (GIS), space-time modeling, accessibility, uncertainty. Eric.Delmelle@uncc.edu

Franck Diaz-Garelli, Ph.D., *Assistant Professor*, *Department of Public Health Sciences*. Research Interests: Clinical data reuse, Learning Healthcare, Data Quality, Data Management, Global Health, Health Disparities, Diabetes, Hypertension and Heart Disease. franck.diaz@uncc.edu

Claudia Flowers, Ph.D., *Department Chair and Professor, Department of Educational Leadership*. Research interests: Large-scale assessment, assessing students with disabilities, applied statistics. cpflower@uncc.edu

Virginia Gil-Rivas, Ph.D., *Professor, Department of Psychological Science*. Research interests: Trauma, coping, health behavior change, adaptation of interventions. vgilriva@uncc.edu

Laura Gunn, Ph.D., *Associate Professor; Director of Health Analytics; Director of Health Analytics and Outcomes Research Academy (HAnORA), Department of Public Health Sciences.* Research interests: Applied, interdisciplinary, and collaborative biostatistics, health outcomes research, analysis of big data randomized trials, program evaluation, community-based participatory research with local partnerships, health disparities. laura.gunn@uncc.edu

Travis Hales, Ph.D., *Assistant Professor, School of Social Work*. Research Interests: Trauma-Informed Care; Organization Science. thales@uncc.edu

Daniel Janies, Ph.D., *Professor, Department of Bioinformatics and Genomics, College of Computing and Informatics.* Research interests: Phylogenetics and visual analytics as applied to infectious diseases. djanies@uncc.edu

Ryan Kilmer, Ph.D., *Professor, Department of Psychological Science*. Research interests: clinical and community psychology, children and families, factors influencing the development of children at-risk for emotional, behavioral, and/or academic difficulties, evaluation research to guide system change, program refinement, service delivery, and policy. rpkilmer@uncc.edu

Shanti Kulkarni, Ph.D., *Associate Professor, School of Social Work.* Research interests: Domestic violence theory and services (including dating violence), adolescent childbearing, families in poverty, and women's health. skulkar@uncc.edu

Othelia Lee, Ph.D., *Associate Professor, School of Social Work*. Research interests: gerontology, health promotion and cultural diversity. elee50@uncc.edu

Susan McCarter, Ph.D., *Associate Professor, School of Social Work*. Areas of research: risk and protective factors in adolescence: specifically race/ethnicity and juvenile justice. smccarter@uncc.edu

Trudy Moore-Harrison, Ph.D., *Clinical Assistant Professor; Director of Health Risk Assessment Program; Department of Kinesiology.* Research interests: Gerontology, health disparities, physical activity, community-based research. tlmoore2@uncc.edu

Soma Nag, Ph.D., *Assistant Professor, Department of Public Health Sciences.* Research interests: Aging, Gerontology, Minorities, Disadvantaged Populations, Access to Healthcare, Health Services Utilization, Chronic Diseases, Diabetes, Heart Disease. snag2@uncc.edu

Jane Neese, PhD., R.N., *Associate Professor and Associate Dean for Academic Affairs, School of Nursing.* Research interests: Outcomes of health care delivery of older adults, psychiatric nursing, and psychometric properties of instruments. jbneese@uncc.edu

Albert Park, Ph.D., *Assistant Professor, College of Computing and Informatics.* Research interests: The analysis of social interactions and social networks using modern data analysis and development of novel computational approaches to study social interactions and relationships in the context of health. al.park@uncc.edu

Sharon Portwood, Ph.D., *Professor, Department of Public Health Sciences.* Research interests: Child maltreatment; child trauma; community psychology; family violence; program evaluation; health promotion; human development; public policy; psychology and law; prevention therapeutic jurisprudence; violence prevention; youth development. sgportwo@uncc.edu

Stephanie Potochnick, Ph.D., *Assistant Professor, Department of Sociology.* Research interests: Social Demography, Immigrant Children and Families, Population and Migration Policy, Health and Education Policy. spotochn@uncc.edu

Beth Racine, Dr.PH., *Professor, Department of Public Health Sciences.* Research interests: Nutrition and physical activity intervention, behavioral nutrition and food insecurity. efracine@uncc.edu

Diana Rowan, Ph.D., MSW., *Associate Professor, School of Social Work.* Research interests: Social Work with HIV/AIDS, International Social Work (Africa), Social group work. drowan@uncc.edu

Wei Sha, Ph.D., *Research Assistant Professor, College of Computing and Informatics.* Research interests: Bioinformatics, biostatistics, novel statistical methods for omics data analysis. wsha@uncc.edu

George Shaw, Jr., Ph.D., *Assistant Professor, Department of Public Health Sciences.* Research interests: health information-seeking behaviors; text mining; health literacy; information systems; health informatics. gshaw11@uncc.edu

Reginald Silver, Dr.PH., *Clinical Professor, Belk College of Business.* Research interest: human and systems integration, healthcare information technology, business analytics, big data, and the adoption of technology with an emphasis on the healthcare sector. rsilver5@uncc.edu

Lori Thomas, Ph.D., MSW, *Associate Professor, School of Social Work.* Research interests: Aging, homelessness, and mental health, religion and social welfare, and social work macro practice. mthom117@uncc.edu

Jennifer Troyer, Ph.D., *Professor and Senior Associate Dean, Belk College of Business; Adjunct Professor in Department of Public Health Sciences*. Research interests: Health economics; nursing home quality, costs, and access. jtroyer@uncc.edu

Tricia Hubbard Turner, Ph.D., *Associate Professor, Department of Kinesiology*. Research interests: Ankle instability, physical activity. thubbar1@uncc.edu

Lauren Wallace, Ph.D., *Assistant Professor, Department of Public Health Sciences.* Research interests: Social determinants of maternal and child health outcomes, public health disaster preparedness, drivers of health disparities. lwalla33@uncc.edu

Jan Warren-Findlow, Ph.D., *Professor and Chair, Department of Public Health Sciences.* Research interests: Community-based health disparities research. jwarren1@uncc.edu

Sharon Watson, Ph.D., *Assistant Professor, Department of Anthropology.* Research interests: Applied anthropology, development studies, medical anthropology, implementation & dissemination, HIV/AIDS, food insecurity, cultural aspects of health, participatory action research, community health, program planning and evaluation, health policy and management, health systems, work, social mobility, and racism. Watson.S@uncc.edu

Appendix B: Health Services Research Ph.D. Dissertation Research Application

This application should be submitted each semester prior to registering for dissertation credits. It should be completed by the student in conjunction with his/her Dissertation Chair; registration for dissertation credits is contingent upon Program Director approval. After approval by the Program Director, only changes agreeable to both the student and Chair are permissible. Changes must be in writing, signed by the student and faculty member, and approved by the Program Director. ==It is the student's responsibility to verify that this course is added to his or her schedule following approval by the Program Director.==

- **Title of proposed course:** <u>HSRD 8901 – Dissertation Research</u>

- **Proposed semester (Term/Year)**: _____

- **Number of credits proposed for semester**: _____

- **Cumulative number of *previous* HSRD 8901 credits (not including proposed semester)**: _____

- **Faculty member who will Chair the Dissertation Committee:** _____

- **Proposed method (email, in-person, phone, etc.) and frequency of meetings with Chair:** _____

- **Dissertation topic, tentative research objectives, and datasets to be analyzed** (*include attachments as needed*):

- **List deliverables from prior semester enrolled in dissertation research and indicate when they were met** (Include attachments as needed. It is acceptable to copy/paste the deliverables from your prior application & indicate progress for each)

  Note: If this is your first semester enrolled in dissertation research credits, leave this section blank.

