



PhD in Population Health  
Doctoral Student Handbook  
Fall 2021 - Spring 2022

## **Justice, equity, diversity and inclusion at the College of Health Solutions**

At the College of Health Solutions, we are focused on improving the health of the communities we serve. Every student, every faculty and staff member, every individual and community member should have the opportunity for better health throughout their lifespan. To improve health, we must embrace and support greater diversity, equity and inclusivity in everything we do, including teaching, research and service. We are committed to doing better. You are welcome at the College of Health Solutions, and this is what you can expect from us.

### **Commitments to justice, equity, diversity and inclusion**

We create leaders who advance the principles of justice, diversity, equity and inclusion, shaping a future in which all community members can fully realize their potential.

We embed diversity, equity and inclusion as a transformational force in every aspect of our teaching, research and service as we work to address the challenges facing people and communities to stay healthy, improve their health and manage chronic disease.

We believe that diversity and inclusion are essential for excellence and innovation, and thus it is stated in our college values: We maximize opportunities for people of diverse backgrounds, abilities and perspectives.

We support underrepresented and historically marginalized groups, and will not tolerate discrimination or hate of any kind.

### **Title IX**

ASU prohibits all forms of discrimination, harassment and retaliation. To view ASU's policy please see <https://www.asu.edu/aad/manuals/acd/acd401.html>.

Title IX protects individuals from discrimination based on sex in any educational program or activity operated by recipients of federal financial assistance. As required by Title IX, ASU does not discriminate on the basis of sex in the education programs or activities that we operate, including in admission and employment. Inquiries concerning the application of Title IX may be referred to the Title IX Coordinator or to the U.S. Department of Education, Assistant Secretary, or both. Contact [titleixcoordinator@asu.edu](mailto:titleixcoordinator@asu.edu) or 480-965-0696 for more information. Office located at 1120 S. Cady Mall, INTDSB 284. For information on making a report please go to [www.asu.edu/reportit/](http://www.asu.edu/reportit/).

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## Program overview

Welcome to the PhD program in Population Health (POP) at Arizona State University! The mission of the program is to train students to bridge health care and public health systems, engaging with non-traditional sectors of society to understand and address the determinants of health and improve health outcomes for local populations. The program aims to provide students with a comprehensive, rigorous academic core of knowledge and professional skills that prepare them to become educators, researchers and leaders dedicated to advocating, promoting, and achieving positive improvements in 'total' population health of communities. The program is designed to ensure that students can integrate and analyze the complex biological, behavioral, social and economic factors and systems that impact the health of populations through academic coursework and community engagement. Students will learn to employ advanced analytic approaches to investigate multiple data sources, and develop, implement, and study programs and initiatives to improve the health of populations. This blend of academic and experiential learning will prepare students for future careers in the rapidly changing and interconnected field of population health.

Graduates of the POP PhD at ASU will be prepared for research careers in research-intensive universities, governmental agencies and health-related research positions in private industry. Students are strongly encouraged to pursue post-doctoral research opportunities upon graduation. The POP PhD program is designed to allow students to tailor their course of study and research in three broad areas: 1) health equity; 2) complex adaptive systems; and 3) urban environments for health.

The POP PhD program requires an average enrollment of 3 to 4 years of full-time study after completing a master's degree. Specific outcomes of the POP program include the following:

- Train students and graduates to become proficient in various research disciplines and methodologies needed to collect data, conduct research, and implement programs or disseminate information to improve population health.
- Equip students and graduates with the ability to synthesize and evaluate scientific, clinical, and other information on the role of population health and their interaction on the health of diverse populations.
- To prepare and engage scholars in the dissemination of research findings through presentations at scientific conferences as well as publications in peer-reviewed journals.
- To train research scholars to be productive members of the scientific community as evidenced by attainment of employment in a post-doctoral research position, academic faculty position, government or health-related position in private industry.
- To prepare scholars to become leaders in the fields of population health sciences through participation in professional development trainings and opportunities

**Prospective students.** Each fall, in order for students to learn more about the program, the faculty and our research activities, the POP PhD program hosts an in-person Prospective Student Day. For more information, reach out to [chs@asu.edu](mailto:chs@asu.edu).

**Prospective students must identify and contact a potential Mentor prior to submitting their application.**

## Admissions

### Admissions requirements and processes

Applicants must submit the Graduate Admissions online application. In addition to meeting Graduate Admissions requirements, students must submit the following: 1) personal statement (answering predetermined questions and designating the name of a potential Mentor from a list of approved faculty Mentors), 2) a six to ten page writing sample, 3) a professional curriculum vitae, and 4) three letters of recommendation. Those who would like to be considered for a teaching or research associate (TA or RA) position would also need to complete the TA/RA application form.

**Pre-requisites.** Potential applicants must have earned a bachelor's or master's degree prior to admission and it is preferable that they have completed a master's research thesis. It is expected that students admitted to the program will have documented academic training and a strong interest in health related to one of the following research emphases: 1) health equity; 2) complex adaptive systems; and 3) urban environments for health. All applicants must have taken a graduate level epidemiology and a graduate level research statistics course prior to beginning the program. In addition, depending on the student's academic background, scholarly interests and focus area, a student may be asked to take undergraduate courses to make up for deficiencies prior to or concurrently with enrollment. All deficient coursework, including the timeline for completion, will be notated on the official admission letter.

**English proficiency.** Applicants whose native language is not English must provide proof of English proficiency. Acceptable forms to meet English proficiency can be found [here](#).

**Process.** After prospective students' applications are complete, an ad hoc faculty review committee will review and score applications in batches. If a student passes this phase of the review, students are then invited to an interview. After the interview phase, the POP Executive and Curriculum Committee will review a prospective student's entire application submission and vote on admissions for each student.

Final admission decisions are based on: 1) the compatibility of the applicant's research interests and career goals 2) available and willing POP approved mentor, 3) previous academic training, 4) undergraduate and graduate GPA scores, 5) interview, and 6) professional recommendations. Students may be denied admission if: a) their undergraduate or graduate GPA is under 3.0, b) their stated research interests do not match those of an available mentor or c) there is insufficient university funding (either as a TA or an RA) or insufficient personal funding available to the student. Thus, admissions may be limited by funding and/or mentor availability. In other words, even if a student has high scores, if there is no funding available and/or no available mentor, he or she will be denied admission.

**Tuition costs, fees, and residency requirements**








Information regarding current tuition, fees, and payment options please visit this [website](#). Do note this degree program does require a program fee in addition to regular tuition and fees. You may also find information regarding residency [here](#).

**Program administration**

**POP Graduate Support Coordinator.** The Graduate coordinator for the POP program provides frontline support to students related to questions about application materials, iPOS, student files, and more. Your graduate support coordinator can be reached by email at [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) or by phone at 602-496-3300.

**POP Program Director.** Dr. Marc Adams, PhD, MPH, POP Program Director, provides oversight to the POP PhD program, coordinating all aspects including, but not limited to admissions, curriculum, exams, annual reviews, grad club advising, TA/RA evaluations, and POP grants.

**POP Executive and Curriculum Committee (POP ECC).** The POP PhD program is an interdisciplinary academic degree offered by faculty from different academic administrative units at ASU. Research scholars with affiliations in Population Health, Health Care Delivery, Bioinformatics, Health Education and Promotion, Nutrition, and Exercise Science are (or will be) approved mentors in the program. While the program is housed in the College of Health Solutions, the administrative locus of the degree program is 7 voting members of Executive and Curriculum Committee (ECC). This

			
<b>Marc A. Adams</b> Associate Professor	<b>Raminta Daniulaityte</b> Associate Professor	<b>Cady Burkel</b> Associate Professor	<b>Meg Bruening</b> Associate Professor
			
<b>Scott Leischow</b> Professor	<b>Xing Sherry Zhang</b> Assistant Professor	<b>Alexis Koskan</b> Assistant Professor	<b>TBD</b> Student Representative

committee meets monthly to discuss program issues. The POP Program Director serves as Chair of the POP ECC. In addition to Dr. Adams, the POP ECC is comprised of the following faculty representatives:

POP students elect a **student representative** to serve as a non-voting member on the POP Executive and Curriculum Committee each year.

The faculty in the POP Executive and Curriculum Committee vote on all petitions (e.g., committee changes, outside course requests, etc) and student-related topics (e.g., curriculum changes, exam changes, etc). The committee meets once per month. If you have a request, please make sure that you submit it to the POP Graduate Support Coordinator at [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) with ample time for the POP ECC to review and vote.

### **The Mentor Approach**

Students work with a Mentor from the beginning to the end of the doctoral program. The Mentor is selected by mutual agreement between student and faculty based upon shared research interests of the student and research expertise of the faculty. Prior to admission, the faculty member must state his or her willingness to mentor the student.

All POP mentors must be [approved by the Graduate College](#) to serve on a student's committee as a chair.

### **Program Requirements**

All students are expected to be actively involved in research at all stages of their doctoral study through their participation in research courses, independent research projects, seminars, colloquia, as well as research, technical, and skill building experiences. Students are expected to be generally involved in all aspects of the professional and research culture of the program and as often as possible attend supplementary research seminars, journal clubs, colloquia, and conferences as they are offered each semester. In addition, full-time students are expected to hold regular "office hours" or be on campus (office, class or lab) and be available regularly. The minimum total credits for the program is 84, with MS degrees counting for 30 credits of electives. Up to 12 credits that weren't previously applied to another degree *may* be able to be transferred into the program.

**Enrollment Guidelines.** All students must be continuously enrolled in a minimum of 1 credit hour every semester (excluding summers) for the entire time they are in the doctoral program. Per ASU Policy, students who receive funding from ASU as a TA or RA, must be enrolled for a minimum 6 credit hours continuously. Graduate students register for courses through My ASU. Details regarding registration and course drop/add procedures are provided in the registration [guide](#). Enrollment verification requests can be provided by the registrar's office. Audited classes do not count toward credit hours.

#### Required Core and Research (24 credits)

A total of 24 credit hours of research methods, statistics, ethics, and population health content are required. There are:

- 3 research methods courses (i.e., 1 quantitative research methods course – EXW 700; 1 qualitative research course NUR 608; 1 grant writing course – EXW 701;),
- 2 statistics courses (i.e., applied biostatistics in medicine and informatics - BMI 515; Advanced Applied Methods and Data Analysis - EXW 645),
- 1 systems science course (Population Health Systems Science and Theory - POP 605),
- 1 ethics course (NTR 533 or equivalent), and
- 1 practicum – POP 780) that comprise the "required" 24 credit hours. The practicum is an applied skill-building experience outside of the primary faculty mentor's research to result in a final product to be negotiated with the preceptor of the practicum (e.g., final paper, report from an implementation exercise).

Courses outside of the POP program need to be petitioned to the POP Executive Committee for approval prior to course enrollment. Please plan for petitions.

POP PhD students are expected to publish research articles throughout the program. To that end, each student is expected to complete research skill building/research experiences/projects in the first few years, leading to the Dissertation. The student should be prepared to discuss the status of these research experiences/project at their Annual Review.

#### Professional Seminar (3 credits)

Seminar – 591 Evaluating the Population Health Literature (3 credits, total): The purpose of the 591 seminar is to keep current on literature and topics in the population health fields. The 1-credit course will be taken three times

for a total of 3 credits during the student's time in the program. Various objectives of the class are: to gain exposure to other population health tracks and foci, examine traditional or emerging topics in population health, examine novel or emerging theory or research methods used in the population health field, and/or delve into a topic of the instructor's choice. Other topics may include elements of grant writing, publication, mentoring graduate and undergraduate students, and issues of diversity in population health. The course format will be based on the instructor's choice, but can include assignments, article reviews and/or debates. The course prepares students to become content experts in population health and contributes to their ability to contribute to scholarly activity, publishing, teaching, and service

#### Track focus Area (15 credits):

It is expected that all 15 credit hours in the focus area or theme will be in a focused content area within the program. Students will be expected to articulate what their specific theme or focus area is when they submit their iPOS. There are 3 focus areas to choose from: 1. Health Equity; 2. Complex Adaptive Systems; and 3. Urban Environments for Health. A menu of approved courses in the focus areas is provided. Additional courses can be requested as determined by the student and committee members. No more than three credit hours in the focus area may be taken as "590 or 690" (i.e., reading and conference or independent study). No more than twelve credit hours in the focus area may be taken outside of POP without approval from the student's committee members. In addition, at least one course (3 cr. hrs.) in the focus area should have a POP prefix.