- **List of deliverables (or other means of evaluating student progress) and anticipated date of deliverables for this semester** (*include attachments as needed*):

It is my responsibility to make appropriate arrangements with the Chair for developing, discussing, and submitting timely deliverables toward the stated objectives.

Student Name Printed and Signature	Date

I agree to supervise this dissertation research on a regular basis.

Dissertation Committee Chair Name Printed and Signature	Date

I approve the student's application to register for dissertation credits.

Program Director Signature/Approval	Date

Appendix C: Ph.D. Student Research Funding Application

Applications must be submitted to the Ph.D. Program Director at least 30 days prior to the date upon which you need to use these funds.

Name_____

Amount Requested ($) _____

Please provide the following information in support of this application:

A description of how these funds will be used (e.g., gift cards for research participants, supplies required for data collection, purchase of a book or software program, publishing costs, etc.):

_____

_____

_____

A short description of how this research pertains to the student's chosen area of study:

_____

_____

_____

All applications must also include the following. Please check each is included.

☐ Supporting documentation showing the cost of the supplies or materials requested, if applicable (e.g., printout from webpage, invoice, etc).

☐ A list of other sources of funding applied for and/or being used for this research, if applicable.

*We cannot guarantee funding for all research requests. Please do not assume that you have received a research funding award until the Ph.D. Program Director has notified you.

Internal Use Only	
Approved: ☐YES ☐NO	Amount: $_____

Appendix D: Ph.D. Student Travel Application

Application must be submitted to the Ph.D. Program Director at least 45 days prior to travel.

Name_____

Amount Requested ($) _____

Name of conference/ organization_____

Link to main conference _____

Presenting ☐   Attending ☐

Have you applied for GPSG travel funds? ☐ YES   ☐   NO

      If awarded, what amount? $_____

Please attach the following documentation:

Label all documents when submitting to program director as: last name_event name_document name *(Examples: Jones_APHA _Conference Agenda, Jones_APHA_Student Travel Application)*

☐   Students complete Travel Authorization (TA) form prior to travel. Excel forms available here. *Forms are updated frequently, please do not save copies for later use.*

☐ Copy of the accepted abstract or paper.

☐ Copy of the acceptance notification/email invitation to participate in the conference

☐ Travel budget narrative, listing costs and sources of support

☐ Copies of notification of any other financial support for the travel, such as GPSG

☐ Conference agenda as a link or summary that includes the registration fee and meals provided at the conference

☐ Google map with mileage if using own car

☐ Airline Itinerary or supporting documentation if flight is not yet booked

      Supporting documentation should include: name stated on license/passport, Date of Birth, Airline Preference, Seat Preference, and Airline member number

☐ Hotel confirmation or Third Party Lodging Authorization Request (if staying in an Airbnb)

      Form must be submitted prior to paying for Airbnb reservation. Only 1 student needs to submit form, but please list all students sharing Airbnb.

Students are responsible to keep receipts for reimbursement, such as parking, taxi, hotel, etc. All expenses on TA require documentation.

*We cannot guarantee funding for all travel requests. Please do not assume that you have received a travel award until the Public Health Sciences Ph.D. director has notified you.

Appendix E: Travel Authorization Form Tips

> Forms are updated frequently, please do not save copies for later use.
> When submitting this form please save the document as **Last name_Event name_Travel Authorization**

TRAVEL AUTHORIZATION FORM (TA)
-- Complete, sign and submit this form at least two weeks prior to departure date --

Entire red section will be completed internally

Please select P CARD as the payment method

All expenses require documentation (keep all receipts for TRER form)

DO NOT COMPLETE

Funding section will be completed internally

No	Is this a revision of a previously-submitted Travel Authorization?		Group travel?	No

| | | | Is traveler also a student? | Yes |

I. Header — Please complete all fields below

Traveler's Name		UNC Charlotte ID #	Employee or Non-Employee?
			Non-Employee

Org Code	Name of College/Department	Contact Name	Contact's Phone
	CHHS/PHS		

Traveler's Street Address	Traveler's City/State/Zip	Pmt. Type	Traveler's Email

Traveler's Destination (City, State)	Departure Date	Return Date	Business Purpose (Attach documentation)
			State purpose, name and dates of conference.

Destination Type	Additional Comments

You MUST include:
- The conference's name.
- The dates you are attending.
- The importance of the conference for your professional development.

II. Estimated Expenses (Itemization is optional, but must enter total)

Estimated Expenses	Amount	Payment Method	Comments
Airfare		--Select--	Attach flight itinerary or supporting documentation
Hotel (Room + Tax)		--Select--	If Airbnb, include Third Party Lodging Authorization Request *
Registration Fees		--Select--	Attach conference agenda with registration fee
Parking / Tolls		--Select--	Parking estimates for airports, hotels, and parking ramps
Taxi / Bus / Train		--Select--	Uber/Lyft trip estimates
Rental Car / Gas		--Select--	
Other (explain)		--Select--	
Meals		Out of Pocket	Attach conference agenda with meals provided at conference
Mileage	$ -	Estimated mileage (roundtrip):	
Total Expenses	$ -		Must enter total estimated expenses

Total Out of Pocket $ - (Excludes airfare, lodging, or registration fees)

Please see highlighted comments for additional details

III. Funding

III. Funding	Fund 1	Fund 2	Fund 3
Fund(s) to be charged				At least one fund must be entered
Fund Limit (optional)	-		
Fund Approver Initials *Required if you are not the custodian of fund(s)*			

IV. Approval

Prior Approval Required by Supervisor	Signatures
Please complete all fields below	I acknowledge that: 1) reimbursement of travel expenses is subject to University policies, 2) my reimbursement & expense report must be submitted within 30 days of travel, and 3) proper documentation at the time of reimbursement, per the Travel Manual, must be submitted before travel charges are fully authorized.
Indicate if any of the following apply to this trip:	
	Will personal travel days occur between departure and return dates? (If yes, and airfare involved, a same day cost comparison must be attached)	**Non-Employee - traveler signature not required**
		Signature of Traveler / Date
		I acknowledge that I have examined this authorization and certify it is necessary and proper. I also confirm that funds will be available to cover the estimated expenses for this authorized travel.
Yes	Excess lodging rates authorized? (above subsistence rates)	
		Supervisor's Printed Name
No	Vehicle rental authorized?	**ERROR - Please correct prior to submitting**
No	Federal per diem meal rates authorized? (Int'l travel only)	Supervisor's Signature / Date
No	Business-class airfare authorized?	

*Third Party Lodging Authorization Request:
https://finance.uncc.edu/resources/forms/third-party-lodging-authorization-

Note: All information needs to fit inside each box, there cannot be runoff into other boxes. If needed, attach the necessary documentation on a

Appendix F: Annual Ph.D. Student Progress Report

*(**Draft 6:** Revised April 2, 2020)*

INSTRUCTIONS: Students must complete this evaluation form during each Spring semester of their doctoral program in conjunction with their advisor/chair. Students should meet with their advisor or chair to discuss the content of this evaluation and plans for the upcoming academic year. Upon completion of this evaluation and agreement between the student and the advisor/chair regarding the content, the advisor/chair will submit the completed and signed form to the Ph.D. Program Director for final approval. All sections are mandatory unless otherwise indicated. This form is due to the Ph.D. Program Director by **April 1**. **Failure to submit your Annual Student Progress Report may result in a hold on your professional development funds until it is submitted. Students must submit an Annual Progress Report to be in good academic standing.**

**STUDENTS-- you <u>must</u> include an updated CV with this evaluation form. CV must be submitted as a separate document, not attached to the end of this document.