#### Electives (30 credits):

The Population Health program allows up to 30 credit hours from a previously awarded master's degree to be applied for this program.

#### Dissertation credits (12 credits):

Students may begin the dissertation research only after being advanced to candidacy (i.e., passed comprehensive exams and the dissertation proposal has been approved). Per ASU Graduated College policy, only 12 credits of dissertation may be listed on the iPOS.

**iPOS.** The **Interactive Plan of Study (iPOS)** functions as a contract between the student, the academic unit, and Graduate College. Students must submit their iPOS by the time they have enrolled for 50 percent of the minimum credit hours required for their degree program (i.e., by the time you enroll in your 42 credit hour). Students who fail to submit the iPOS may not be allowed to register for classes or progress in the program. Students may not include on their iPOS any credit hours that have been applied towards a previously awarded degree. An iPOS is completed in consultation with the student's Mentor and Supervisory Committee and must be approved by the POP program and Graduate College. An approved iPOS **must be on file prior** to completing comprehensive exams, proposal defense and /or dissertation. Directions on how to submit your iPOS are available [here](#).

Once submitted, the iPOS automatically routes to the Program Director of the POP program. The Program Director will do a final evaluation of the iPOS and will either approve it and forward it to Graduate College, or it will be sent back to the student electronically for revision. Often after the iPOS is approved, it requires changes to accommodate modifications to the committee or courses that are available. It is an easy process to change the iPOS. Simply make the changes and re-submit. If you encounter difficulty with editing your iPOS contact the POP graduate support coordinator and/or the POP Program Director. The Graduate Support Coordinator will review any changes to an iPOS after it has received approval by the POP Program Director.

One of the unique features of the POP program is that a student can tailor a plan of study (iPOS) to fit individual goals and research interests. According to Graduate College policies and procedures, a maximum of 12 credits (that were not used in a previous degree) can be transferred into the iPOS from ASU or another institution. It is up to the discretion of the POP Program whether transfer credits will be approved. Please refer to [the Graduate College policies and procedures](#) for more information.

#### **Committees**

Students will need to form two committees as they progress through the program: the Supervisory Committee (which oversees the Annual Review, iPOS) and the Comprehensive Exams/Dissertation Committee. The student's mentor serves as the Chair of these committees, and with the student, is responsible for completing any forms and soliciting any signatures from committee members. The Graduate College and the POP program have specific eligibility criteria for faculty who chair and serve on committees.

Supervisory Committee. In the first semester, students begin forming their Supervisory Committee. The Supervisory Committee consists of at least three members, who must be approved POP Mentors. Students can invite an additional outside member to serve on this committee, but it is not necessary. The Supervisory Committee will assist with course selection and conduct Annual Reviews.

Comprehensive Exams and Dissertation Committee. The Comprehensive Exam and Dissertation Committee must have five (5) members and contain a minimum of [three approved Mentors](#) in the POP program and at least one outside committee member. This committee is responsible for administering and evaluating the comprehensive exams and providing oversight to the dissertation phase. The Comprehensive Exam/Dissertation committee does not have to be the same as the Supervisory Committee. While the Comprehensive Exam and Dissertation Committees do not need to be identical, students are encouraged to have the same members to better support the dissertation phase of the program. Students must have at least the chair or two co-chairs listed and approved on the iPOS before the comprehensive exams can be taken.

Outside Committee Members. There are two types of outside members: those within the College of Health Solutions who are not approved faculty mentors of the POP program, and other qualified individuals. All outside committee members are subject to approval by a vote from the POP Executive and Curriculum Committee. Outside committee members should provide expertise not already available within the POP mentor faculty. Eligibility and approvals for these outside committee members is as follows:

- Other Qualified Individuals. Students are encouraged to engage qualified individuals to serve on their dissertation committees. Other qualified individuals include tenure-track and research faculty within ASU and other academic institutions, practitioners with recent practice, policy, and/or research experience relevant to the specific topic addressed in the dissertation (e.g., MDs, state health department administrators, industry partners, health care or public health leaders, etc).
- College of Health Solutions Faculty: All non-POP faculty must meet minimum independent research productivity (three first authored/senior authored peer-reviewed manuscripts) to serve on POP students' committees.

Students must submit a committee member approval request to include a qualified individual to serve on comps/dissertation committees. Students should email [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) requesting the DocuSign form be initiated to add a qualifying individual to serve on their committee. Students should include an electronic copy of the nominee's Curriculum Vitae, a brief justification (<300 words) of the potential committee member(s)' recent practice, research, and/or policy experience relevant to the specific topic to be addressed in the dissertation, and the nominee's date of birth or ASU ID number in the request. **The request must be approved by the POP Program Director and the POP Executive and Curriculum Committee before the Program Director submits the individual for review by the Graduate College.** Once approved, the outside member will populate as an option on your iPOS. Make sure to submit this request well before scheduling your defense.

Changes to Committee Members. If a student would like to change a committee member, they must submit a change in their iPOS. Changes must be approved by the POP Program Director and the Graduate College. At least 5 days should be expected for these approvals, and longer if POP Executive and Curriculum Committee votes are necessary (the POP ECC meets one time per month). Please plan accordingly.

## **PROGRAM MILESTONES**

There are program milestones that must be met to demonstrate continuous progress in the program. These benchmarks include: Annual Goals/Contract, Midterm Review; Annual Review, Progressive Exam, Written/Oral Comprehensive Exam and Defense, and the Dissertation phase (Dissertation Proposal Defense, Advancement to Candidacy, and Dissertation Defense). While the details of this process are outlined below, we have included a milestone checklist in the appendices. **Please note, unless otherwise noted, most deadlines are in the frame of business days (e.g., 10 days = 10 business days).**

**Annual Scholarship and Service Contract:** All doctoral students must have their academic progress reviewed annually. All PhD students who have not been advanced to candidacy (i.e., those who have yet to pass their dissertation proposal), are required to develop a contract with their Mentor regarding their scholarly and service goals to be accomplished each year they are enrolled in the program. This agreement/contract is to be signed by the student and Mentor and submitted by October of each year. A copy of this signed agreement should be provided to the graduate support coordinator by emailing [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu). **These contracts should be filed no later than October 15<sup>th</sup>.** A template of the scholarly goals and service contract is included in this handbook. Examples are available upon request ([CHSGrad@asu.edu](mailto:CHSGrad@asu.edu)).



**Midterm Review.** All 1st and 2<sup>nd</sup> year PhD students and select others will be asked to meet with the POP Program Director in the Fall (October or November) to discuss issues that concern the student, to determine if the student is on track and whether the program is meeting the student's needs. The review consists of a 10-15 minute informal discussion. All TAs and RAs will be separately evaluated bi-annually (October and April) by their supervising faculty member. More detail about this review is provided later in this document.

**Annual Review.** All PhD students, who have NOT been officially advanced to *candidacy*\* will be evaluated annually by the student's supervisory committee. The review consists of a **30-minute** review of your annual contract and portfolio noting your accomplishments in research and service. *\*Students who have officially defended written and oral comps and defended the dissertation proposal and are currently conducting their dissertation research do not need to be evaluated.*

Procedures are as follows for the Annual Review:

1. Students are responsible for scheduling 3 mentors from their supervisory committee and one member from the POP ECC to attend their annual review interview. If your supervisory committee has a POP ECC member present, no additional members of the ECC are needed. The reviews are to be scheduled during a regular workday M-F from 8 am to 5 pm during the month of APRIL and must be completed by the last day of classes during the spring semester. The interview dates and times are to be mutually decided between the student and the faculty committee members.
2. Students are responsible for scheduling the day, time, and room for their annual review. Please email [chsreception@asu.edu](mailto:chsreception@asu.edu) for assistance in booking a room. Once this is done, please email the final details to [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu).
3. Prepare a portfolio of your annual accomplishments. A checklist of the materials to provide in the portfolio is presented at the end of this document. Create an electronic pdf (please put into single file) copy of the portfolio and send to your mentor, your supervisory committee, the graduate support coordinator and the POP Program Director.

**Failure to satisfactorily accomplish/complete the stated objectives on the contract/agreement will indicate to the Committee that the student has not made satisfactory progress in the program and the student may be placed on academic probation.** If program progress is deemed unsatisfactory, steps for improvement (with timelines for correction) will be outlined in a letter to the student. Failure to make improvements within the given timeline after being issued a letter of unsatisfactory performance can be grounds for dismissal from the program.

### **Progressive Exams:**

Ph.D. students must take a progression exam on research design and statistics proficiency in May after they have completed the core POP research methods and statistical courses. The progressive exams will focus on qualitative research methods (EXW 700) and statistics (BMI 515 and EXW 645); students need to have earned a B or higher in each of these classes before being able to sit for the exam. The aim of the progressive exam is to assess a students' proficiency in applying their knowledge to real research design problems and statistical analysis. All material from the courses included in the progressive exam may be included in the exam. There will be less emphasis on memorization and hand computations and more emphasis on design logic, application, and interpretation.

The exam will be taken in a location where students do not have access to the internet, books, or notes. Each question of the exam will be graded (blindly) by at least two approved mentors. The exam writers provide a grading rubric to the reviewers that helps to standardize outcomes across students. The rubric is a guide and does not include points or proportions needed; it helps in determining overall performance (i.e., pass vs. fail). The rubric will not be provided to students, as this is a proficiency exam. Readers will meet to discuss any discrepancies in scores. If discrepancies still remain, an additional reader will be solicited.

Students must pass all questions on the exam to continue to advance in the program. There are well-defined consequences described in the next paragraph for poor performance on progressive exams. A student must receive a pass from two of the three readers to pass a question. The approximate benchmark for proficiency, as determined by the reviewers, for the exam have been established as:

Pass: Score of 70% or more

Fail: < 70%

If a student *'fails'* a question, then the student will need to retake that course (for credit) or a comparable statistics or research methods course (for credit) selected at the discretion of the mentor and the student's supervisory committee and retake that specific portion of the progressive exam the following year. The student must score a grade of B or better when retaking course(s) or completing alternative course(s). **Regardless of whether the student selects to retake the original course for credit or a comparable statistics or research methods course, the student will be required to pass the progressive exam for BMI 515, EXW 645, or EXW 700.** The student will not be provided an alternative

progressive exam based on the new course work nor will they receive the same question(s) that was asked in their prior exam. A second failure is considered final and dismissal from the program will be recommended to the Graduate College.