Please highlight relevant information that pertains to the academic year covered by this evaluation in your CV. **Annual progress report will be incomplete without this information.**

1. **BASIC INFORMATION:**
    a. Student Name:

    b. Name of Advisor or Chair:

    c. Academic Year Covered:

    d. Briefly describe your research areas of interest:

    e. Briefly describe your career goals:

2. **DOCTORAL PROGRAM PROGRESS**:
   Please take a screenshot and insert the image below to document relevant doctoral program milestones (e.g. date of comprehensive examination passed, date of dissertation proposal defense). <u>This information can be found in DegreeWorks under the section entitled "Degree in Doctor of Philosophy."</u>

3. **COURSEWORK PROGRESS**
   Please take a screenshot and insert the image below to document your coursework progress. <u>This information can be found in DegreeWorks under the section entitled "Major in Public Health Sciences" or "Major in Health Services Research"</u>

4. **GRADUATE ASSISTANTSHIP EVALUATION** (*if applicable)*
   a. *Briefly describe (200-400 words) your role/responsibilities as an RA or TA this academic year and include the name of your supervisor. Also include a list of deliverables provided to your supervisor this year.*

   b. *Please indicate if you have an assistantship in place for the next academic year and include any known details (e.g. supervisor, RA or TA, etc.). If you do not have an assistantship but wish to be considered for one next academic year, please state that here.*

5. **PROFESSIONAL DEVELOPMENT EVALUATION**
   a. *Briefly describe (200-400 words) the professional progress you have made this academic year as it pertains to research (e.g. publications, conferences, presentations, etc.) and service (e.g. reviewer for journal, member of a University committee, member of a professional organization, etc.).*

   b. *Describe your professional development plans for the upcoming academic year.*

(*1=Needs Improvement; 5=Highly proficient*)	1	2	3	4	5	N/A
Demonstrating knowledge of Responsible Conduct of Research (RCR)	☐	☐	☐	☐	☐	☐
Critically reading and synthesizing discipline-related literature	☐	☐	☐	☐	☐	☐
Research methodology skills including selecting appropriate study design and data collection methods	☐	☐	☐	☐	☐	☐
Data analysis skills including selecting and executing appropriate statistical analyses and interpreting results	☐	☐	☐	☐	☐	☐
Communicating and disseminating research in written form	☐	☐	☐	☐	☐	☐
Communicating and disseminating research in oral form	☐	☐	☐	☐	☐	☐
Connecting with potential collaborators, creating partnerships	☐	☐	☐	☐	☐	☐
Working with diverse groups/teams	☐	☐	☐	☐	☐	☐
Establishing career goals	☐	☐	☐	☐	☐	☐

6. **SELF-ASSESSMENT.** This is an informal evaluation used for self-assessment. Your advisor/mentor may use this information to help guide you in formulating your goals for next year. Rate your current ability in each of the following:

7. **ANNUAL CEPH REPORTING**. The following information is needed for department reporting purposes.

Did you publish this academic year? ☐Yes ☐No

Did you present research at a conference this academic year? ☐Yes ☐No

Did you attend a health equity workshop or training this academic year? ☐Yes ☐No

If yes, what was the name of the event and where was it held?
_____

Did you volunteer with a community-based group this academic year? ☐Yes ☐No

If yes, what is the name of the group and what event did you volunteer for?

_____

8. **STUDENT CHECKLIST AND SIGNATURES**

❖ **Did you complete Section 1 in its entirety?**

❖ **Did you insert DegreeWorks screenshots for Sections 2 and 3?**

❖ **Did you complete Section 4 (*if applicable*) and Section 5?**

❖ **Did you attach an updated CV and highlight relevant items from this academic year?**

The student and advisor/chair agree to the content of this evaluation and the proposed plans for the upcoming academic year.

_____   _____

Student Printed Name and Signature   Date

The student and advisor/chair agree to the content of this evaluation and the proposed plans for the upcoming academic year.

_____   _____

Chair/Advisor Printed Name and Signature   Date

<u>Chair/advisor</u>: you may provide additional, confidential feedback regarding the student's performance below. *Please sign and return the form to the Ph.D. Program Director by **April 1.

The content provided in the optional feedback section above is accurate to the best of my knowledge and was informed by my professional opinion.

_____   _____

Chair/Advisor Printed Name and Signature   Date

The Ph.D. Program Director approves the content of this evaluation and the student's plans for the upcoming year.

_____ _____

Ph.D. Program Director Printed Name and Signature   Date

Appendix G: Health Services Research Ph.D. Independent Study Application

This application should be submitted prior to registering for independent study credits. It should be completed by the student in conjunction with the faculty member supervising the independent study; registration for independent study credits is contingent upon Program Director approval. After approval by the Program Director, only changes agreeable to both the student and faculty supervisor are permissible. Changes must be in writing, signed by the student and faculty member, and approved by the Program Director. It is the student's responsibility to verify that this course is added to his or her schedule following approval by the Program Director.

- **Title of proposed course:** HSRD 8800 – Independent Study in Health Services Research.

- **Proposed semester (Term/Year)**:

- **Number of credits proposed for semester**:

- **Cumulative number of *previous* HSRD 8800 credits (not including proposed semester)**:

- **Faculty member who will supervise the independent study:**

- **Proposed method (email, in-person, phone, etc.) and frequency of meetings with faculty member:**

- **Independent study topic(s), objectives, reading list, and/or datasets to be analyzed** (*include attachments as needed*):

- **List of deliverables (or other means of evaluating student progress) and anticipated date of deliverables** (*include attachments as needed*):

It is my responsibility to make appropriate arrangements with the supervising faculty member for developing, discussing, and submitting timely deliverables toward the stated objectives.

_____   _____
Student Name Printed and Signature   Date

I agree to supervise this independent study on a regular basis.

_____   _____
Supervising Faculty Member Name Printed and Signature   Date

I approve the student's application to register for independent study credits.

_____   _____
Program Director Signature/Approval   Date

Appendix H: Proposal Defense Announcement Template

Full template follows on next page.

UNC CHARLOTTE

College of Health and Human Services

Department of Public Health Sciences

Announces a Public Proposal Defense by

STUDENT NAME

Candidate for Doctor of Philosophy in Health Services Research

"Title of Dissertation: Insert Title of Dissertation Here"

Day, Date, Year

Time

Department of Public Health Sciences

9201 University City Blvd.

Room Number

Committee:

Committee Member 1
Committee Member 2
Committee Member 3
Committee Member 4
Committee Member 5

Appendix I: Final Defense Announcement Template

Full template follows on next page.

UNC CHARLOTTE
College of Health and Human Services
Department of Public Health Sciences

Announces a Public Final Defense by

STUDENT NAME

Candidate for Doctor of Philosophy in Health Services Research

"Title of Dissertation: Insert Title of Dissertation Here"

Day, Date, 2017

Time

Department of Public Health Sciences

9201 University City Blvd.

Room Number

Committee:

Committee Member 1
Committee Member 2
Committee Member 3
Committee Member 4
Committee Member 5

Appendix J: Fall Semester Graduate Assistant Evaluation Form

Form is to be completed by the student's supervisor and should cover the student's performance for the Fall semester. This form is due to the Ph.D. Program Director by December 1st.

Student Name:
Type of Graduate Assistantship:
Semester/Year:

Responsibilities/Performance Indicators	Unsatisfactory	Below Expectations	Met Expectations	Exceeded Expectations
Accomplishes assigned tasks in a timely manner				
Able to work independently to accomplish assigned tasks				
Actively seeks to improve skills and knowledge				
Consistently acts in a professional manner (e.g. punctual, respectful, cooperative, responsive)				
Demonstrates ethically responsible actions in his/her duties				
Demonstrates good oral and written communication skills.				
Demonstrates problem-solving skills				
Overall/general assessment of student's performance				
Additional comments or feedback				

_____
Supervisor/Evaluator Printed Name

_____
Supervisor/Evaluator Signature

_____
Date

Appendix K: Spring Semester Graduate Assistant Evaluation Form

Form is to be completed by the student's supervisor and should cover the student's performance for the Spring semester. This form is due to the Ph.D. Program Director by April 1st.

Student Name:
Type of Graduate Assistantship:
Semester/Year:

Responsibilities/Performance Indicators	Unsatisfactory	Below Expectations	Met Expectations	Exceeded Expectations
Accomplishes assigned tasks in a timely manner				
Able to work independently to accomplish assigned tasks				
Actively seeks to improve skills and knowledge				
Consistently acts in a professional manner (e.g. punctual, respectful, cooperative, responsive)				
Demonstrates ethically responsible actions in his/her duties				
Demonstrates good oral and written communication skills.				
Demonstrates problem-solving skills				
Overall/general assessment of student's performance				
Additional comments or feedback				

_____
Supervisor/Evaluator Printed Name

_____
Supervisor/Evaluator Signature

_____
Date

Appendix L: Teaching Assistant Evaluation Form

Please use the Opscan sheet to complete this ANONYMOUS survey:

	A	B	C	D	E
1. Overall, I learned a lot in the discussion sessions.	SA	A	N	D	SD
2. Overall, this TA was effective.	SA	A	N	D	SD
3. I am free to express and explain my own views in class.	SA	A	N	D	SD
4. My TA displays a clear understanding of course topics.	SA	A	N	D	SD
5. My TA has stimulated my thinking	SA	A	N	D	SD
6. My TA's presentations and explanations were organized and clear.	SA	A	N	D	SD
7. My TA established a climate that facilitated comments, questions, clarifying info.	SA	A	N	D	SD
8. My TA displays enthusiasm when teaching	SA	A	N	D	SD
9. My TA seems well-prepared for class	SA	A	N	D	SD
10. My TA deals fairly and impartially with me	SA	A	N	D	SD
11. Grades are assigned fairly and impartially	SA	A	N	D	SD
12. I would enjoy taking another course with this TA	SA	A	N	D	SD
13. The TA facilitated a respectful and inclusive environment for diverse students	SA	A	N	D	SD

Please write comments below, to ensure confidentiality all comments will be typed before being submitted to the TA.

Appendix M: Suggested Course Sequences
Course Sequence for Part-Time HSR PhD Students (*with prior MPH*) entering Fall Semester

Year	Fall Semester			Spring Semester		
	Course Number	**Course Title**	**Credits**	**Course Number**	**Course Title**	**Credits**
Year One	HSRD 8201	Introduction to Health Services Research	3	HLTH 8601 or HSRD 8204	Ethics and Integrity in Health Research and Practice or Health Policy	3
	HSRD 8260	Design of Health Services Research	3	HSRD 8270	Applied Biostatistics: Regression	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
Year Two	HSRD 8202	Healthcare Systems and Delivery	3	HSRD 8204 or HLTH 8601	Health Policy or Ethics and Integrity in Health Research and Practice	3
	HSRD 8271	Applied Biostatistics: Multivariate Methods	3	HSRD 8261	Program Evaluation, Outcomes and Quality *or* Area of Emphasis	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
Year Three	HSRD 8203	Economics of Health and Healthcare	3	HSRD xxxx	Area of Emphasis	3
	HSRD xxxx	Area of Emphasis	3	HSRD 8261	Program Evaluation, Outcomes and Quality *or* Area of Emphasis	3
Year Four[1]	HSRD xxxx	Area of Emphasis	3	HSRD 8901	Dissertation Credits	9
	HSRD 8901	Dissertation Credits	9	HSRD 8901	Dissertation Credits	9
Year Five	HSRD 8901	Dissertation Credits	6	HSRD 8901	Dissertation Credits	9

---

[1] Students will presumably take the qualifying examination in the Summer between Year Three and Year Four.

Course Sequence for Full-Time HSR PhD Students (*with prior MPH*) entering Fall Semester

Year	Fall Semester			Spring Semester		
	Course Number	Course Title	Credits	Course Number	Course Title	Credits
Year One	HSRD 8201	Introduction to Health Services Research	3	HSRD 8204	Health Policy	3
	HSRD 8202	Healthcare Systems and Delivery	3	HSRD 8270	Applied Biostatistics: Regression	3
	HSRD 8260	Design of Health Services Research	3	HLTH 8601 **or** HSRD xxxxx	Ethics and Integrity in Health Research and Practice **or** Area of Emphasis	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
Year Two	HSRD 8203	Economics of Health and Healthcare	3	HSRD 8261	Program Evaluation, Outcomes and Quality	3
	HSRD 8271	Applied Biostatistics: Multivariate Methods	3	HSRD xxxx **or** HLTH 8601	Area of Emphasis **or** Ethics and Integrity in Health Research and Practice	3
	HSRD xxxx	Area of Emphasis	3	HSRD xxxx	Area of Emphasis	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
Year Three[1]	HSRD 8901 HSRD xxxx	Dissertation Credits Area of Emphasis	9 3	HSRD 8901	Dissertation Credits	9
Year Four	HSRD 8901	Dissertation Credits	9	HSRD 8901	Dissertation Credits	9

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[1] Students will presumably take the qualifying examination in the Summer between Year Two and Year Three.

Course Sequence for Part-Time HSR PhD Students (*without prior MPH*) entering Fall Semester

Year	Fall Semester			Spring Semester		
	Course Number	Course Title	Credits	Course Number	Course Title	Credits
Year One	HLTH 6211	Evidence-Based Methods[1]	3	HLTH 6213	Health Policy and Leadership[1]	3
	HSRD 8201	Introduction to Health Services Research	3	HLTH 8601 *or* HSRD xxxx	Ethics and Integrity in Health Research and Practice *or* Area of Emphasis	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
Year Two	HLTH 6271	Public Health Data Analysis[1]	3	HSRD 8204 *or* HLTH 8601	Health Policy *or* Ethics and Integrity in Health Research and Practice	3
	HSRD 8260	Design of Health Services Research	3	HSRD 8270	Applied Biostatistics: Regression	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
Year Three	HLTH 6200	Case Studies in Public Health[1]	3	HSRD xxxx *or* HSRD 8204	Area of Emphasis *or* Health Policy	3
	HSRD 8271	Applied Biostatistics: Multivariate Methods	3	HSRD 8261	Healthcare Program Evaluation, Outcomes, and Quality	3
Year Four	HSRD 8203	Economics of Health and Healthcare	3	HSRD xxxx	Area of Emphasis	3
	HSRD 8202	Healthcare Systems and Delivery	3	HSRD xxxx	Area of Emphasis	3
Year Five[2]	HSRD xxxx	Area of Emphasis	3	HSRD 8901	Dissertation Credits	9
	HSRD 8901	Dissertation Credits	9	-	-	-
Year Six	HSRD 8901	Dissertation Credits	9	HSRD 8901	Dissertation Credits	9

[1]Prerequisite Foundation Public Health Course

[2]Students will presumably take the qualifying examination in the Summer between Year Four and Year Five

Course Sequence for Full-Time HSR PhD Students (without prior MPH) entering Fall Semester