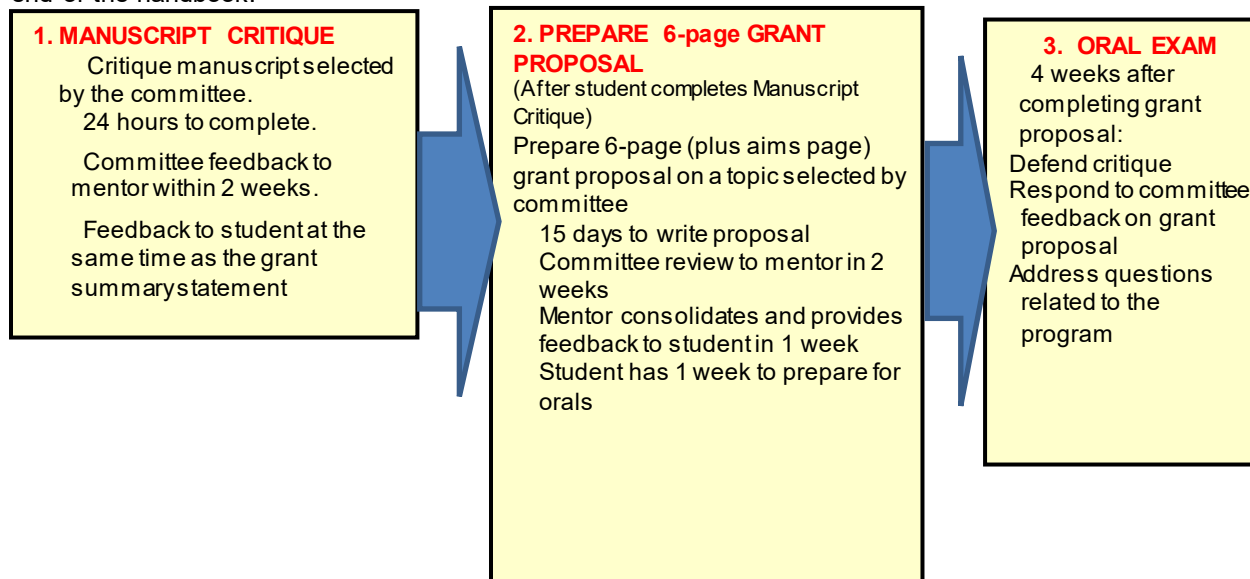
### Comprehensive Exams:

Upon completion of most course work (six or less credit hours remaining in iPOS excluding dissertation hours), **and prior to proposing or commencing dissertation research**, students are to meet with their Mentor and their Supervisory Committee members to discuss preparing for their comprehensive exams. The student should not schedule the written comprehensive examination prior to the 4th semester in the program AND all students need to take and pass their comps by their 5<sup>th</sup> year (i.e., in the 9<sup>th</sup> semester) in the program. Students needing longer than this for justified reasons (e.g., prolonged illness) must submit a written petition to the POP ECC for consideration; there are no guarantees that the POP ECC will grant an extension. (*Reminder: the iPOS must be approved and at least the chair or two co-chairs listed and approved on the iPOS before the comprehensive exams can be taken.*) All students must be registered for a minimum of one credit hour (including summer) the semester they plan on taking and defending comprehensive examinations.

The structure and content of the comprehensive exams includes three components with distinct time guidelines (Figure 1)—1) Critique a Manuscript (24-hours), 2) Prepare a novel 6-page grant proposal (15 days) and 3) Oral Exam (1 week following feedback from the written portion).

Figure 1: Graphic of Comprehensive Exam Flowsheet and Timeline

1. **Manuscript Critique:** In consultation with the Comprehensive Exam Committee, the mentor will choose a journal article for the student to critique. The student will answer several questions and follow standard reviewer's guidelines from the journal to write their critique with special emphasis given to the major and minor revisions needed. The student will have **twenty-four hours** to complete and submit the critique to their mentor. The review must be done independently without collaboration or help from others. The mentor will distribute the written critique to the comprehensive exam committee for review. The student will be expected to orally defend their critique during the oral exam section of the comprehensives. The questions and grading rubric for the Manuscript Critique are included in the end of the handbook.



2. **Prepare a Novel 6-page Grant Proposal, plus Aims page:** Following completion of the manuscript critique, the student and their mentor will identify topics of potential interest and present those to the committee and seek their approval. These topics *must be different from any topic that the student has previously used for other grants including the EXW 700 and 701 courses, different from their mentor's prior research or any other grant the student may have previously worked on or written.* For this exercise to be useful, it is suggested that the student (and their committee) choose topics that could be used for the student's dissertation topic. (Note: *Although similar to an R21 proposal, this 6-page plus aims proposal does not have to be constrained by a budget or time frame typical for an R21 grant.*) **Further, to allow some additional flexibility with the grant format, the grant proposal could be in a pre-doctoral format appropriate for an identified funding agency.** The specific grant format should be determined by the student's primary mentor and Supervisory Committee.

Once the topics are approved, the mentor will choose one of the topics for the student to complete. The student will be given **15 total days** to complete the grant proposal and submit it to their committee. The grant must be done

independently without collaboration or help from others. The committee will review the proposal using appropriate review guidelines and submit their reviews to the mentor within a predetermined time frame (typically two weeks). The committee members will indicate to the primary mentor whether the student has passed the written exam, passed with revisions, or failed to pass the written comprehensive exam at this time. The primary mentor will inform the student of the exam results and the next steps (see section on comprehensive grading below).

For students who pass the exam without required revisions, the comments will be consolidated and blinded by the mentor (i.e., in a summary statement form) and shared with the student one week before the oral exam. The student will be expected to respond to the reviewer's feedback (point by point) and defend their grant proposal at the oral exam.

- 2. Oral Exam: If a student has passed the written comprehensive exam**, the oral exam will be scheduled by the committee to be held at a mutually convenient time typically within 2 weeks of passing the written exam. Orals will be structured in 3 parts: 1) Defend questions regarding their manuscript critique regarding the major/minor revisions suggested, 2) Discuss and respond to reviewer's feedback of their grant proposal (Note: it is suggested that a PowerPoint presentation be developed to help direct the discussion "point by point" in response to the reviewer's feedback and 3) Respond to any additional generic or "big picture" questions related to their focus area in regard to population health science.

**Comprehensive Exam Pass/Fail.** Students must pass *both* the written and oral exams to pass the comprehensive exam. The chair solicits signatures from the committee on the Report of the Comprehensive Exam Pass /Fail Form and submits the form to the graduate support coordinator by emailing [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) and the POP Program Director who will submit the results to the Graduate College.

**Comprehensive Exam Grading and Retake Process:** The POP ECC has decided that setting a threshold score would not be an effective method for determining whether students pass or fail their comprehensive exam. Instead, a pass or fail will be determined by an overall vote by the students' 5-member comprehensive exam committee. Per university and POP policies, students may only re-take their comprehensive exam(s) one time. This retake must be supported by the students' committee and have approval from the Graduate College.

**Written Exam Scoring:** A grade of "**pass**" indicates that the student addressed the questions at a level of quality commensurate with the majority of the examiners' expectations, including the chair. To pass the written exam, students must meet the majority of the examiners' expectations and the chair for both the manuscript critique and grant proposal. Students may also receive a "**conditional pass**" if the majority of the committee, or the committee chair, require minor revisions to the written document to pass. The required changes must be provided to the student in writing and copied to the chair of the Comprehensive Exam Committee. Students must complete the revisions within 3 calendar weeks of receiving feedback from the committee on the required revisions. In addition to an updated aims page and 6-page research strategy, students will submit a 1-page introduction (see NIH procedures on revisions) summarizing what was changed in their grant. Similarly, if the student was asked to revise the manuscript critique, they must submit the revised document and a one-page summary of changes made. The student may not advance to the oral defense until he/she has received a grade of "pass" from each comprehensive exam committee member. Students who receive a grade of "pass" from each committee member will advance to the oral defense within two weeks of receiving their grades.

**If a student fails either the manuscript critique or the grant writing component or both, the student will receive a grade of fail on the written comprehensive exam.** Students will only have to retake the written component in which they earned a failing grade. A grade of "fail" is given when the majority of responses are inaccurate, insufficient or unacceptable. A grade of "**fail**" indicates that the student did not demonstrate the appropriate level of knowledge and expertise required for dissertation work and that it is unlikely that additional time and study will result in success. In this situation, the student will be recommended for dismissal from the program. The dismissal notification will include appeal procedures. A failing grade from the committee chair or a simple majority of the committee is a failing grade for the entire written examination. Failing the comprehensive examination(s) is considered final unless the supervisory committee and the head of the academic unit recommend, and the Dean of the Graduate College approves, a re-examination. Only one reexamination is permitted. A petition with substantial justification for re-examination, endorsed by the members of the students' supervisory committee and the Program Director, must be approved by the Dean of the Graduate College before students can take the examination a second time. Re-examination may be administered no sooner than three months and no later than one year from the date of the original examination. Results of the written examination are recorded on the *Report of Doctoral Comprehensive Examinations Form* (see Appendices) and given to the graduate support coordinator who submits them via the iPOS to the Graduate College.

## Exam re-take:

The retake of the written exam must be approved by the Dean of the Graduate College before the retake can commence.

If the student fails the *manuscript critique*, the mentor and committee need to identify a new article to critique. The new critique may not be started any sooner than 3 months from the original attempt. This option allows the student to gain additional mentoring or take additional classes in order to better prepare the student for a successful attempt. Students must pass the second attempt of the manuscript critique to move onto the oral comprehensive exam. Once started, the student will have 24 hours to complete the critique. The new manuscript critique will be re-evaluated by the examination committee.

If the student fails the *grant proposal*, they will be required to submit a new grant proposal. The mentor and committee will select a NEW question for the student to write a grant proposal. This option may not be started any sooner than 3 months from the original attempt. This option allows the student to gain additional mentoring or take additional classes in order to better prepare the student for a successful attempt. Students must pass the second attempt of the grant proposal to move onto oral comprehensive exams.

If the student failed both sections, they will have to retake both using the guidelines described above.

## Oral Exam Grading:

The student must also pass the comprehensive oral exam to successfully pass their comprehensive exam. A grade of “**pass**” issued by the majority of the Comprehensive Examination Committee including the chair indicates that the student may embark on development of a dissertation proposal (prospectus).

A grade of “**re-test**” is rendered when the majority of the Comprehensive Examination Committee and chair believes the student has the capability to successfully complete the oral comprehensive examination at a later date. **If a “re-test” is the grade rendered, the supervisory committee and the Program Director recommend a re-examination. A re-examination will be permitted with approval of the Dean of the Graduate College.** Only one reexamination is permitted. A petition with substantial justification for re-examination, endorsed by the members of the student’s supervisory committee and the head of the academic unit, must be approved by the Dean of the Graduate College before students can take the examination a second time. Re-examination may be administered no sooner than three months and no later than one year from the date of the original examination.

A grade of “**fail**” indicates that the student did not demonstrate the appropriate level of knowledge and expertise required for dissertation work and that it is unlikely that additional time and study will result in success. In this situation, the student will be recommended for dismissal from the program. The dismissal notification will include appeal procedures.

Results of the oral examination are recorded on the *Report of Doctoral Comprehensive Examinations Form* (see Appendices) and given to the graduate support coordinator who will submit them via the iPOS to the Graduate College.

## Dissertation Proposal/Prospectus Defense:

Per Graduate College policies, students cannot begin their dissertation until they have passed their dissertation proposal defense. The dissertation proposal defense may not be scheduled until the student has passed the comprehensive exams. The dissertation prospectus consists of two components: a written proposal and an oral examination. The written proposal must contain a formal title page, introduction with a statement of purpose/ question/ specific aims and hypotheses, a complete literature review, and must describe in detail the methods to be used including descriptions of subjects, instruments, statistics and other procedures (i.e. chapters 1-3). For the oral examination, students will be asked to present their proposed research study and defend their research design in addition to answering any additional generic or “big picture” questions related to their focus area population health. **Before commencing with the written dissertation proposal, it is recommended that the student schedule a pre-proposal meeting with their committee to discuss the purpose, specific aims, hypotheses, and proposed research design. This will allow the committee to provide constructive feedback on the scientific merits of the project.**

Students must allow sufficient time for the mentor and committee to review their work prior to the defense. The student must **provide a formal dissertation proposal** to the Dissertation Committee **at least 10 business days prior to the defense**. The student’s primary mentor must approve the written dissertation proposal prior to submission to the committee. The proposal defense is a public event. Within 10 business days of the proposal defense, the student must send the proposal abstract, date of the proposal, room location and zoom link to [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) and [chsreception@asu.edu](mailto:chsreception@asu.edu) so an announcement of the event can be sent to POP faculty and students.