Year	Fall Semester			Spring Semester		
	Course Number	Course Title	Credits	Course Number	Course Title	Credits
Year One	HSRD 8201	Introduction to Health Services Research	3	HSRD 8204	Health Policy	3
	HLTH 6211	Evidence-Based Methods[1]	3	HSRD xxxx	Area of Emphasis	3
	HADM 6142	Health Policy Development[1]	3	HLTH 8601 *or* HSRD xxxx	Ethics and Integrity in Health Research and Practice *or* Area of Emphasis	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
	HLTH 6200	Case Studies in Public Health[1]	3	-	-	-
Year Two	HLTH 6271	Public Health Data Analysis[1]	3	HSRD 8261	Program Evaluation, Outcomes and Quality	3
	HSRD 8202	Healthcare Systems and Delivery	3	HSRD 8270	Applied Biostatistics: Regression	3
	HSRD 8260	Design of Health Services Research	3	HLTH 8601 *or* HSRD xxxx	Ethics and Integrity in Health Research and Practice *or* Area of Emphasis	3
	HSRD 8600	Seminar in Health Services Research	1	HSRD 8600	Seminar in Health Services Research	1
Year Three	HSRD 8203	Economics of Health and Healthcare	3	HSRD xxxx	Area of Emphasis	3
	HSRD 8271	Applied Biostatistics: Multivariate Methods	3	HSRD 8901	Dissertation Credits	9
	HSRD xxxx	Area of Emphasis	3	-	-	-
	HSRD xxxx	Area of Emphasis	3	-	-	-
Year Four[2]	HSRD 8901	Dissertation Credits	9	HSRD 8901	Dissertation Credits	9
Year Five	HSRD 8901	Dissertation Credits	9	HSRD 8901	Dissertation Credits	9

[1]Prerequisite Foundation Public Health Course

[2] Students will presumably take the qualifying examination in early January of Year Four.

Appendix N: Evaluation Rubrics

HSR PhD Dissertation Proposal Defense Rubric (Written)

Criteria	Acceptable (3)	Acceptable with revisions (2)	Not Acceptable (1)	Rating
Introduction	• Importance of topic to health services is clearly established • Details are thorough and require minimal revisions.	• Importance of topic to health services is not clearly established • Details are inconsistent or weak and require some revisions	• Importance of topic to health services is absent • Details are absent and require major revisions	
Hypothesis/research question	• Generates novel hypotheses or research questions that extend existing knowledge • Significance of proposed research is fully developed • Hypotheses/research questions are well developed and require minimal revisions	• Generates hypothesis or research questions based on existing knowledge • Significance of proposed research is partially developed • Hypotheses/research questions are somewhat developed and require some revisions	• Hypotheses or research questions are undeveloped • Significance of proposed research is absent • Hypotheses/research questions are weak and require major revisions	
Literature review	• Identifies and critiques health services research gaps and links them to new research • Integrates diverse theoretical frameworks into explanations of causal processes, substantiated with evidence and identified research gaps	• Research gaps are identified but link to relevant research is weak • Use of theoretical frameworks for explanation of causal processes is weakly substantiated with evidence and identified research gaps • Demonstrates understanding of subject	• Research gaps are neither identified nor critiqued in a complete manner • Theoretical frameworks for explanation of causal processes are missing or unsubstantiated • Demonstrates limited understanding of subject matter and associated literature • Major revisions to the literature review are required	

	• Demonstrates mastery of subject matter and associated literature • Minimal revisions to the literature review are required	matter and associated literature • Some revisions to the literature review are required	
Methodology/data analysis plan	• Identifies appropriate methodologies and research techniques (e.g. justifies the sample, procedures, and measures) • Data analysis plan is suitable to test study hypotheses/research questions • Minimal revisions to methodology and/or data analysis plan are required	• Identifies appropriate methodologies and research techniques but some details are missing or vague • Other statistical techniques may be better suited to test the study hypotheses/research questions • Some revisions to methodology and/or analysis plan are required	• Methodologies and research techniques are underdeveloped and/or not feasible • Data analysis plan is unsuitable to test the study hypotheses/research questions • Major revisions to methodology/and or data analysis plan are required	
Strengths/limitations	• Provides clear explanation for possible strengths/limitations of proposed research • Makes appropriate statements regarding possible contribution or implications of the work to the field • Minimal revisions to strengths/limitations are required	• Some strengths/limitations of proposed research are missing or inaccurate • Statements regarding possible contribution or implications of the work to the field are overreaching • Some revisions to strengths/limitations are required	• Strengths/limitations are missing or largely inaccurate • Statements regarding possible contribution or implications of the work to the field are unfounded • Major revisions to strengths/limitations are required	

Written expression	• Virtually no errors in body text, citations, or references • Uses language that skillfully and fluently communicates meaning • Proposal builds and presents thorough and logical argument in a well-organized manner • Few revisions are required	• Some errors in body text, citations, or references • Uses language that detracts from meaning • Proposal has a weak overall argument and/or organizational inconsistencies • Some revisions are required	• Multiple major errors in body text, citations, or references • Uses language that impedes meaning • Organization has major inconsistencies and detracts from argument • Major revisions are required	
Add all ratings from far right column and indicate total rating in this box ➡				

HSR PhD Dissertation Proposal Defense Rubric (Oral)

Criteria	Acceptable (3)	Acceptable but needs improvement (2)	Not acceptable (1)	
Delivery	• Delivery techniques (posture, eye contact, vocal expressiveness) contribute to a compelling presentation • Presentation is well paced	• Delivery techniques (posture, eye contact, vocal expressiveness) are partially effective • Presentation is slightly too long or short	• Delivery techniques (posture, eye contact, vocal expressiveness) are ineffective • Presentation lacks effective time management	
Content	• Presentation is detailed and well organized • Slides are clear, visually pleasing, and enhance presentation	• Presentation lacks some detail and some areas are not well organized • Slides are somewhat unclear or visually unpleasing and detract from presentation	• Presentation lacks detail and organization • Slides are incoherent or difficult to read and weaken the presentation	
Questioning	• Responses to questions are clear, thoughtful, and demonstrate thorough understanding of topic • Highly receptive to questions and feedback	• Responses to questions lack some detail and require further reflection but demonstrate competence in topic • Somewhat receptive to questions and feedback	• Responses to questions lack detail and demonstrate poor understanding of topic • Unreceptive to questions and feedback	
• **Add all ratings from far right column and indicate total rating in this box ➡**				

Evaluation Sheet

Date of Proposal Defense:_____ Proposal Topic:_____

Format: ☐ Traditional 5 Chapter ☐ 3 Manuscript

Total Rating (Written):_____ Total Rating (Oral):_____ Any "Not acceptable" criterion received?[1] ☐ Yes ☐No

Final Decision: ☐ Pass ☐ Conditional ☐ Fail

Committee Signatures:

Committee Chair

Name_____ Signature_____ Date_____

Committee Member #2

Name_____ Signature_____ Date_____

Committee Member #3

Name_____ Signature_____ Date_____

Committee Member #4 (Graduate School Representative)

Name_____ Signature_____ Date_____

Committee Member #5 (optional)

Name_____ Signature_____ Date_____

[1]Regardless of total score, receiving a "not acceptable" rating for any criterion of the written or oral sections constitutes a failing grade. For the written section, typically a score of 18-13 constitutes pass, with minor revisions; a score of 12-10 constitutes conditional pass, with substantial revisions; and a score of 9-6 constitutes fail. For the oral section, typically a score of 9-7 constitutes pass; a score of 6-5 constitutes pass, with room for improvement; and a score of 4-3 constitutes fail.

Authorship and Ethics Statement

Several academic and professional organizations have adopted ethics and authorship codes to help students conform to acceptable standards in the process of publishing their research. All PhD candidates are required to review this material in the shared resources folder and attest to their understanding and intention to conform to these standards, with emphasis on the following:

- The manuscript represents original and valid work and that neither this manuscript nor one with substantially similar content under my authorship has been published or is being considered for publication elsewhere, except as described in an attachment, and copies of closely related manuscripts are provided (AMA/JAMA)
- All authors involved in the research have been notified of the intent to publish and approve of the material being submitted, including appropriate authorship credit. Authorship credit should be discussed early in the process with any non-committee faculty members who contributed to the research. This includes the understanding that authorship order may change throughout the research and publication process due to changing responsibilities and contributions and author order may reflect that (APA Science Student Council)
- Signing below indicates that the student and all committee members discussed authorship of potential manuscripts originating from the dissertation

PhD Candidate Signature:

Name_____ Signature_____ Date_____

Committee Signatures:

Committee Chair

Name_____ Signature_____ Date_____

Committee Member #2

Name_____ Signature_____ Date_____

Committee Member #3

Name_____ Signature_____ Date_____

Committee Member #4 (Graduate School Representative)

Name_____ Signature_____ Date_____

Committee Member #5 (optional)

Name_____ Signature_____ Date_____

HSR PhD Final Dissertation Defense Rubric (Traditional, Written)

Student Name:_____ **800**_____

Criteria	Acceptable with minor revisions (3)	Acceptable contingent upon revisions (2)	Not Acceptable (1)	Rating
Introduction	- Importance of topic to health services is clearly established - Details are thorough and require minimal revisions. - Generates novel hypotheses or research questions that extend existing knowledge - Significance of research is fully developed - Hypotheses/research questions are well developed and require minimal revisions	- Importance of topic to health services is not clearly established - Details are inconsistent or weak and require some revisions - Generates hypothesis or research questions based on existing knowledge - Significance of research is partially developed - Hypotheses/research questions are somewhat developed and require some revisions	- Importance of topic to health services is absent - Details are absent and require major revisions - Hypotheses or research questions are undeveloped - Significance of research is absent - Hypotheses/research questions are weak and require major revisions	
Literature review	- Identifies and critiques health services research gaps and links them to new research - Integrates diverse theoretical frameworks into explanations of causal processes, substantiated with evidence and identified research gaps - Demonstrates mastery of subject matter and associated literature - Minimal revisions to the literature review are required	- Research gaps are identified but link to relevant research is weak - Use of theoretical frameworks for explanation of causal processes is weakly substantiated with evidence and identified research gaps - Demonstrates understanding of subject matter and associated literature - Some revisions to the literature review are required	- Research gaps are neither identified nor critiqued in a complete manner - Theoretical frameworks for explanation of causal processes are missing or unsubstantiated - Demonstrates limited understanding of subject matter and associated literature - Major revisions to the literature review are required	

Methodology	• Identifies appropriate methodologies and research techniques (e.g. justifies the sample, procedures, and measures) • Minimal revisions to methodology are required	• Identifies appropriate methodologies and research techniques but some details are missing or vague • Some revisions to methodology are required	• Methodologies and research techniques are underdeveloped and/or not feasible • Major revisions to methodology are required	
Results[1]	• Results of analysis are presented in a clear and accurate manner • Data analysis is suitable for study objectives • Results include complete presentation of descriptive, bivariate, and multivariate analyses • Minimal revisions to results are required	• Results of analysis are presented in a somewhat clear and accurate manner • Other statistical techniques may be better suited for the study objectives • Results include some presentation of descriptive, bivariate, and multivariate analyses • Some revisions to results are required	• Results of analysis are not presented in a clear and accurate manner • Data analysis is unsuitable to for the study objectives • Results do not include complete presentation of descriptive, bivariate, and multivariate analyses • Major revisions to results are required	
Conclusions and Recommendations[1]	• Summary of findings and results discussed in context with previously reviewed literature • Provides clear explanation for possible strengths/limitations of research • Makes appropriate statements regarding contribution or implications of the work to the field • General discussion includes directions for future research • Minimal overall revisions are required	• Summary of findings and results partially discussed in context with previously reviewed literature • Some strengths/limitations of research are missing or inaccurate • Statements regarding contribution or implications of the work to the field are overreaching • General discussion is weak and/or does not include directions for future research • Some overall revisions are required	• Summary of findings and results are not discussed in context with previously reviewed literature • Strengths/limitations are missing or largely inaccurate • Statements regarding contribution or implications of the work to the field are unfounded • General discussion for future research is absent • Major overall revisions are required	

Written expression	• Virtually no errors in body text, citations, or references • Uses language that skillfully and fluently communicates meaning • Research builds and presents thorough and logical argument in a well-organized manner • Few revisions are required	• Some errors in body text, citations, or references • Uses language that detracts from meaning • Research has a weak overall argument and/or organizational inconsistencies • Some revisions are required	• Multiple major errors in body text, citations, or references • Uses language that impedes meaning • Organization has major inconsistencies and detracts from argument • Major revisions are required	
Add all ratings from far right column and indicate total rating in this box ➡				

HSR PhD Final Dissertation Defense Rubric (Traditional, Oral)

Criteria	Acceptable (3)	Acceptable but needs improvement (2)	Not acceptable (1)	Rating
Delivery	• Delivery techniques (posture, eye contact, vocal expressiveness) contribute to a compelling presentation • Presentation is well paced	• Delivery techniques (posture, eye contact, vocal expressiveness) are partially effective • Presentation is slightly too long or short	• Delivery techniques (posture, eye contact, vocal expressiveness) are ineffective • Presentation lacks effective time management	
Content	• Presentation is detailed and well organized • Slides are clear, visually pleasing, and enhance presentation	• Presentation lacks some detail and some areas are not well organized • Slides are somewhat unclear or visually unpleasing and detract from presentation	• Presentation lacks detail and organization • Slides are incoherent or difficult to read and weaken the presentation	
Questioning	• Responses to questions are clear, thoughtful, and demonstrate thorough understanding of topic • Highly receptive to questions and feedback	• Responses to questions lack some detail and require further reflection but demonstrate competence in topic • Somewhat receptive to questions and feedback	• Responses to questions lack detail and demonstrate poor understanding of topic • Unreceptive to questions and feedback	
Add all ratings from far right column and indicate total rating in this box ➡				

Evaluation Sheet

Date of Final Defense:_____ Topic:_____

Total Rating (Written):_____ Total Rating (Oral):_____ Any "Not acceptable" criterion received?[2] ☐ Yes ☐No

Final Decision: ☐ Pass   ☐ Pass, contingent upon revisions[3]   ☐ Fail

Committee Signatures:

Committee Chair

Name_____ Signature_____ Date_____

Committee Member #2

Name_____ Signature_____ Date_____

Committee Member #3

Name_____ Signature_____ Date_____

Committee Member #4 (Graduate School Representative)

Name_____ Signature_____ Date_____

Committee Member #5 (optional)

Name_____ Signature_____ Date_____

[1] *Effectively manage and implement a health services research study protocol and interpret its findings* (CEPH #4) is evaluating using the "Results" and "Discussion/Conclusion" sections.

[2]Regardless of total score, receiving a "not acceptable" rating for any criterion of either the written or oral sections constitutes a failing grade. For the written section, typically a score of 18-13 constitutes pass, with minor revision; a score of 12-10 constitutes pass, contingent upon revision; and a score of 9-6 constitutes fail. For the oral section, typically a score of 9-7 constitutes a pass, with minor revision; a score of 6-5 constitutes pass, with room for improvement; and a score of 4-3 constitutes fail.