Please note, ASU uses an online formatting tool that follows the [Format Manual](#) to generate a template into which you can insert your document's text. The student cannot begin data collection until all approvals of the proposal have been completed and after all IRB (or IACUC) approvals are done. In the POP program, proposal defenses are public events.

**Full time students should defend their dissertation proposal within one year of passing their comprehensive exams.** Students needing longer than this for justified reasons (e.g., prolonged illness) must submit a written petition to the POP ECC for consideration; there are no guarantees the POP ECC will grant an extension.

**Grading:** The committee determines whether the student has passed, passed with minor revisions, or failed the dissertation proposal/prospectus defense. For minor revisions, the student will have no longer than 3 months to make revisions based on feedback from the committee. The committee feedback will be documented during the defense by the chair and provided to the student. A simple majority of the committee and the chair must approve the revisions for the student to pass the dissertation proposal/prospectus. The Chair solicits signatures from the committee on the Report of the Proposal Defense Pass /Fail form and submits the form to the Graduate Coordinator by emailing [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) and the POP Program Director who will submit the results to the Graduate College.

Failure of the doctoral dissertation prospectus oral defense is considered final unless the supervisory committee and the head of the academic unit recommend, and the Dean of the Graduate College approves, a second proposal defense. If a petition is approved, students must submit the new prospectus by the end of six months (the six months begins from the date that the first doctoral dissertation proposal defense was held). If the academic unit does not grant the students permission to retake the proposal defense, or if the students fail to pass the retake of the proposal defense, the Graduate College may withdraw the students from the degree program. Students are required to register for at least one semester hour of credit that appears on the Interactive Plan of Study or one hour of appropriate graduate-level credit during the fall, spring or summer session in which they conduct their doctoral prospectus.

#### Advancement to Candidacy:

The Graduate College will send a letter indicating that the student has been advanced to candidacy once the comprehensive exams are passed and the dissertation proposal defense forms are approved and submitted. **Students should not enroll in Dissertation hours (POP 799) until after being advanced to candidacy.** Doctoral students who have been advanced to candidacy are required to maintain continuous enrollment (at least 1 credit hour each semester) until all degree requirements have been completed and graduated.

#### **Dissertation Research**

After the proposal and IRB application have been approved, the student will undertake the approved dissertation project. Remember, the student will not be able to begin the dissertation if the proposal is not complete and approved. A total of 12 dissertation credit hours must be taken prior to graduation. It is highly recommended that the appropriate format be followed throughout each stage of the dissertation process from proposal to the final draft.

Students have two options for the dissertation:

- 1) A traditional dissertation, which is an in-depth volume describing (a) theoretical background and literature to date, (b) the methods and results of a research project, and (c) a detailed discussion of the strengths, limitations, interpretation and significance of the findings;
- 2) A series of publishable papers (typically 3 papers), with appropriate introductory and concluding sections. A three-paper format generally includes the following chapters: introduction, literature review (including theoretical background), methods, paper 1, paper 2, paper 3, discussion, and conclusions.

All students who conduct any research using human subjects are required to submit their research proposal to the Institutional Review Board, for approval prior to conducting their study. This procedure is necessary even for students who are doing secondary data analysis. Students at ASU are not eligible to submit their own IRB. Students will have to work with their faculty mentor to submit the IRB.

#### **Apply for Graduation**

Prior to defending your dissertation, you must apply for graduation through the "Graduation" tab on your My ASU. At this point, you should do a final review of your iPOS. The student should report to the graduate support coordinator any classes on their iPOS (especially the dissertation classes POP 799) that may have an incomplete or grade of "Z". Be proactive and follow-up with your mentor and the graduate support coordinator to ensure that all grades are entered. A student will not receive a letter of degree completion until all final grades are entered.

Check if you:

- Have an approved iPOS (no pending changes or petitions)

- Have met all minimum 3.0 GPA requirements (iPOS and Graduate)
- Have an approved full committee on the iPOS (no pending changes)
- Have satisfied all milestone requirements (for example, written comprehensive examination)
- Have reached candidacy
- Are an active student and currently enrolled

**Scheduling the Defense:** Once the students committee has approved the student to schedule their dissertation defense, the student will:

- Work with [chsreception@asu.edu](mailto:chsreception@asu.edu) to book a room for their defense. Students must know the location of their defense before they can schedule their defense through the Graduate College.
- Student enters their exam date for approval by the Graduate College through their My ASU or the iPOS. The oral defense must be scheduled at least 10 working days before the anticipated defense date. Please see the available [resources](#) to help prepare for your defense, which includes the 10-Working Day Calendar.
- Email [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) and [chsreception@asu.edu](mailto:chsreception@asu.edu) the defense template to announce the defense to faculty and students.
- Once the request has been submitted, the request must be approved by the POP program. Note: the defense is not officially scheduled until approved by the POP program and the Graduate College.

**Submitting your dissertation:** Once the defense has been scheduled, the student must upload his or her complete, defense-ready document for format review to the Graduate College 10 calendar days prior to the defense.

1. Students must submit documents through their iPOS by clicking on the Format tab and uploading a Word or PDF document as an attachment. If you are attaching multiple files, the documents must be submitted as a compressed zip file.
2. Documents should only be submitted after consultation with the student's committee/chair and must be a complete, defense-ready document (i.e. meets standards set by the [ASU Graduate College Format Manual](#), complete content).
3. The Graduate Format team will not review incomplete documents or those that have not been formatted according to the format manual. If students submit a partial or incomplete document, the document will be returned without evaluation and revisions will be requested before further review.
4. Students must be enrolled in at least (1) credit hour during the semester they plan to defend their thesis/dissertation and while working on format revisions.

### Oral Dissertation Defense

All POP PhD students are required to hold a **public** defense of your dissertation on an ASU campus as part of your degree requirements. The dissertation committee should be provided an electronic copy of the "final" dissertation no fewer than 10 business days prior to the oral defense. Students should plan for 3 hours for their dissertation defense. In addition, an abstract of the dissertation and information about the defense time and location should be sent to [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) and [chsreception@asu.edu](mailto:chsreception@asu.edu) no fewer than 10 business days in advance of the oral dissertation defense (This allows the program to invite the public to attend the dissertation). The final exam includes first, a seminar open to the public, approximately one hour including questions from the audience, covering the substance of the dissertation. A closed-door meeting of the thesis committee and the student, up to 2 hours, follows. A vote of the exam committee is taken before and after the committee discusses the examination. Revisions and modifications may be recommended, even if the committee has determined the student has passed the exam.

**Committee Presence at Defense:** You and your committee chair (or one co-chair) and at least 50% of your committee must be physically present at the defense. If the chair or 50% of the committee cannot be physically present, then the oral defense must be rescheduled to another date. If you have a member(s) who cannot be physically present at the defense that committee member may participate in the defense in one of three ways. These options are listed in the order of preference:

- The absent committee member videoconferences into the defense location.\*
- The absent committee member teleconferences into the defense location.\*
- The absent committee member provides a substitute to be physically present (approved by the committee chair, the head of the academic unit & graduate college) for the defense only. The substitute must be someone who is approved to serve on graduate supervisory committees for that program. The absent committee member should provide the substitute questions, in writing, to be asked at the defense. The substitute, although respecting the opinions expressed by the regular committee, must be free to use his/her judgment in voting on whether the student passes or fails the defense. (\*Assume appropriate technology is available.)

An email needs to be sent to [grad-gps@asu.edu](mailto:grad-gps@asu.edu) with the student's ID number and the name of the tele/videoconferencing member or the names of the member who will be absent and the faculty member who will attend as a substitute. This information must be submitted before the defense.

On the day of your defense, the Pass/Fail form will have already been sent to your committee members from the Graduate College for your committee to sign. This form is an electronic DocuSign form accessed through the committee members' ASU email. Committee members are encouraged to bring a laptop to the defense to electronically sign the form upon the conclusion of the defense.

**Degree Completion / Final Revisions.** The student is to make any final corrections to the dissertation as recommended by the committee and mentor and then the final version of their document (that has been approved by the mentor and dissertation committee) is evaluated by a format reviewer in the Graduate College and submitted to UMI/ProQuest for printing.

Keep in contact with the Format Advisors ([gradformat@asu.edu](mailto:gradformat@asu.edu)) as well to complete all format changes. To avoid jeopardizing your graduation, be sure to submit your final revisions by the posted semester deadline. If the deadline is not met, the student will be required to register (and pay) for one (1) graduate-level credit hour the following semester to be able to graduate.

**Revision Process.** After making the required corrections outlined in the email and reviewed the entire document, then upload the document to the Graduate College via your iPOS. (NOTE: A format advisor checks your work against the Format Manual requirements. They also spot-check for misspellings, inconsistencies, typographical errors, and grammatical problems, but a thorough review of the entire document for these errors is the responsibility of the student and his/her chair.). Turnaround time for review fluctuates depending upon the volume of documents, and increases as the semester deadlines approach, students should expect a response within 3-5 business days. This process will continue until your document is ready for electronic submission through UMI/ProQuest.

**Final Submission to ProQuest.** Student will receive an email from the Graduate College format advisor notifying you that your document is ready for electronic submission through UMI/ProQuest. Read the email carefully as you may receive instructions before final submission to UMI/ProQuest. You must have received format approval from the Graduate College and submitted your Pass/Fail form to the Graduate College in order to be eligible to complete the final step of submitting to ProQuest.

## Other Procedures and Policies

**Research standards for publication of dissertation.** Graduate research is the study of an issue that is of sufficient breadth and depth to be publishable in a respected POP-related journal. The effort should reflect a minimum of 1500 hours of thoughtful work for a dissertation (PhD). The research should follow the 'scientific method' and thus be both objective and reproducible. The dissertation should demonstrate independent, original, and creative inquiry. There should be predefined hypotheses or developmental goals and objectives that are measurable and can be tested. The document should demonstrate proficiency with written English and should conform to the Office of Graduate Education format guidelines. Students should begin their dissertation only after they have passed their comprehensive exams.

**Incomplete grades.** The College of Health Solutions will consider an incomplete grade request when the following factors are present:

- The student has been completing acceptable work (grade of C or better) and has completed 80% of the course.
- The student is unable to complete the course due to illness or conditions beyond the student's control.
- The student can complete the unfinished work with the same instructor.

Students have up to one calendar year to finish incomplete work. If a student does not complete the missing coursework by the date that is agreed upon on the incomplete request form, the instructor may change the grade to what was earned based on the work completed in the class. If the coursework is not completed after a calendar year, the incomplete becomes permanent. Repeating a class in which an incomplete is awarded will not replace the "I" on the student's transcript. Students must complete the incomplete request form and submit it to their instructor for review and processing.

**Continuous enrollment.** Once admitted to a graduate degree program or graduate certificate program, students must be registered for a minimum of one credit hour during all phases of their graduate education, including the term in which they graduate. This includes periods when students are engaged in research, conducting a doctoral prospectus, working on or defending theses or dissertations, taking comprehensive examinations, taking Graduate Foreign Language Examinations, or in any other way utilizing university resources, facilities or faculty time.

Registration for every fall semester and spring semester is required. Summer registration is required for students taking examinations, completing culminating experiences, conducting a doctoral prospectus, defending theses or dissertations, or graduating from the degree program. To maintain continuous enrollment the credit hour(s) must:

- Appear on the student's *Plan of Study*, OR
- Be research (592, 792), thesis (599), dissertation (799), or continuing registration (595, 695, 795), OR
- Be a graduate-level course.