[3]If a student receives "Pass, contingent upon revisions", the ETD form will be placed on hold with the Program Director until the Dissertation Committee approves the necessary changes. At that time, the Committee Chair will sign the ETD form and it will be submitted to the Program Director. The Program Director will then forward the ETD form to the Graduate School.

HSR PhD Final Dissertation Defense Rubric (Written, 3 Manuscript)

Criteria	Acceptable, with minor revisions (3)	Acceptable, contingent upon revisions (2)	Not Acceptable (1)	Rating
Introduction	• Importance to health services is clearly established • Generates novel hypotheses or research questions that extend existing knowledge • Review of literature is sufficient • Significance of research is fully developed • Justification given for selection of previously published/publishable papers • Coherent and thoughtful explanation of relationship between research and selected articles • Hypotheses/research questions are well developed and requires minimal revisions	• Importance to health services not clearly established • Generates hypothesis or research questions based on existing knowledge • Review of literature is limited • Significance of research is partially developed • Weak justification for selection of previously published/publishable papers • Weak explanation of relationship between research and selected articles • Hypotheses/research questions are inconsistent or weak • Some revisions required	• Importance of topic to health services is absent • Hypotheses or research questions are undeveloped and not based on existing knowledge • Review of literature is insufficient • Significance of research is absent • No justification for selection of previously published/publishable papers • Lack of originality in research • No explanation of relationship between research and selected articles • Hypotheses/research questions are absent • Major revisions required	
Article 1[1]	• Article is complete and prepared for submission to peer-reviewed journal • Minimal overall revisions	• Article is missing some sections and is not prepared for submission to peer-reviewed journal • Some overall revisions required	• Article is incomplete and not prepared for submission to peer-reviewed journal • Major overall revisions required	
	Introduction/Background: • Identifies and critiques health services research gaps and links them to new research • Demonstrates mastery of subject matter and associated literature	**Introduction/Background:** • Research gaps are identified but link to relevant research is weak • Demonstrates some understanding of subject	**Introduction/Background:** • Research gaps are neither identified nor critiqued in a complete manner • Demonstrates limited understanding of subject matter and associated literature	

	• Integrates diverse theoretical frameworks into explanations of causal processes, substantiated with evidence and identified research gaps	matter and associated literature • Use of theoretical frameworks for explanation of causal processes is weakly substantiated with evidence and identified research gaps	• Theoretical frameworks for explanation of causal processes are missing or unsubstantiated	
	Methods: • Sample, procedures, and measures are appropriate and justified	**Methods:** • Methods (or any elements thereof) are weakly justified	**Methods:** • Methods are inappropriate or unjustified	
	Results: • Data analysis is accurate and complete • Results include complete presentation of descriptive, bivariate, and multivariate analyses	**Results:** • Data analysis is not fully accurate or complete • Results are incomplete and/or missing descriptive, bivariate, and multivariate analyses	**Results:** • Data analysis is inaccurate and/or incomplete • Descriptive, bivariate, or multivariate analyses results are missing	
	Discussion/Conclusion: • Provides clear explanation for strengths/limitations • Implications of research for health services policy and practice • Discussion includes directions for future research	**Discussion/Conclusion:** • Strengths and limitations are unclear or incomplete • Research implications are not fully developed • Future research discussion is weak	**Discussion/Conclusion:** • Strengths and limitations are unclear or incomplete • Research implications are not fully developed • Future research discussion is absent	
Article 2[1]	• Article is complete and prepared for submission to peer-reviewed journal • Minimal overall revisions	• Article is missing some sections and is not prepared for submission to peer-reviewed journal • Some overall revisions required	• Article is incomplete and not prepared for submission to peer-reviewed journal • Major overall revisions required	

Introduction/Background:	Introduction/Background:	Introduction/Background:
• Identifies and critiques health services research gaps and links them to new research • Demonstrates mastery of subject matter and associated literature • Integrates diverse theoretical frameworks into explanations of causal processes, substantiated with evidence and identified research gaps	• Research gaps are identified but link to relevant research is weak • Demonstrates some understanding of subject matter and associated literature • Use of theoretical frameworks for explanation of causal processes is weakly substantiated with evidence and identified research gaps	• Research gaps are neither identified nor critiqued in a complete manner • Demonstrates limited understanding of subject matter and associated literature • Theoretical frameworks for explanation of causal processes are missing or unsubstantiated
Methods: • Sample, procedures, and measures are appropriate and justified	**Methods:** • Methods (or any elements thereof) are weakly justified	**Methods:** • Methods are inappropriate or unjustified
Results: • Data analysis is accurate and complete • Results include complete presentation of descriptive, bivariate, and multivariate analyses	**Results:** • Data analysis is not fully accurate or complete • Results are incomplete and/or missing descriptive, bivariate, and multivariate analyses	**Results:** • Data analysis is inaccurate and/or incomplete • Descriptive, bivariate, or multivariate analyses results are missing
Discussion/Conclusion: • Provides clear explanation for strengths/limitations • Implications of research for health services policy and practice • Discussion includes directions for future research	**Discussion/Conclusion:** • Strengths and limitations are unclear or incomplete • Research implications are not fully developed • Future research discussion is weak	**Discussion/Conclusion:** • Strengths and limitations are unclear or incomplete • Research implications are not fully developed • Future research discussion is absent

Article 3[1]			
	• Article is complete and prepared for submission to peer-reviewed journal • Minimal overall revisions required	• Article is missing some sections and is not prepared for submission to peer-reviewed journal • Some overall revisions required	• Article is incomplete and not prepared for submission to peer-reviewed journal • Major overall revisions required
	Introduction/Background: • Identifies and critiques health services research gaps and links them to new research • Demonstrates mastery of subject matter and associated literature • Integrates diverse theoretical frameworks into explanations of causal processes, substantiated with evidence and identified research gaps	**Introduction/Background:** • Research gaps are identified but link to relevant research is weak • Demonstrates some understanding of subject matter and associated literature • Use of theoretical frameworks for explanation of causal processes is weakly substantiated with evidence and identified research gaps	**Introduction/Background:** • Research gaps are neither identified nor critiqued in a complete manner • Demonstrates limited understanding of subject matter and associated literature • Theoretical frameworks for explanation of causal processes are missing or unsubstantiated
	Methods: • Sample, procedures, and measures are appropriate and justified	**Methods:** • Methods (or any elements thereof) are weakly justified	**Methods:** • Methods are inappropriate or unjustified
	Results: • Data analysis is accurate and complete • Results include complete presentation of descriptive, bivariate, and multivariate analyses	**Results:** • Data analysis is not fully accurate or complete • Results are incomplete and/or missing descriptive, bivariate, and multivariate analyses	**Results:** • Data analysis is inaccurate and/or incomplete • Descriptive, bivariate, or multivariate analyses results are missing