Grades of "W" and/or "X" are not considered valid registration for continuous enrollment purposes. "W" grades are received when students officially withdraw from a course after the drop/add period. "X" grades are received for audit courses. Additionally, students completing work for a course in which they received a grade of "I" must maintain continuous enrollment as defined previously. Graduate students have one year to complete work for an incomplete grade; if the work is not complete and the grade changed within one year, the "I" grade becomes permanent. Additional information regarding incomplete grades can be found at [asu.edu/aad/manuals/ssm/ssm203-09.html](http://asu.edu/aad/manuals/ssm/ssm203-09.html).

**Leave of absence.** Graduate students planning to discontinue registration for a semester or more must submit a Leave of Absence request via their Interactive Plan of Student (iPOS). This request must be submitted and approved **before** the anticipated semester of non-registration. Students may request a maximum of two semesters of leave during their entire program. Having an approved Leave of Absence by the Graduate College will enable students to reenter their program without re-applying to the university. **Students who do not register for a fall or spring semester without an approved Leave of Absence are considered withdrawn from the university under the assumption that they have decided to discontinue their program.** Students removed for this reason may reapply for admission to resume their degree program; the application will be considered along with all other new applications to the degree program. Students with a Graduate College approved Leave of Absence are not required to pay tuition and/or fees, but in turn are not permitted to place any demands on university faculty or use any university resources. These resources include university libraries, laboratories, recreation facilities or faculty and staff time.

**Time limits.** Doctoral students must complete all program requirements within a ten-year period. The *ten-year* period starts with the semester and year of admission to the doctoral program. Graduate courses taken prior to admission that are included on the iPOS must have been completed within three years of the semester and year of admission to the program (previously awarded master's degrees used on the Interactive Plan of Study are exempt). Pre-admission credits included on the iPOS will determine when the students maximum time limit will start. The Graduate College may withdraw students who are unable to complete all degree requirements and graduate within the allowed maximum time limits.



Students' supervisory (comprehensive exam and/or dissertation) committee may also include additional time limits if the student is not performing up to standards for the program.

**Satisfactory Academic Progress.** Per Graduate College guidelines, graduate students must maintain a minimum 3.00 grade point average (GPA) to maintain satisfactory academic progress and to graduate. Students whose cumulative GPA falls below 3.00 are placed on academic probation, receive an advising hold on their account, and are required to complete an academic performance improvement plan. If students are unable to raise the GPA to a 3.00 within nine credit hours or one year (whichever comes first), the program standards committee may recommend the student for dismissal from the program.

**Summer defenses.** Students planning on defending oral exams, proposals, or dissertations in the summer, must register and pay for at least one credit hour of coursework. Students can register for any summer session; it does not have to be the same session in which you are defending; however, students must be registered before the defense can be scheduled. (Note: most students need to pay out of pocket for this credit and related fees, as it is rare for the program to cover tuition in the summer.)

**Assistantships.** All RA and TAs within the program are competitive. RA and TA positions consist of a nine-month position (August – May) and include a full tuition waiver. In the College of Health Solutions, TAs are limited to the first two years of students' enrollment in the program. All students must have the expertise, experience, and willingness to be a TA and teach courses or laboratories in the POP undergraduate curriculum or be an RA as funding allows. International students must demonstrate English proficiency before they can begin a TA appointment. An ASU Graduate Assistantship (TA/RA) handbook and policy Manual is available from the Graduate College ([TA/RA handbook](#)) to provide an overview of ASU policies and support services pertinent to teaching and research assistants and associates.

- **Eligibility:** In order to be eligible to receive an appointment as a TA/RA, a student must be regularly admitted to and enrolled in the graduate degree program. During the fall and spring semester, a TA/RA must be enrolled for a minimum of six hours. During the summer session(s) a TA/RA must be enrolled for a minimum of 1 hour. Audited courses or undergraduate courses may not be used to fulfill this requirement.
- **Training for TAs:** All **new TAs are required** to participate in the graduate [Teaching Assistant Development \(TAD\) program](#) prior to and during your first semester as a TA. The TAD Program has three required components: Pre-orientation modules, On-site Orientation, Development Experiences. The supervisory instructor may also have training that is required. Students are encouraged to communicate with their course supervisor(s) as soon as possible.
- **Reappointment:** TA/RA appointments are, by definition, term appointments. TAs/RAs should not assume that they will be reappointed merely because no notification or termination at the end of the appointment period has been received. Reappointments are subject to and contingent upon the continuing availability of funds and the TA's/RA's satisfactory performance. TAs/RAs are based upon the availability of funds and are not guaranteed. In considering reappointments, the hiring unit or project director must consider the TA's/RA's contribution to the objectives of the unit or project along with the associate's academic progress.
- **Evaluations.** TAs/RAs will be reviewed biannually (October and April) to inform students as to their progress and outline areas for improvement if necessary. Evaluation of performance shall not be based on sex, age, disability, race, color, religion, marital status, veteran status, national or ethnic origin, or sexual orientation or gender identity, nor shall it be influenced by a student exercising protected rights to freedom of expression or association. These reviews will include an evaluation of the student's abilities and behaviors concerning completion of assigned tasks; ability to work independently once tasks are explained; ability to analyze problems and find solutions; cooperation with supervisors and other TAs/RAs; and professional behavior. These reviews will be communicated in writing to the student concerned. The TA/RA should subsequently sign the evaluation and may append a response. The evaluator should provide a copy to the student and forward a copy of these documents to the student's advisor and the head of the academic unit for placement in the student's official file. Should a student receive a negative review (i.e., score of 3 or lower), then the student will be given one semester to improve. A student who receives a second unsatisfactory review, will NOT have their position renewed.
- **Termination:** In the rare instance that a TA/RA is to be terminated prior to the end of the appointment period, then the TA's/RA's supervising faculty member or head of the academic unit should write to the student describing the reasons for the action. The dean of the academic college (when applicable) and the Vice Provost of Graduate College should receive copies of the letter. Within 10 days of the receipt of the notice of termination, the TA/RA may appeal the decision at the unit and college level. If a TA/RA is unable to continue an appointment, he or she must inform the supervising faculty member and the POP Program Director in writing of the reasons for the action, with the understanding that the student will lose financial support.

- **Summer funding:** TAs are NOT available over the summer. RAs are dependent upon funding. Students who want to teach in the summer are encouraged to apply to be a Faculty Associate (FA) upon availability. Any openings for summer teaching are filled from a general pool of FA applicants.

**Academic Integrity.** The highest standards of academic integrity are expected of all graduate students, both in the academic coursework and in their related research activities. The failure of any graduate student to meet these standards may result in serious consequences including suspension or expulsion from the university and/or other sanctions as specified in the academic integrity policies of individual schools as well as the university. Violations of academic integrity include, but are not limited to: cheating, fabrication, tampering, plagiarism, or aiding and/or facilitating such activities. At the graduate level, it is expected that students are familiar with these issues and each student must take personal responsibility in their work. In addition, graduate students are expected to follow university guidelines related to the Student Code of Conduct. University policies related to academic integrity and code of conduct are available in the Office of Student Life, or [here](#).

**Graduation Ceremony.** Per ASU policy, students completing a doctoral program may only participate in graduation ceremonies if all degree requirements are met prior to the deadlines for that semester. Students who need an extra semester to complete coursework must defer their graduation to the next term and participate in the next available ceremony.

## Conduct and Conflict Resolution

### Grievances.

If a student had a grievance, s/he first files thorough documentation with the Program Director of the POP Program, who will then share the situation with the POP Executive and Curriculum Committee (ECC). The POP ECC will review the evidence and documentation, and vote on a solution. A student can appeal the POP ECC's decision to the Associate Dean of Graduate Education of the College of Health Solutions. Documentation of decisions regarding student grievances will be shared with the ASU Associate Dean of Graduate Academic Affairs.

### General Appeals

The grade appeal process is determined based on if the grievance is grade or non-grade related.

- [Grade related appeals](#) should first begin by having a discussion with the instructor in question. If the issue remains unresolved the student may submit an appeal to the Program Director for their respective degree program. If the issue remains unresolved the student may then appeal to the College of Health Solutions Executive Director of Student Success.
- [Non grade related appeals](#) should begin with a discussion between the student and instructor. If the matter remains unresolved the student may then petition their case to the College of Health Solutions Executive Director of Student Success.
- For additional information, including the appeal form, please email [CHSGrad@asu.edu](mailto:CHSGrad@asu.edu) or call 602-496-3300.

**Mentor changes.** Mentoring and being mentored is a two-way relationship and it takes work. A student is accepted into and retained in the program ONLY if a mentor agrees to work with them. In other words, a student's acceptance into the program is a significant commitment of time and resources by the mentor and is a career-altering decision by the student. Both parties must communicate clearly and listen carefully to each other.

Occasionally students are confronted with the position of wanting to change mentors. If a student determines that she or he is struggling with working with a specific mentor because of a personality conflict and/or if they find that they have a change in research focus that their current mentor cannot support, then the first thing to do is TALK with your mentor, the POP Program Director, or one of the POP Executive Committee members about this right away. Often these issues can be relieved by simply opening a clear line of communication and/or by developing a co-mentoring relationship with other faculty. The POP ECC will also support measures to mediate the situation.

If it is decided that you still want to petition the Executive Board to change mentors, then the following procedures should be followed:

- Students must document in their petition, a timeline of the steps that they have taken to relieve the conflict. Please identify who you spoke with, when, and what has been tried thus far to relieve the conflict.
- Identify in your petition what the issues are and why you are requesting the change.
- Describe what possible solutions or remedies of the situation that you are recommending (i.e., a change in focus area, TA/RA position, or a change in mentor).

Once submitted, The POP ECC will review the petition and will ask the mentor and/or student to come to the meeting to describe his/her perspective of the situation. The POP ECC will discuss whether a change in mentorship is the best solution for both parties. The POP ECC will decide whether it will recommend that the student identify another mentor within the program with overlapping interests and one who is willing to work with them. Be aware, that it is not always possible to find an alternative approved mentor with the expertise and availability needed in the program. If an appropriate alternative mentor is not available, then the student may need to withdraw from the program and find a program that is better suited to their needs. Change in mentors will likely have funding implications. If the student is funded by the POP Program or a research grant, then funding must also be available for an approved change in mentors.

## Resources

**Writing Center for Graduate Students:** ASU has in-person [writing tutoring](#) specifically serve students enrolled in **500, 600 and 700 level classes**. These centers offer appointment-based writing assistance for graduate students as well as space to read, write, and discuss their graduate research and writing projects. Students are encouraged to meet with a graduate writing consultant to receive feedback on their writing projects at any stage in their writing process.

**Accommodations for Disabilities:** The Americans with Disabilities Act (ADA) is a federal antidiscrimination statute that provides comprehensive civil rights protection for persons with disabilities. One element of this legislation requires that all qualified students [with documented disabilities](#) be guaranteed a learning environment that provides for reasonable accommodation of their disabilities. If you believe you require an accommodation, please contact the Student Accessibility and Inclusive Learning Services office by calling (480) 965-1234 or emailing [student.accessibility@asu.edu](mailto:student.accessibility@asu.edu).

**Counseling services:** Each campus counseling center provides confidential individual assessment and counseling, psycho-educational programming, and consultation services. Counseling staff have training and experience in issues facing university students and are committed to helping them adjust to campus life and meet their academic goals. For the Downtown campus, call 480-965-6146 for appointment availability. More information can be found [here](#).

**Wellness center:** As population health students, self-care is also needed. We encourage our students to “walk the talk.” ASU has wellness services for all students. More information is available in the links below:

[Graduate Wellness Resources](#)  
[10 Best Practices in Graduate Student Wellbeing](#)

### Research Funding and Awards

In addition to graduate fellowships and grants at ASU, there are thousands of national, state and private organization resources to search, including awards for teachers, those seeking a career in STEM (science, technology, engineering and mathematics) fields, military and their family members, minorities and women who are underrepresented in their fields, and many more. Please visit this [site](#) for more information.

#### ASU Graduate Fellowships and Awards

<a href="#">Completion Fellowships</a> <a href="#">Doctoral Enrichment Fellowships</a> <a href="#">Herman E. Demund Memorial Fellowship</a> <a href="#">Dissertation Fellowships</a> <a href="#">Graduate College Fellowships</a> <a href="#">Earl A. and Lenore H. Tripke Fellowship</a> <a href="#">Lattie and Elva Coor Graduate Fellowship</a>	<a href="#">Achievement Rewards for College Scientists (ARCS)</a> <a href="#">Martha E. Bernal Memorial Award</a> <a href="#">Travel Awards</a>
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#### [GPSA Graduate Research Support Program.](#)

- GPSA supports individual research up to \$2,000 per year
- [JumpStart Research Grant](#), with awards up to \$500 to get your projects off the ground.
- [Athletics Grants](#), awards of \$1500 and \$3500 are available.

#### College of Health Solutions Awards.

- **CHS Graduate Student Travel Grant.** This grant provides up to \$700 to support PhD students in presenting research.

**POP Program Handbook Appendices**  
**Appendix A - PLAN OF STUDY EXAMPLE**

<b>Prerequisites: Required Prior to Admission into Program</b>				
✓	<b>Course</b>		✓	<b>Course</b>
	Graduate Level Epidemiology			Graduate Level Research Statistics
<b>Required Research and Core (24 Credit Hrs)</b>				
✓	<b>Sem</b>	<b>Yr</b>	<b>Required Research and Core Courses (24 Credit Hrs)</b>	<b>Credits</b>
	Fall*	1 <sup>st</sup>	BMI 515: Applied Biostatistics in Medicine and Informatics	3
	Spring*	1 <sup>st</sup>	EXW 645: Advanced Applied Methods and Analysis	3
	Fall*	1 <sup>st</sup>	EXW 700: Advanced Research Methods	3
	Fall	1 <sup>st</sup>	NUR 608 Qualitative Research Design and Methods	3
	Spring	1 <sup>st</sup>	EXW 701: Grant Writing	3
	Spring	1 <sup>st</sup> or 2 <sup>nd</sup>	NTR 533: Ethics and Policy of American Diets	3
	Spring	1 <sup>st</sup> or 2 <sup>nd</sup>	POP 605: Population Health Systems Science and Theory	3
	Fall/Spring	1 <sup>st</sup> or 2 <sup>nd</sup>	POP 780 Population Health Practicum	3
<b>Total Credits</b>				<b>24</b>
<b>Seminar (3 Credit Hrs)</b>				
✓	<b>Sem</b>	<b>Yr</b>		<b>Credits</b>
	Spring	1 <sup>st</sup>	POP 591 Seminar: Evaluating the Population Health Literature	1
	Spring	2 <sup>nd</sup>	POP 591 Seminar: Evaluating the Population Health Literature	1
	Fall	3 <sup>rd</sup>	POP 591 Seminar: Evaluating the Population Health Literature	1
<b>Total Credits</b>				<b>3</b>
<b>Focus Area Courses (9 Credit Hours)</b>				
✓	Choose 5 courses in one of the focus areas below. No more than 3 credit hours may be taken as Independent study without approval. No more than 12 credit hours may be taken outside POP without approval.			<b>Credits</b>
	Health Equity			15
	Complex Adaptive Systems			15
	Urban Environments for Health			15
<b>Total Credits</b>				<b>15</b>
<b>Dissertation (12 Credit Hours)</b>				
✓	<b>Sem</b>	<b>Yr</b>	<b>Yr</b>	<b>Credits</b>
	Fall/Spg	4 <sup>th</sup>	POP 799: Dissertation	12
<b>Total Credits</b>				<b>12</b>

**Appendix B - POP PLAN OF STUDY**

**4-YEAR EXAMPLE BY SEMESTER**

<b>FALL YEAR 1 (9 Credits)</b>		<b>SPRING YEAR 1 (10 Credits) = 19 Total</b>		<b>SUMMER yr1</b>
BMI 515	(3 cr)	EXW 645	(3 cr)	<i>Progressive Exam: Stats &amp; Research Methods</i>
EXW 700	(3 cr)	EXW 701	(3 cr)	
NUR 608	(3 cr)	POP 605 / NTR 533	(3 cr)	
		POP 591	(1 cr)	
<b>FALL YEAR 2 (9 Credits)</b>		<b>SPRING YEAR 2 (7 Credits) = 35 Total</b>		<b>SUMMER yr2</b>
POP 780	(3 cr)	POP 605 / NTR 533	(3 cr)	<i>Work on Written Comprehensive Exam Oral Defense</i>
POP Track Course 1	(3 cr)	POP Track Course 3	(3 cr)	
POP Track Course 2	(3 cr)	POP 591	(1 cr)	
<b>FALL YEAR 3 (7 Credits)</b>		<b>SPRING YEAR 3 (6 Credits) = 48 Total</b>		<b>SUMMER yr3</b>
POP Track Course 4	(3 cr)	POP 799	(6 cr)	<i>Dissertation Proposal Defense</i>
POP Track Course 5	(3 cr)			
POP 591	(1 cr)			
<b>FALL YEAR 4 (6 Credits) = 54 Total</b>		<b>SPRING YEAR 4</b>		
POP 799	(6 cr)			<i>Dissertation Defense (Fall Y4)</i>

**Appendix C - POP PhD Program: Checklist for Completing Degree**

Ongoing Checklists (until candidacy) Steps and Deadlines	Check when complete
<p>1. Register for courses promptly each term</p> <p>Some courses, or sections of a course, fill up quickly so you are encouraged to register when your name appears in the registration queue. You must be registered by the first day of each term; if not, you will be “inactive” and will have to complete a form (and likely pay a late registration fee) in order to be re-admitted.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• While most coursework should be completed before the Comprehensive Oral Exam, students are permitted to take coursework after the Comprehensive Oral Exam.</li> <li>• Dissertation credits cannot be taken prior to passing the Comprehensive Oral Exam and the Dissertation Proposal Oral Exam.</li> <li>• In any given term, if you don't register for at least 6 credits (to maintain full-time status), and you need 6 credits for your research/teaching assistantship or other financial loan reasons.</li> </ul>	<input type="checkbox"/>
<p>2. Complete an annual scholarship contract with your mentor</p> <p>All doctoral students must have their academic progress reviewed annually. All PhD students who have not been advanced to candidacy, are to develop a contract with their Mentor regarding their scholarly and service goals to be accomplished each year they are enrolled at ASU. This agreement/contract is to be signed by the student and Mentor.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• These contracts should be filed no later than October 15th. Send all contracts to the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>).</li> <li>• A template is included in the POP student handbook. Examples are available upon request.</li> </ul>	<input type="checkbox"/>
<p>3. Complete mid-term review with POP Program Director</p> <p>All 1st and 2nd year PhD students and selected others will be asked to meet with the POP Program Director every fall semester to discuss issues that concern the student, to determine if the student is on track and whether the program is meeting the student's needs. Students should work directly with the Director to determine an acceptable time and location to meet.</p>	<input type="checkbox"/>  <input type="checkbox"/>
<p>4. Complete annual review</p> <p>Until you pass to candidacy (after your dissertation proposal), you will be required to hold an annual review each Spring semester with your Supervisory Committee (4 members, 3 of which need to be POP PhD Mentors). An POP Executive Committee faculty member also needs to attend the meeting. Your annual review will review your progress towards accomplishing your annual contract, your course grades, and other accomplishments and challenges in the program. At least <b>10 business days</b> before the meeting, send your committee members a BRIEF summary, addressing the above points in a single PDF. Send a copy of the summary to the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>).</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• The annual review needs to be completed by the first Friday in May, so start planning in late March/early April.</li> <li>• Send <a href="mailto:chsreception@asu.edu">chsreception@asu.edu</a> a room request which includes the date/time/number of attendees at least <b>10 business days</b> in advance, and they will schedule the room. Once the student has this information, the student is required to send an email to the attendees with the meeting information and cc <a href="mailto:CHSgrad@asu.edu">CHSgrad@asu.edu</a>.</li> </ul>	<input type="checkbox"/>

**POP Milestones to Graduation**

Steps and Deadlines	Check when complete
<p>1. Progressive Exam</p> <p>The aim of the Progressive Exam is to assess if students can apply their knowledge to real research design problems and statistical analysis. There will be less emphasis on memorization and computation and more emphasis on design logic, application, and interpretation. After you successfully pass all parts of the Progressive Exam, the Program Director will submit a <b>Progressive Exam Report</b>, confirming you have passed. You also receive an email confirming you have passed this milestone.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• Students cannot sit for the Progressive Exam unless you have earned a B or higher in EXW 700, BMI 515, EXW 645. The content of the exams will be distinct from the final exam for these various courses.</li> <li>• The Progressive Exam is offered in May of each year.</li> </ul>	<div style="text-align: center;"> <input data-bbox="1377 384 1425 447" type="checkbox"/> </div>
<p>2. Submit your iPOS</p> <p>Fill out and complete your Plan of Study. Directions on how to submit your iPOS are available at this <a href="#">web page</a>. Meet with your mentor to review your iPOS before posting online and submit a copy to the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>)</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• Your iPOS should be completed by your 3<sup>rd</sup> semester in the program.</li> <li>• It can be updated, but each change will require approval from the POP Program Director and the Graduate College. Plan ahead.</li> <li>• iPOS must be completed and approved before comprehensive exams can be taken.</li> <li>• Students may not include on their iPOS any credit hours that have been applied towards a previously awarded degree.</li> <li>• A maximum of 12 credits can be transferred into the iPOS from ASU or another institution.</li> <li>• While you may have additional courses that are listed on your transcript and not included on your iPOS, the courses in the iPOS must match those listed on your transcript.</li> </ul>	<div style="text-align: center;"> <input data-bbox="1377 930 1425 993" type="checkbox"/> </div>
<p>3. Assign members to your Comprehensive Exam committee</p> <p>This committee serves on the student's written and oral comprehensive exams. Students must verify the members of the Comprehensive Exam committee in their iPOS. Any changes to the Comprehensive Exam committee from the Supervisory Committee must be approved by the POP Program Director and the Graduate College.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• Students tend to have the same members of their Supervisory Committee on their Comprehensive Exam committee, but this is not required.</li> <li>• It is recommended that your Comprehensive Exam committee is made up the same members as your Dissertation Committee.</li> <li>• You cannot sit for the Comprehensive Exam until your committee members are approved by the POP Program Director and the Graduate College. Plan ahead.</li> <li>• At least 5 members (3 of which are POP faculty mentors) are required on this committee.</li> <li>• If a committee member is not an POP Faculty mentor, students must work with the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>) to have them reviewed and approved by the POP ECC and the Graduate College.</li> </ul>	<div style="text-align: center;"> <input data-bbox="1385 1497 1433 1560" type="checkbox"/> </div>