	Discussion/Conclusion: • Provides clear explanation for strengths/limitations • Implications of research for health services policy and practice • Discussion includes directions for future research	**Discussion/Conclusion:** • Strengths and limitations are unclear or incomplete • Research implications are not fully developed • Future research discussion is weak	**Discussion/Conclusion:** • Strengths and limitations are unclear or incomplete • Research implications are not fully developed • Future research discussion is absent	
Conclusion	• Health services implications are presented in a meaningful manner • Dissertation findings are summarized completely in context of selected manuscripts • Findings are synthesized across manuscripts for purposes of research and practice implications • General discussion includes directions for future research	• Health services implications are weak • Summary is not fully contextualized in relation to manuscripts • Synthesis is weak • General discussion is weak and/or does not include directions for future research	• Health services implications are absent or not meaningful • Summary is not contextualized in relation to manuscripts • Synthesis is absent • General discussion is very weak or absent • General discussion for future research is absent	
Written expression	• Virtually no errors in body text, citations, or references • Uses language that skillfully and fluently communicates meaning • Research builds and presents thorough and logical argument in a well-organized manner • Few revisions are required	• Some errors in body text, citations, or references • Uses language that detracts from meaning • Research has a weak overall argument and/or organizational inconsistencies • Some revisions are required	• Multiple major errors in body text, citations, or references • Uses language that impedes meaning • Organization has major inconsistencies and detracts from argument • Major revisions are required	
Add all ratings from far right column and indicate total rating in this box ➡			

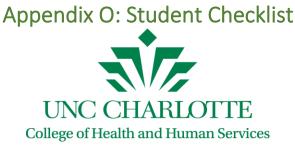## HSR PhD Final Dissertation Defense Rubric (Oral, 3 Manuscript)

Criteria	Acceptable (3)	Acceptable with future improvement (2)	Not acceptable (1)	Rating
Delivery	• Delivery techniques (posture, eye contact, vocal expressiveness) contribute to a compelling presentation • Presentation is well paced	• Delivery techniques (posture, eye contact, vocal expressiveness) are partially effective • Presentation is slightly too long or short	• Delivery techniques (posture, eye contact, vocal expressiveness) are ineffective • Presentation lacks effective time management	
Content	• Presentation is detailed and well organized • Slides are clear, visually pleasing, and enhance presentation	• Presentation lacks some detail and some areas are not well organized • Slides are somewhat unclear or visually unpleasing and detract from presentation	• Presentation lacks detail and organization • Slides are incoherent or difficult to read and weaken the presentation	
Questioning	• Responses to questions are clear, thoughtful, and demonstrate thorough understanding of topic • Highly receptive to questions and feedback	• Responses to questions lack some detail and require further reflection but demonstrate competence in topic • Somewhat receptive to questions and feedback	• Responses to questions lack detail and demonstrate poor understanding of topic • Unreceptive to questions and feedback	
Add all ratings from far right column and indicate total rating in this box ➡				

Evaluation Sheet

Date of Final Defense:_____ Topic:_____

Total Rating (Written):_____ Total Rating (Oral):_____ Any "Not acceptable" criterion received?[2] ☐ Yes ☐No

Final Decision: ☐ Pass   ☐ Pass, contingent upon revisions[3]   ☐ Fail

Committee Signatures:

Committee Chair

Name_____ Signature_____ Date_____

Committee Member #2

Name_____ Signature_____ Date_____

Committee Member #3

Name_____ Signature_____ Date_____

Committee Member #4 (Graduate School Representative)

Name_____ Signature_____ Date_____

Committee Member #5 (optional)

Name_____ Signature_____ Date_____

[1] *Effectively manage and implement a health services research study protocol and interpret its findings* (CEPH #4) is evaluating using the "Results" and "Discussion/Conclusion" section of each article.

[2]Regardless of total score, receiving a "not acceptable" rating for any criterion of either the written or oral sections constitutes a failing grade. For the written section, typically a score of 18-13 constitutes pass, with minor revision; a score of 12-10 constitutes pass, contingent upon revision; and a score of 9-6 constitutes fail. For the oral section, typically a score of 9-7 constitutes a pass, with minor revision; a score of 6-5 constitutes pass, with room for improvement; and a score of 4-3 constitutes fail.

[3]If a student receives "Pass, contingent upon revisions", the ETD form will be placed on hold with the Program Director until the Dissertation Committee approves the necessary changes. At that time, the Committee Chair will sign the ETD form and it will be submitted to the Program Director. The Program Director will then forward the ETD form to the Graduate School.

UNC CHARLOTTE
College of Health and Human Services

HSR Checklist

Doctoral Student Forms are submitted electronically through DocuSign unless otherwise noted. For more information, see https://graduateschool.uncc.edu/current-students/graduation-clearance/doctoral-checklist

Topic Approval Meeting

☐The student submits a 2-3 page description of the dissertation plan to the Dissertation Committee at least 2 weeks prior to the Topic Approval Meeting. Students will present a brief oral summary of the dissertation topic, the context of related research literature, data and methods, and implications for policy and practice, followed by questions and discussion among the committee and the student. The Topic Approval Meeting may be repeated as needed. (Note: The Topic Approval Meeting is not typically open to visitors. There is no signed paperwork associated with the Topic Approval Meeting.)

Appointment of PhD Committee

☐Appointment of Doctoral Committee form. Note: Typically, the Topic Approval Meeting can coincide with signing this form.

Dissertation Proposal Defense

☐Portfolio submitted by student two weeks prior to defense; for student admitted prior to Fall 2019, this is the Comprehensive Examination. Students admitted Fall 2019 or later will take a written Qualifying Examination prior to the Dissertation Proposal Defense.

☐Proposal Defense Announcement Template (as found in appendix of Handbook) completed and submitted to Program Director for circulation.

☐ Proposal Defense Rubric completed (See handbook). One rubric is completed and signed by the entire committee.

☐Comprehensive/Qualifying Exam form

☐Proposal Defense Report Note: If any of the three boxes on this form are checked "yes", then the appropriate IRB forms must be completed and approved.

☐IRB forms

Formatting Review

☐Completed format review in accordance with standards found in formatting manual (usually October for Fall graduation, March for Spring graduation. Current Academic Calendar can be found here).

Dissertation Defense

☐Final Defense Announcement Template (as found in appendix of HSR Handbook) completed and submitted to Program Director for circulation. The student also must inform the Program Director of the final dissertation title, and the place and time of the scheduled final defense, at least 3 weeks before the final defense. Student must also submit this information to the Graduate School.

☐Approval of Remote Committee Participation. Note: due two weeks prior to date of proposal defense. (Due to the current pandemic, this step is not required).

☐Appropriate defense rubric completed for Traditional or 3 Manuscript option (see Handbook). One rubric is completed and signed by the entire committee.

☐Final Defense Report original, signed copies of report along with Dissertation Title Page due to Graduate School no later than one business day after final defense.

Dissertation Submission

☐Dissertation submitted to ProQuest (usually November for Fall graduation, April for Spring graduation. Current Academic Calendar can be found here).

☐Approval of Remote Committee Participation. Note: due two weeks prior to date of proposal defense. (Due to the current pandemic, this step is not required).

☐Submission and ETD Signature form If a student receives "Pass, contingent upon revisions", the ETD form will be placed on hold with the Program Director until the Dissertation Committee approves the necessary changes. At that time, the Committee Chair will sign the ETD form.

☐Survey of Earned Doctorates

☐ Embargo Request Form (The Graduate School requires publication of the dissertation through ProQuest, an online database of dissertations. It may be appropriate for some students to restrict access to their dissertation temporarily [such as when a patent application is pending or a student plans to publish findings from his/her dissertation]. In these cases, it may be possible to withhold public release for up to one year.)

Annual Evaluation

☐(4/1) Completed Annual PhD Student Progress Report (as found in appendix of HSR Handbook). Students should meet with their advisor or chair to discuss the content of this evaluation and plans for the upcoming academic year. Upon completion of this evaluation and agreement between the student and the advisor/chair regarding the content, the advisor/chair will submit the completed and signed

form to the Ph.D. Program Director for final approval. Note: students must include an updated CV with this evaluation form along with highlighted relevant information that pertains to the academic year covered by this evaluation.

Miscellaneous

☐Student meets with committee chair at least once per semester.