<p>4. Comprehensive Exam</p> <p>Upon completion of most course work (six or less credit hours remaining in iPOS excluding dissertation hours), and prior to proposing or commencing dissertation research, students are to meet with their Mentor and their Supervisory Committee members to discuss preparing for their comprehensive exams. The structure and content of the comprehensive exams includes three components with distinct time guidelines (see POP PhD Student Handbook): 1) Critique a manuscript, 2) Prepare a novel grant proposal and 3) Oral Exam.</p> <p>The chair solicits signatures from the committee on the <a href="#">Report of the Comprehensive Exam Pass/Fail Form</a> and submits the form to the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>). The student or his/her chair is responsible for submitting the form to the Graduate Support Coordinator. Please remember, the student must pass both the written and oral components of the Comprehensive Exam to pass.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• <b>Students should complete the comprehensive exams within two years of passing the progressive exam.</b></li> <li>• Make sure your Comprehensive Exam Committee has been approved before you sit for the exam.</li> <li>• All students must be registered for a minimum of one credit hour (including summer) the semester that they plan on defending comprehensive examinations.</li> <li>• After your oral exam, the Chair of the Committee should submit the form to the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>).</li> </ul>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>• Assign/update members to your Dissertation committee</li> </ul> <p>The Dissertation Committee must have five (5) members and contain a minimum of three approved Mentors in the POP program.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• Students cannot sit for the Dissertation Proposal until the committee is approved by the POP Program Director and the Graduate College. Plan ahead.</li> <li>• If a committee member is not an POP Faculty mentor, students must work with the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>) to have them reviewed and approved by the POP ECC and the Graduate College.</li> </ul>	<input type="checkbox"/>
<p>5. Dissertation Proposal Oral Exam</p> <p>The student must provide a formal dissertation prospectus to the Dissertation Committee at least <b>10 business days prior</b> to the defense. The student's primary mentor must approve the written proposal prior to submitting it to the committee. The prospectus must be formatted correctly. The final structure of the proposal is determined by the committee but at minimum it must include: a formal title page, introduction with a statement of purpose/ question/ specific aims and hypotheses, a complete review of the related literature, and must describe in detail the methods to be used including descriptions of subjects, instruments, statistics, and other procedures. A copy of any relevant IRB forms should be included with the proposal. The student will not be able to begin data collection until all approvals of the proposal have been completed and after all IRB approvals are done. Within 10 business days of the proposal defense, please send an abstract and date of the event to <a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>. A room will be scheduled, Zoom meeting, and announce the event to POP faculty and students. The Chair solicits signatures from the committee on the <a href="#">Report of the Proposal Defense Pass /Fail form</a> and submits the form to the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>). The Graduate Support Coordinator will report the results of the proposal defense to the Graduate College.</p>	<input type="checkbox"/>

<p>Tips:</p> <ul style="list-style-type: none"> <li>• The dissertation proposal defense may not be scheduled until the student has passed the comprehensive exams.</li> <li>• Make sure your Dissertation Committee has been approved before you sit for the exam.</li> <li>• All students must be registered for a minimum of one credit hour (including summer) the semester that they plan on defending their dissertation proposal.</li> </ul>	
<p>6. Final steps to graduate: Apply for graduation</p> <p>Prior to defending your dissertation, you must apply for graduation through the “Graduation” tab on your My ASU. At this point, you need to audit your iPOS to determine if any changes need to be made. You should also submit documents for format review, and schedule the Oral Defense. You must submit a Survey of Earned Doctorates form.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• You have an approved iPOS (no pending changes or petitions)</li> <li>• You have met all minimum 3.0 GPA requirements (Cumulative, iPOS, and Graduate)</li> <li>• You have an approved full committee on the iPOS (no pending changes)</li> <li>• You have satisfied all milestone requirements above (for example, written comprehensive examination)</li> <li>• You have reached candidacy</li> <li>• You are an active student and currently enrolled. Confirm that your defense date occurs in the last semester that you are enrolled. Failure to do so, may delay graduate and you may incur additional fees.</li> </ul>	<input type="checkbox"/>
<p>7. Final steps to graduate: Scheduling your Dissertation Defense</p> <p>Schedule three hours for your Final Oral: the Final Oral Exam includes a one-hour public presentation and then a two-hour meeting with your committee. Your committee must have at least two weeks’ notice that your dissertation will be given to them by a specific date. It is also required that all committee members have at least two weeks to read your dissertation before the exam date. In other words, a month before the exam, the committee has to know the exam date and that they are getting the final draft in two weeks.</p> <p>Submit your Final Oral Exam date electronically to the Graduate College within 10 days of your defense. This ensures the Graduate College will send the pass/fail form via DocuSign to your committee.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• At least 50% of your committee must be physically present at the defense. Your chair must be physically present at the defense.</li> <li>• Please pay careful attention to the graduate college deadlines. If you do not defend your dissertation by the Graduate College’s semester deadline, you are responsible for any tuition and fees incurred in the subsequent semester.</li> <li>• Once you have a date, email <a href="mailto:chsreception@asu.edu">chsreception@asu.edu</a> to schedule a room large enough for a public defense.</li> </ul>	<input type="checkbox"/>
<p>8. Final steps to graduate: Public announcement</p> <p>The one-hour presentation must be announced to all POP doctoral faculty and doctoral students. At least two weeks prior to your final oral exam, please send the following information to the Graduate Support Coordinator (<a href="mailto:CHSGrad@asu.edu">CHSGrad@asu.edu</a>) for the announcement: how you want your name and</p>	<input type="checkbox"/>

<p>previous graduate-level degree listed, the day, date and time of the one-hour presentation, building and room location; title of the thesis/talk and an announcement abstract no more than 300 words.</p>	
<p>9. Final steps to graduate: Submitting your Dissertation</p> <p>Once the defense has been scheduled, the student must upload his or her complete, defense-ready document for format review to the Graduate College 10 calendar days prior to the defense, through the student's iPOS. Once the defense has been scheduled, the student must upload his or her complete, defense-ready document for format review to the Graduate College <u>10 calendar days</u> prior to the defense.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• Students must be enrolled in at least (1) credit hour during the semester they plan to defend their thesis/dissertation and while working on format revisions.</li> <li>• Documents should only be submitted after consultation with your committee/chair and must be a complete, defense-ready document (i.e. meets standards set by <a href="#">ASU Graduate College Format Manual</a>, complete content).</li> <li>• For questions regarding documents that require special format, please email <a href="mailto:gradformat@asu.edu">gradformat@asu.edu</a>.</li> </ul>	<input data-bbox="1377 407 1425 470" type="checkbox"/>
<p>10. Final steps to graduate: PhD Degree Completion</p> <p>On the day of your defense, the Pass/Fail form will have already been sent to your committee chair from the Graduate College for your committee to sign.</p> <p>Once the defense is over, most students have some revisions to complete. Begin working on these soon after your defense. The student is to make any final corrections to the dissertation as recommended by the committee and mentor and then the final version of their document (that has been approved by the mentor and supervisory committee) is evaluated by a format reviewer in the Graduate College.</p> <p>Students will receive an email from the Graduate College format advisor notifying you that your document is ready for electronic submission through UMI/ProQuest. Read the email carefully as you may receive instructions before final submission to UMI/ProQuest. You must have received format approval from the Graduate College and submitted your Pass/Fail form to the Graduate College in order to be eligible to complete the final step of submitting to UMI/ProQuest.</p> <p>Tips:</p> <ul style="list-style-type: none"> <li>• To avoid jeopardizing your graduation, be sure to submit your final revisions by the posted semester deadline (graduation deadlines). If the deadline is not met, the student will be required to register (and pay) for one (1) graduate-level credit hour the following semester to be able to graduate.</li> <li>• Work with the POP Program Director to confirm that your final dissertation credits have been entered.</li> <li>• A student will not receive a letter of degree completion until all final grades are entered.</li> </ul>	<input data-bbox="1377 1062 1425 1125" type="checkbox"/>

**Appendix D - Example of Annual Scholarship and Service Contract**

Academic Year: \_\_\_\_\_

Student Name: \_\_\_\_\_ Date: \_\_\_\_\_

Mentor Name \_\_\_\_\_

**Scholarly Goals**

(Be very specific in terms of dates/ conference names/ locations/ abstract names/ journal titles and locations etc.)

- 1) To learn and acquire skill in .....
  - a. Demonstrate proficiency in ...
    - i. To illustrate this skill...
  - b. Demonstrate proficiency in ...
    - ii. To illustrate this skill...
- 2) Assist with ...
  - a. Demonstrate competence in....
  - b. Gain an understanding of...
- 3) Write and submit \_\_\_\_ manuscript and submit to \_\_\_\_\_
- 4) To attend at least two (2) professional conferences (list specifics) \_\_\_\_ and \_\_\_\_.
- 5) To submit one (1) abstract to \_\_\_\_\_ academic conference. (give specifics).

**Service Goals:**

- 1) Volunteer reviewer for GPSA grants.
- 2) To participate in the Graduate Club including ....
- 3) Participation in other college, university, or professional service activities.

\_\_\_\_\_  
Student Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Mentor Signature

\_\_\_\_\_  
Date

## Appendix E - Annual Review Portfolio Requirements

Please organize the following documents into one pdf file in the following order 1-9. Submit to the Graduate Support Coordinator ([CHSGrad@asu.edu](mailto:CHSGrad@asu.edu)).

1. A signed copy of the Annual Review Cover Page Form
2. A copy of the signed Annual Scholarly and Service Contract
3. Provide a statement/ short paragraph addressing each of the following (please limit to 2 pages total):
  - Status of the Plan of Study (iPOS)
  - Status of coursework performance and GPA
  - Status of goals in annual contract
  - Status of current proposed research and/or evidence of progress toward the dissertation
  - Any awards or grants received (be specific).
4. Provide the following:
  - An updated copy of student's curriculum vitae
  - A current copy of the student's transcript
  - A copy of the iPOS

**Appendix F - Annual Review Cover Page Form**

(please complete each Spring semester until Candidacy)

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Focus Area: \_\_\_\_\_ E-mail Address: \_\_\_\_\_

**Supervisory Committee (5)**

**Comprehensive Exam/Dissertation Committee (5)**

Chair: \_\_\_\_\_

Chair: \_\_\_\_\_

Member: \_\_\_\_\_

Member: \_\_\_\_\_

Member: \_\_\_\_\_

Member: \_\_\_\_\_

Member: \_\_\_\_\_

Member: \_\_\_\_\_

Member: \_\_\_\_\_

Member: \_\_\_\_\_

**Program Course Requirements and Milestones**

Date of Entry into the POP Program: \_\_\_\_\_ Date iPOS filed: \_\_\_\_\_ Current iPOS status: \_\_\_\_\_

Research Project(s) during the 1<sup>st</sup> year: \_\_\_\_\_

Research Project(s) during the 2<sup>nd</sup> year \_\_\_\_\_

Research Project(s) during the 3<sup>rd</sup> year \_\_\_\_\_

List the course prefix & course #, semester/year completed (e.g., EXW 700 Fall'21)

Required and Research Core: (24-credits including practicum):

Track (15-credits)

PhD Seminar (3)

List the date program milestone completed/passed

Progressive Exam:

Comprehensive Written Exam:

Comprehensive Oral Defense:

Dissertation Proposal Defense:

Anticipated Graduation:

*Candidacy is defined as comprehensive examinations passed, dissertation proposal formally approved, and formal notification from the Graduate Education Program of PhD candidacy. Twelve (12) credit hours of dissertation (799) must be taken **after** formal admission to candidacy.*

**Mentor's Comments/Review Regarding Student Performance and Status of Annual Scholarly and Service Contract:** Please provide a brief review and statement concerning coursework performance; professional accomplishments and status research projects; and service accomplishments.

Mentor Signature:

**Appendix G - EVALUATION OF TEACHING / RESEARCH ASSISTANTS/ ASSOCIATES**

Name: \_\_\_\_\_ TA/RA \_\_\_\_\_ Faculty Supervisor(s)  
 \_\_\_\_\_

Semester/ Year \_\_\_\_\_ Evaluation Date: \_\_\_\_\_

(After completing and signing this form, faculty should provide a copy to the TA/RA at the time of the evaluation. Additional pages may be attached as needed.)

**EVALUATION:**

Indicate performance by entering one of the following ratings and providing comments as relevant.

**1=Unacceptable 2=Needs improvement 3=Adequate 4=Very Good 5=Excellent**

**NA=Not applicable**

General	Rating	Comments
On-time attendance		
Meets deadlines		
Organization		
Initiative		
Appropriate appearance		
Communication with supervisor		
Knowledge and skills		
Maintained at least 3.0 GPA		Grade point average is: _____
Maintained at least 6 credit hours		
<b>TA</b>		
Preparation for class		
Accuracy of information provided		
Timely delivery of class materials		
Quality of explanations		
Following directions		
Work quality and efficiency		
Cooperative ability with other TAs		
Respectful treatment of students		
Professional behavior & interactions		
Other:		
<b>RA</b>		
Literature searches		
Manuscripts/writing		
Study-design tasks		
Interaction with study participants		
Laboratory skills		
Data organization/analysis		

Attention to protocol detail		
Timely delivery of required material		
Professional behavior & interactions		
Other:		
<b>Overall performance</b>		

Additional Comments:

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Problems identified (if applicable):

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Follow-up actions to be taken (if applicable):

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\_\_\_\_\_  
**Faculty Signature**

\_\_\_\_\_  
 Date

\_\_\_\_\_  
**TA/RA Signature**

\_\_\_\_\_  
 Date

**Fall evaluation:** *Completed Faculty Evaluation Form to TA/RA*

DATE: \_\_\_\_\_

**Spring evaluation:** *Completed Faculty Evaluation Form to TA/RA*

DATE: \_\_\_\_\_

Copy of evaluation is to be forwarded to student's advisor and the Program Director of the POP Program and Graduate Coordinator for placement in the student's official file



## Appendix H - POP Comprehensive Exam

### Manuscript Review

Please review the manuscript selected by your mentor and your committee and write a critique as if you were providing comments to the authors and/or the editor by answering the following questions. If with your assessment you determine that the work is publishable, include constructive suggestions on how to improve the manuscript (design, analysis, data presentation, highlighting of strengths and limitations, appropriateness of conclusions, etc.). If you would reject the manuscript, justify your comments with constructive feedback regarding the flaws of the study design, analysis or manuscript content.

1. Comment on the appropriateness and sufficiency of the rationale/review of the literature
2. Provide a substantive critique of the strengths and/or weakness of the study design, adequacy of the sample and sampling approach, measurement and analysis techniques used.
3. Comment on how results are presented, in the narrative and in tables and figures.
4. Provide a substantive critique the discussion and conclusion.
5. Comment on the overall impact of the work in relationship to current state of the science.
6. Clearly indicate if you would i) accept the manuscript in its current form, ii) suggest the authors make minor revisions, iii) suggest the authors make major revisions, or iv) reject the manuscript.
7. Based on the guidelines to authors from the journal, are there any additional feedback that you would provide to the authors?

### Grading Rubric

Questions	Scale	Maximum Points
Q1	0-4 (unsatisfactory – exceptional)	4
Q2	0-8 (unsatisfactory – exceptional)	8
Q3-Q5	0-4 (unsatisfactory – exceptional)	12
Q6-Q7	0-1	2
Constructive, clear, understandable criticism, respectful tone	0-2	2
Writing	0-2	2
Total		30

**POP Comprehensive Exam Grant Reviewers Guidelines**

Grant is to be 6 pages plus a Significant Aims page, and not including references. (It may contain appendix if justified). The grant is not expected to have a budget.

The NIH scoring system was designed to encourage reliable scoring of applications. The NIH grant application scoring system uses a 9-point scale for both overall impact scores and scores for individual review criteria. NIH expects that scores of 1 or 9 to be used less frequently than the other scores; 5 is considered an average score. Reviewers who assign high ratings to all applications diminish their ability to communicate the scientific impact of an individual application. Therefore, reviewers who carefully consider the rating guidance below can improve the reliability of their scores as well as their ability to communicate the scientific impact of the applications reviewed. We encourage reviewers to anchor their responses on the score of 5 and provide adjustments based on the student's performance on each criterion. Reviewers will provide 4 scores: 1) Significance; 2) Innovation; 3) Approach; and 4) Overall Impact.

**Summary**

- The NIH grant application scoring system uses a 9-point scale
- Rating should be in whole numbers only (no decimal ratings).
- Scores of 1 or 9 to be used less frequently than the other scores.
- 5 is considered an average (anchor) score.

**Scoring Guide**

Overall Impact or Criterion Strength	Score	Descriptor
High	1	Exceptional
	2	Outstanding
	3	Excellent
Medium	4	Very Good
	5	Good
	6	Satisfactory
Low	7	Fair
	8	Marginal
	9	Poor

Criterion Scoring

- Criterion scores are intended to convey how each assigned reviewer weighed the strengths and weaknesses of each section
- Providing scores without providing comments in the review critique is discouraged
- Each review criterion should be assessed based on the strength of that criterion in the context of the work being proposed
- Reviewers should consider the strengths and weaknesses within each criterion. For example, a major strength may outweigh many minor and correctable weaknesses.
- As a result, a reviewer may give only moderate scores to some of the review criteria but still give a high overall impact score because the one review criterion critically important to the research is rated highly; or a reviewer could give mostly high criterion ratings but rate the overall impact score lower because the one criterion critically important to the research being proposed is not highly rated.

Overall Impact Score

- The impact score for the application is not intended to be an average of criterion scores.
- The impact score for an application is based on each individual reviewer's assessment of the scored criteria
- Reviewers are guided to use the full range of the rating scale and spread their scores to better discriminate

among applications

- Reviewers whose evaluations or opinions of an application fall outside the range of those presented by the assigned reviewers and discussant(s) should ensure that their opinions are brought to the attention of the entire committee
- Overall impact, for a research project, is the project's likelihood to have a sustained, powerful influence on the research field(s) involved, but may be defined differently for different types of applications.
- An application does not need to be strong in all categories to be judged likely to have major impact, e.g., a project that by its nature is not innovative may be essential to advance a field

The mentor will summarize the scores and provide the student with the reviewer's comments. The Student will prepare a presentation for the comprehensive oral defense that will address the weaknesses identified by the reviewers.

### OVERALL IMPACT

Reviewers will provide an overall impact score to reflect their assessment of the likelihood for the project to exert a sustained, powerful influence on the research field(s) involved, in consideration of the following three scored review criteria, and additional review criteria. An application does not need to be strong in all categories to be judged likely to have major scientific impact. *Like in the NIH scoring process, please use the score of 5 as an anchor (starting place) for your scoring.*

Overall Impact <i>Write a paragraph summarizing the factors that informed your Overall Impact score.</i>
Score - Select a score

### SCORED REVIEW CRITERIA

Reviewers will consider each of the three review criteria below in the determination of scientific and technical merit, and give a separate score for each.

1. <u>Significance</u> Score – Select a score
<b>Strengths</b> •
<b>Weaknesses</b> •

2. <u>Innovation</u> Score – Select a score
<b>Strengths</b> •
<b>Weaknesses</b> •

3. <u>Approach</u> Score – Select a score
<b>Strengths</b> •
<b>Weaknesses</b> •

The Plan of Study must be approved by the Graduate College before a student is eligible to take the doctoral comprehensive examinations. The completed report should be submitted immediately to the academic unit.

Instructions:

- Part 1: The student completes Part 1 and submits the form to Committee Chair.
- Part 2: After each examination (written and oral), the examining committee chair completes Part 2.
- Part 3a and b: The examining committee completes Part 3a for the written exam and Part 3b for the oral exam by signing the form and indicating their votes of Passed, Conditional Pass, or Failed. The student may only progress to the oral exam after successful completion of the written exam.
- Part 4: The Program Director completes Part 4 by signing the form, confirming the majority vote of the examining committee, signifying that the proper procedures have been followed for the examination and the results of the examination will be electronically submitted to the Graduate College.

**Part 1: Student Information**

Name of Student (Last, First, Middle)		ASU ID #
Degree Doctor of Philosophy	Major Population Health	

**Part 2: Examination Dates (MM/DD/YYYY)**

Date of <b>Written</b> Comprehensive Examination Test	Date of <b>Oral</b> Comprehensive Examination Taken
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**Part 3A: Written Examination Result**

PLEASE TYPE NAMES OF COMMITTEE	SIGNATURES	PASSED ( <input type="checkbox"/> )	CONDITIONAL PASS ( <input type="checkbox"/> )	FAILED ( <input type="checkbox"/> )	REVISIONS APPROVED ( <input type="checkbox"/> )
Chair		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please describe recommended revisions (if any) and the due date for revisions. Attach additional documentation as needed.					
Date of revisions approval:					

**Part 3b: Oral Examination Result**

PLEASE TYPE NAMES OF COMMITTEE	SIGNATURES	PASSED ( <input type="checkbox"/> )	RE-TEST ( <input type="checkbox"/> )	FAILED ( <input type="checkbox"/> )
Chair		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Member				

**Part 4: FINAL RESULT**

PASSED	FAILED	SIGNATURE, Program Director	DATE
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All comprehensive examination results, including failure in any one of the required examinations, must be reported to the Graduate College. Failure in the comprehensive examinations is final unless the student petitions for a re-examination, the supervisory committee, and the head of the academic unit recommend, and the Vice Provost for Graduate College approves the re-examination.

The student must successfully complete the doctoral comprehensive examinations and the results must have been electronically submitted to the Graduate College before the submission of the dissertation proposal/prospectus results. The student will be advanced to candidacy after successful completion of the dissertation proposal/prospectus.

**Instructions:**

- Part 1: The student completes Part 1.
- Part 2: The dissertation committee chair should write in the date (MM/DD/YY) of the proposal/prospectus defense and indicate whether the student's proposal has been approved to submit to the student's committee.
- Part 3: The dissertation committee completes Part 3 by signing the form and indicating their votes of Passed, Passed with Revisions, or Failed.
- Part 4: The Program Director of POP completes Part 4 by signing the form, confirming the majority vote of the committee, and signifying that the proper procedures have been followed for the proposal/prospectus defense.

**Submission: The complete report should be submitted immediately to the Graduate Support Coordinator at CHSGrad@asu.edu.**

**Part 1: Student Information**

Name of Student (Last, First, Middle)		ASU ID #
Degree Doctor of Philosophy	Major Population Health	

Mentor approval to submit the written proposal to student's committee (signature/date):

**Part 2: Proposal/Prospectus Defense Date (MM/DD/YYYY)**

Date Taken
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**Part 3 Proposal/Prospectus Information**

PLEASE TYPE NAMES OF COMMITTEE	SIGNATURES	PASSED ( <input type="checkbox"/> )	PASSED WITH REVISIONS ( <input type="checkbox"/> )	FAILED ( <input type="checkbox"/> )
Chair		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Member		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Please describe recommended revisions (if any) and the due date for revisions. Attach additional documentation as needed.				
Date of revisions approval:				

Graduate Dissertation Committee: If the Committee, as listed above, is different than the committee listed on the approved Program of Study, the student should submit a Graduate Committee Change Form to officially change the committee.

**Part 4: FINAL RESULT**

PASSED <input type="checkbox"/>	FAILED <input type="checkbox"/>	SIGNATURE, PROGRAM DIRECTOR	DATE
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All results, including failure of the dissertation proposal/prospectus, must be reported to the Graduate College. Failure of the proposal/prospectus is final unless the supervisory committee and the head of the academic unit recommend, and the Vice Provost for Graduate Education approves a second proposal/prospectus defense.



Appendix K - POP Doctoral Dissertation Proposal and Doctoral Defense Public Announcement Form



**Arizona State University**

Submit to the Graduate Coordinator ([CHSGrad@asu.edu](mailto:CHSGrad@asu.edu)) no fewer than 10 business days prior to the approved schedule defense.

Student name:

Mentor name:

Committee members:

Title of Dissertation:

Date, time and location of Dissertation Defense:

Abstract: