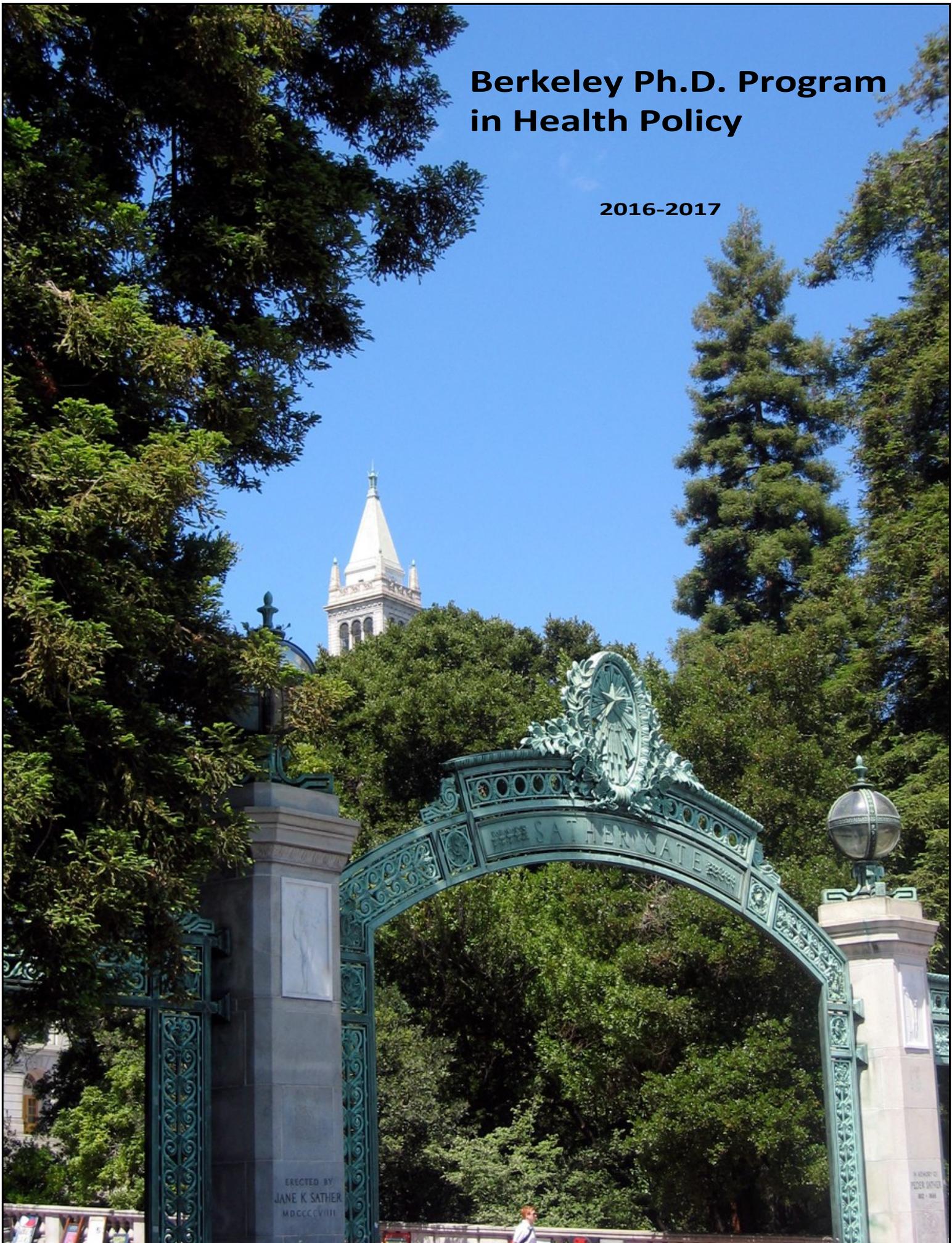


# Berkeley Ph.D. Program in Health Policy

2016-2017



# **Berkeley Ph.D. Program in Health Policy**

## **2016-17 Student Handbook**



UNIVERSITY OF CALIFORNIA BERKELEY

SCHOOL OF PUBLIC HEALTH

August 1, 2016

Dear incoming Ph.D. students,

Welcome to the Ph.D. Program in Health Policy at the University of California at Berkeley!

We are pleased that you have decided to pursue your graduate studies here and look forward to interacting with you both in the classroom and through the many field study and extracurricular activities that await you.

The Ph.D. program has highly dedicated and experienced faculty, and we encourage you to get to know us so that you fully benefit from your time at Berkeley. Each of you has been assigned an academic advisor who will help to guide you during your time in the program. You are also encouraged to reach out to consult with any other faculty member, student, or alumnus who you think may have insight.

There are many resources at your disposal, including the School of Public Health (SPH) website, Student Services and Admissions staff, GRADS advisors, and your program handbook. Within the handbook, you will find a wealth of information concerning:

- Ph.D. mission and program competencies
- Core and specialty field curriculum
- Core faculty and affiliated faculty
- Examinations and dissertation milestones
- Program policies and procedures

We encourage you to read through the program handbook and ask any questions you may have. You will also receive information from our Student Services and Admissions office.

We look forward to getting to know each of you and understanding how we can help you achieve your research aspirations in the field of health policy.

Best regards,



Hector P. Rodriguez, Ph.D., MPH  
Director, Ph.D. Program in Health Policy

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# COMPETENCIES

Label	Competency	Course 1	Course 2	Course 3
<b>Foundational knowledge</b>	Acquire knowledge of the context of health and health care systems, institutions, actors, and environment	PP210A/B Economics of Public Policy Analysis	237A/B Theories and Methods in Health Policy and Health Services Research	
<b>Theoretical knowledge</b>	Apply or develop theoretical and conceptual models relevant to health policy and services research.	PP210A/B Economics of Public Policy Analysis	237A/B Theories and Methods in Health Policy and Health Services Research	
<b>Relevant and important HSR question development</b>	Pose relevant and important research questions, evaluate them, and formulate solutions to health problems, practice, and policy	Research Methods Paper Requirement	237A/B Theories and Methods in Health Policy and Health Services Research	
<b>Conceptual models and operational methods</b>	Use or develop a conceptual model to specify study constructs for a health policy and services research question and develop variables that reliably and validly measure these constructs	Research Methods Paper Requirement	237A/B Theories and Methods in Health Policy and Health Services Research	Dissertation Requirement
<b>Study designs</b>	Describe the strengths and weaknesses of study designs to appropriately address health policy and services research questions	Research Methods Paper Requirement	PH 250B Epidemiology	237A/B Theories and Methods in Health Policy and Health Services Research
<b>Data collection and management methods</b>	Sample and collect primary health and health care data and/or assemble and manage existing data from public and private sources	Research Methods Paper Requirement	Dissertation requirement	
<b>Research conduct management</b>	Execute and document procedures that ensure the reproducibility of the science, the responsible use of resources, and the ethical treatment of research subjects	Required Citi Training on Human Subjects Protection	Dissertation requirement	

<b>Data analysis</b>	Demonstrate proficiency in the appropriate application of analytical techniques to evaluate health policy and services	Research Methods Paper Requirement	Dissertation Requirement	See Research Methods Electives
<b>Professional development</b>	Work collaboratively in teams within disciplines, across disciplines, and/or with stakeholders	PH 299.51 Dissertation Seminar		
<b>Communication</b>	Effectively communicate the process, findings, and implications of health policy and services research through multiple modalities to scientific peers and other stakeholders	PH 299.51 Dissertation Seminar		
<b>Knowledge transfer</b>	Knowledge translation to policy and practice	PH 299.51 Dissertation Seminar		

Graduates of the Ph.D. Program in Health Policy will be able to achieve and demonstrate expertise in the following major academic outcomes:

- Develop domain expertise in core works in health policy and the selected specialty field.
- Understand central social science theoretical frameworks and debates shaping health policy.
- Demonstrate substantive knowledge of specialty field sufficient to design and teach graduate level courses in that field.
- Demonstrate ability to conduct rigorous quantitative research.
- Plan and conduct independent research using advanced research methods.
- Master academic and grant writing, conference presentation, IRB procedures, and ethics in research.
- Foster cohesion and intellectual exchange among students and faculty across the university to enhance interdisciplinary research and training.

# Ph.D. PROGRAM INFORMATION

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## **Mission Statement**

The mission of the Berkeley Ph.D. Program in Health Policy is to prepare students for careers in research, teaching, and public service in university, governmental, and public policy settings. It is expected that through their research, teaching, and provision of expert advice, graduates of the Ph.D. program will play a lead scientific role in addressing the many challenges facing health care and public health systems in the United States and other countries around the world.

## **Program Overview**

Health policy is a scientific field of inquiry that examines the organization and financing of health systems, services delivery, health outcomes, and the management of population health. It involves investigation of all service sectors that affect health, not just the medical care system, and its purview is global. Health policy has been developing for several decades. The Berkeley Ph.D. Program in Health Policy was first established at UC Berkeley in 1988 as “Health Services and Policy Analysis,” and its first Director was Richard Scheffler, Ph.D.

The Ph.D. program is distinguished by its interdisciplinary application of the social and behavioral science disciplines to real world health issues. Students have access to all disciplines and professional schools at UC Berkeley, in addition to faculty and research programs at UC San Francisco. The Ph.D. Program is a full time program geared for careers in academia and research. Students typically complete the degree in 4-5 years. The program is administratively located in the School of Public Health. The Doctor of Philosophy degree is granted by the Graduate Division of the University of California, Berkeley.

Students who graduate with a Ph.D. are well prepared to assume academic careers in research and teaching. Many of our graduates move directly to positions in academia, government, or research organizations, while others get post-doctorate fellowships to continue specific training in their area of interest and research.

## **Academic Residence Requirement**

Ph.D. students must register at Berkeley and complete a minimum of four semesters of academic residence. A full-time graduate student must enroll in 12 or more units; this includes students who hold GSR/GSI appointments and all fellowship and traineeship recipients. A minimum of 60 units is required to complete the program.

## **Prerequisites**

A master’s degree is not a requirement for this program; however, entering students should have completed coursework introductory coursework in **statistics, health economics, and epidemiology**. Students without masters-level coursework in these areas are required to take relevant courses at Berkeley or otherwise demonstrate mastery of these areas.

### **Program Director and Program Office**

Professor Hector Rodriguez serves as the Director of the Berkeley Ph.D. Program in Health Policy. He can be reached at 642-4578 or [hrod@berkeley.edu](mailto:hrod@berkeley.edu). His office is located in Room 245 University Hall.

Though administered by the Graduate Division, the Ph.D. Program is managed by the School of Public Health, and the program office is located in 417P University Hall.

The program manager Marques Redd, Ph.D., can be contacted at [healthpolicy\\_phd@berkeley.edu](mailto:healthpolicy_phd@berkeley.edu).

Ph.D. Program information and resources are online at <http://sph.berkeley.edu/areas-study/health-policy-phd>.

### **Graduate Student Resources in the School of Public Health**

The Ph.D. Student Lounge is located in 585 University Hall. It is currently shared by DrPH and Health Policy PhD students.

Your Cal ID card can be used to enter University Hall after hours and on weekends. Please fill out the required form with your SID and card number. It generally takes a week to be processed. Forms may be obtained from the Program Manager.

# ADMINISTRATION

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## **Director**

The Ph.D. Program Director serves a two-year term according to the program by-laws; consecutive terms may be served.

## **Executive Committee**

The Executive Committee is chaired by the Director and acts as a committee of the whole. There are four elected faculty members (including the Director) chosen from among the Graduate Group members for a three-year revolving term. The committee also includes non-voting student representatives from each of the three Ph.D. specialty fields. This committee has the overall responsibility for the administration of the program and meets at least twice each academic year.

## **Graduate Group Faculty Meetings**

A regular meeting of the Graduate Group faculty is held annually in conjunction with the spring executive committee meeting. This meeting is used to discuss the academic quality of the program, program administration, courses, and program resources. Group faculty members participate in Ph.D. group activities, both social and academic.

## **Admissions Committee**

The Admissions Committee is comprised of at least one core faculty member from each of the specialty fields. Students elect at least two representatives to serve each year. This committee is chaired by the Program Director. The Admissions Committee meets two or three times in quick succession in mid-late January. Recommendations to offer admission are submitted to the Graduate Division, and the formal offer of admission comes from their office.

## **Advisors. Guidance Committee**

Each student has a guidance committee composed of two or more core group faculty members. The first member of this committee is the student's advisor; students are assigned an advisor in their first semester. A second member may be added in the second semester after consultation between the student and advisor. The committee monitors the student's progress through the program, provides input to the student's study plan, and determines the student's readiness to sit for the pre-qualifying specialty field examination. It certifies in writing that the student has completed all the course requirements for the program before the student takes the qualifying (oral) exam.

The advisor provides a written annual assessment of the student's progress through the program and works with students to identify courses that will be pursued in the following academic year. Students are encouraged to meet regularly with their advisors at every stage of their progression through the program.

# COURSE REQUIREMENTS

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## **Prerequisite Courses**

Entering students should have foundational knowledge in health economics, epidemiology, and statistics. Students without prior Master's-level coursework in these areas will need to remedy deficiencies in their first year.

## **Core Courses**

Students must receive a grade of “B” or higher to satisfy course work requirements, including core and specialty field courses.

## **Unit Requirements**

Ph.D. students are required to complete a total of 60 units composed of courses, doctoral seminars, and independent studies. All students, with the exception of students in the Health Economics specialty field, should **aim to complete coursework by the end of the second year.**

**Course descriptions** for most of the courses can be found at the campus online catalog at <http://guide.berkeley.edu/>. Please check the online schedule at <http://schedule.berkeley.edu/> each semester for course availability.

## **Core Classes**

Students must take PH 237A,B Theories and Methods in Health Policy and Health Services Research\*, 5 specialty field courses, 3 research methods courses, and 3 courses in other specialty fields (aside from the student’s designated specialty field)\*\*. Requirements for the interdisciplinary social science requirement are detailed within the course guidance for each specialty field. Students must receive a grade of B or higher to satisfy all course requirements, including core, specialty, and methods courses.

*\*Current students take 4-semesters of the 1<sup>st</sup>/2<sup>nd</sup> year seminar.*

*\*\* Current students are allowed to take core and elective non-specialty field courses from any of the other specialty fields in the Ph.D. program.*

## **Specialty Field**

Each specialty field has two required core and a minimum of three elective courses.

### **Methods Requirement**

Students must submit a paper demonstrating their competency in methods prior to the scheduling of their oral qualifying examinations. Professor Timothy Brown will review and approve the methods paper. Please allow at least 4-6 weeks for review, revision, and approval of this paper. The approval of this paper is required in order to submit the application for the Qualifying Exam to Graduate Division. The Degrees Office then requests at least 4 weeks for processing of this application before the QE date.

### **Ph.D. Seminar**

After passing the specialty field exam, students are required to attend the Dissertation Seminar PH 299 and present their research analyses in the seminar or an equivalent seminar, during each semester until graduation.

### **Health Services Research Colloquium**

The HSR colloquium is designed for Ph.D. students in Health Policy. The seminar meets alternate Tuesdays from 12:40-2:00 pm in 714C University Hall. Students are required to enroll in the colloquium for one unit (S/U) in each of their first four semesters of the program, and upper year students are also expected to attend. In addition, students are strongly encouraged to regularly attend research colloquiums in their specialty field departments. Students can enroll for additional semesters or units, as needed, to fulfill minimum required units for GSR/GSI appointments.

Students will become familiar with the professional practice of presenting current research among peers and of critiquing peer research in a workshop setting. The HSR colloquium will meet roughly every other week during the semester. Speakers will generally be faculty and other local researchers presenting their current health policy-related research. Colloquiums will be open to the public, and vigorous intellectual exchange is encouraged throughout the presentation.

Colloquium papers will sometimes be distributed in advance. Students are expected to read the paper in advance, or if no paper is distributed, to read other relevant background research by the author or other researchers working on the same topic.

Attendance at 6 HSR colloquiums is required to satisfactorily earn each unit of credit. If students are unable to attend 6 HSR colloquiums, then they may choose to instead attend alternative research colloquiums; however, those alternative colloquiums should similarly be structured to encourage active discussion of HSR-relevant research presentations. Students enrolling for more than 1 unit should attend commensurately more colloquiums elsewhere. At the end of each semester, students will be required to email the instructor a list of the colloquiums attended for credit.

# HEALTH ECONOMICS

Faculty Lead: Will Dow, PhD

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The Health Economics specialty field draws on economics, epidemiology, demography, and statistics to understand the causal relationship between different aspects of health and the health care sector. With an emphasis on quantifying relationships, health economics covers a broad range of study areas, including health production, demand & supply of health services, healthcare financing, behavioral responses to institutional or policy incentives, policy evaluations, and other efficiency and equity issues surrounding health.

## Core Requirements

PH 237A,B Theories and Methods in Health Policy and Health Services Research  
293 Health Policy Dissertation Seminar (Year 3+)  
293 Health Services Research Colloquium (Years 1-2)

## Interdisciplinary Requirement

**Three** courses in one or more of the following areas: 1) Organizations and Management, 2) Population Health Sciences, and/or 3) Politics and Policy.

## Specialty Field Requirements

Health Economics students must take ECON 201A and a minimum of four specialty field courses.

### Core (1 course)

ECON 201A\*\* Economic Theory

\*\*Pre-requisite: Economics 204 (Summer)

Math 104: Introduction to Analysis (Fall, Year 1) is recommended for students entering without exposure to real analysis. Econ 201A also requires a background in linear algebra and differential equations, so students entering without this background should also take Math 54 (Fall, Year 1).

### Specialty Field Electives (4 courses)

ECON 201B Economic Theory

ECON 219A Foundations of Psychology and Economics

ECON 219B Applications of Psychology and Economics

ECON 220A,B Industrial Organization

ECON 230A,B Public Economics

ECON 250A,B,C Labor Economics

ECON 270A,B,C Development Economics

ECON 275A	Economic Demography
PP 251	Microeconomic Organization & Policy Analysis
PP 259	Cost-Benefit Analysis

### Research Methods

Three of the following:

ARE 212***	Econometrics: Multiple Equation Estimation
ARE 213	Applied Econometrics
ECON 244	Applied Econometrics
PH 252D	Intro to Causal Inference
PH 245	Intro to Multivariate Public Health Statistics
PH C242C	Longitudinal Data Analysis
PH 241	Statistical Analysis of Categorical Data
PH 250B	Epidemiologic Methods II
PS 236	Statistics of Causal Inference in the Social Sciences

\*\*\* ARE 210 has been found to be a useful prerequisite for ARE 212, but ARE 210 does not count toward the methods requirement.

**Health Economics students are generally accountable for the content of the Handbook of Health Economics (edited by Anthony J. Culyer and Joseph P. Newhouse) for the specialty field exam, with specific sections of emphasis determined each year by the examining committee depending on the students' sub-fields.** The exam requirements consist of core material required of all students and one of five areas chosen by each student. In order to prepare, students are required to take 2 PhD-level courses in the economics department in one of these fields: Behavioral economics (Econ 219A/B), Industrial organization (Econ 220A/B), Public economics (Econ 230A/B), Labor economics (Econ 250A/B/C), or Development/demography (Econ 270A/B/C, Econ 275). The exam will be based on material covered in these classes, but will be in the context of health issues.

The Organizations and Management specialty field trains scholars of organizational behavior and political behavior in health. Theories and methods in organizational sociology, political science, and social psychology are central to the study of health organizations. Specialty field courses in macro-organizational theory, micro-organizational theory, and organizational analysis of the health sector are required. The specialty field emphasizes the management of health care and public health organizations and systems, the implementation and dissemination of policies and practices within and across organizations, and the role of policy-making institutions as platforms for the creation and modification of health policies.

## Core Requirements

- PH 237A,B Theories and Methods in Health Policy and Health Services Research
- 293 Health Policy Dissertation Seminar (Year 3+)
- 293 Health Services Research Colloquium (all years)

## Interdisciplinary Requirement

PP 210A,B\* The Economics of Public Policy Analysis (series counts as 1 course)

*\*If a masters-level microeconomics course has been completed in the past, a third interdisciplinary course should be taken in lieu of PP210A/B.*

**Two** core and/or specialty field courses in one or more of the following areas: 1) Politics and Policy, 2) Population Health Sciences, and/or 3) Health Economics.

## Specialty Field Requirements

Students in the Organizations and Management specialty field are expected to take 5 courses: 1 core course and 4 specialty field elective courses, with at least one specialty field elective course in each of the micro-organizational and macro-organizational categories.

## Core Course

- PH 224D Organizational Analysis of the Health Sector

## Specialty Field Electives (Select 4 courses, with a minimum of 1 micro and 1 macro course)

### Micro-Organizational

- PhD BA 259A Seminar in Micro-Organizational Behavior
- PhD BA 259C Research in Industrial Relations and Labor

PhD BA 259S	Seminar in Organizational Behavior and Industrial Relations
PhD BA 297T	Research in Micro-Organizational Behavior
Psy 290J	Social Psychology (various seminars)

### Macro-Organizational

PH 224C	Advanced Health Organizations*
PhD BA 259B	Seminar in Macro-Organizational Behavior
PhD BA 259D	Seminar in Organizational Theory
PhD BA 279C	Corporate Strategy and Technology
PS 280C	Organizational Analysis: Structure, Control, & Cooperation
PS 289	Institutions and Institutionalism
SOC 205E	Advanced Study – Industrial Sociology
SOC 280D	Organizations
SOC 280R	Advanced Study – Professions

\*required of students beginning the 2016-17 academic year or earlier

### Public Organizations and Policy

PS 209A	Comparative Political Economy
PS 252	Legal Theory and Institutions
PS 261	Political Behavior
PS 289	Research Topics in Public Organization
PS 292	Advanced Study- Public Organization
PhD BA 279A	Institutions, Interest Groups and Public Policy

### **Research Methods (select three)**

EDU 274B	Measurement in Education and Social Sciences
EDU 274C	Research Seminar in Measurement
EDU 274D	Multidimensional Measurement
EDU 275B	Data Analysis in Educational Research II
EDU 275G	Hierarchical and Longitudinal Modeling
PH C242C	Longitudinal Data Analysis
PH 219D	Introduction to Survey Methods
PH 245	Intro to Multivariate Public Health Statistics
PH 250B	Epidemiologic Methods II
PH 252A	Applied Sampling

PhD BA 297B	Research and Theory in Business: Behavior Science
PS 235	Introduction to Research Design
PS 243A	Qualitative and Multi-Methods Research
PS C236A	Statistics of Causal Inference in Social Sciences
PSY206	Structural Equation Modeling

The Population Health Sciences specialty field trains students for research careers in the social, behavioral, and economic determinants of health and the study of interventions, policies, and practices that impact the health of populations and vulnerable communities. The specialty field emphasizes addressing the social and behavioral determinants of health through quantitative and mixed methods research informed by theories and methods in economics, psychology, demography, and social epidemiology. Training in innovative methodologies for establishing casual relationships in quasi-experimental research is a cornerstone of the Population Health Sciences specialty field.

**Core Requirements**

PH 237A,B	Theories and Methods in Health Policy and Health Services Research
293	Health Policy Dissertation Seminar (Year 3+)
293	Health Services Research Colloquium (all years)

**Interdisciplinary Requirement**

PP 210A,B\*      The Economics of Public Policy Analysis (series counts as 1 course)

*\*If a masters-level microeconomics course has been completed in the past, a third interdisciplinary course should be taken in lieu of PP210A/B.*

**Two** courses in one or more of the following areas: 1) Organizations and Management, 2) Politics and Policy, and/or 4) Health Economics.

**Specialty Field Requirements**

Students in the Population Health Sciences specialty field are required to take the following two core courses and three elective specialty field courses. Students should review the most recent Population Health Sciences specialty field exam reading list early in their course planning process.

**Core Courses (2 courses)**

PH 255A	Social Epidemiology
PH 226C	Population Health Economics

**Specialty Field Electives (Select 3)**

DEMOG 126	Social Consequences of Population Dynamics
DEMOG 210	Demographic Methods
DEMOG 230	Human Mortality

DEMOG 260	Special Topics in Demography Seminar (varies)
DEMOG C275A	Economic Demography
PH 216A	Biological Embedding of Social Experiences
Psy 290K	Multidisciplinary Perspectives on the Study of Behavior Change
PH 255C	Mental Health & Psychopathology
PH 201F	Community-based Research & Intervention
PH 206B	Food and Nutrition Policies and Programs
PH 206C	Nutrition Epidemiology
PH 206D	Food and Nutrition Policies and Programs in Developing Countries
PH 210B	Adolescent Health
PH 253D	Behavior & Policy Science in HIV Treatment and Prevention
CE 264	Behavioral Modeling for Engin, Planning, & Policy Analysis

### **Research Methods**

Three of the following:

ARE 212*	Econometrics: Multiple Equation Estimation
ARE 213*	Applied Econometrics
PH 241	Statistical Analysis of Categorical Data
PH C242C	Longitudinal Data Analysis
PH 245	Intro to Multivariate Public Health Statistics
PH 250B**	Epidemiologic Methods II
PH 252D	Intro to Causal Inference
PH 255D	Methods in Social Epidemiology
EDU 274B	Measurement in Education and Social Sciences
EDU 274C	Research Seminar in Measurement
EDU 274D	Multidimensional Measurement
EDU 275B	Data Analysis in Educational Research II
EDU 275G	Hierarchical and Longitudinal Modeling
PH 252A	Applied Sampling
PhD BA 297B	Research and Theory in Business: Behavior Science
PS 235	Introduction to Research Design
PSY206	Structural Equation Modeling

\* ARE 210 has been found to be a useful prerequisite for ARE 212, but ARE 210 does not count toward the methods requirement. Both ARE 212 and 213 are recommended for students of population health economics.

\*\* Required of students who have not completed an advanced level epidemiologic methods course.

## POLITICS/POLICY

The following **Politics/Policy** courses can count as satisfying the interdisciplinary requirement for all specialty fields:

PH 230	Advanced Health Politics and Policy
PP 290	Special Topics in Public Policy (varies)
PS 200	Major Themes in Comparative Analysis
PS 201A	Comparative Analysis of Industrial Democracies
PS 203	Urban and Subnational Politics in Developing Countries
PS 206	Comparative Party Systems
PS 220A	Theories of International Relations
PS 247G	The Comparative Politics of the Welfare State
PS 259	Selected Topics in Public Law
PS 261	Political Behavior
PS 262	Voting Behavior and Public Opinion
PS 263	Mass Politics in Modern Democracies
PS 271	American Government and Political Field Seminar
PS 273	Urban Politics
PS 274	American Political Development
PS 279	Race, Immigration and Identity in US Politics
Law 220F	Food Law and Policy
Law 248	Health Law
Law 263	International Human Rights Law: Theory and Practice
SOC 280C	Political Sociology

## FACULTY ADVISING

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The Health Policy Faculty Group is comprised of over 20 professors drawn from departments and schools across the Berkeley campus such as economics, political science, sociology, and the Haas School of Business. The prestigious faculty includes winners of the Baxter Prize for Health Service Research (Shortell), Filerman Prize in Health Management Education (Rundall), and Thompson Prize for Young Investigators (Rodriguez, Dow); past-president of the International Health Economics Association (Scheffler) and three separate winners of that association's Arrow Award for best health economics papers (Dow, Gertler, and Miguel); and the former Editor-in-Chief of the leading health policy journal Health Affairs (Robinson) and Health Services Research (Shortell).

Professors from the School of Public Health's Divisions of Health Policy and Management (HPM) and Community Health and Human Development (CHHD) serve as advisors for first-year Ph.D. students, and most provide Graduate Student Instructor (GSI) and Graduate Student Researcher (GSR) opportunities for the doctoral students.

New students are assigned to an advisor based on expressed interest in a particular area of study. However, students are free to change advisors at any time after the first semester and are encouraged to create a guidance committee by selecting an additional advisor to meet with by the second year of the program, particularly in preparation for the specialty field exam.

PhD students are responsible for scheduling regular meetings with their advisors and for keeping them apprised of planned coursework. An annual assessment form signed by students' advisors is required from all students to review courses taken, grades received, and progress through the program in general.

Many of the faculty group members outside of the SPH teach core or specialty field courses and can provide additional guidance to students in specific areas of research. They may serve on students' qualifying exam or dissertation committees as inside members. Faculty who are affiliated with the PhD program and who are not faculty group members often serve as outside members of the committees.

# Ph.D. Program in Health Policy

## CORE FACULTY GROUP CONTACT INFORMATION

First Name	Last Name	Specialty	Department	Office Location	Mail	Ph (510)	E-mail address
Christopher	Ansell	Org/Policy	Political Sci	766 Barrows Hall	1950	642-2263	cansell@berkeley.edu
Joan	Bloom	Org	PH/ HPM	247E University Hall	7360	642-4458	jbloom@berkeley.edu
Ray	Catalano	Pop Health	PH/ CHHD	15 University Hall	7360	642-3103	rayc@berkeley.edu
Julianna	Deardorff	BCS	PH/CHHD	207K University Hall	7360	642-7334	jdeardorff@berkeley.edu
William	Dow	Econ/PH	PH/ HPM	239 University Hall	7360	643-5439	wdow@berkeley.edu
Lia	Fernald	Pop Health	PH/ CHHD	207A University Hall	7360	643-9113	fernalld@berkeley.edu
Lee	Friedman	Economics	Goldman	2607 Hearst Ave	7320	642-7513	lfried@berkeley.edu
Paul	Gertler	Economics	Haas	F 543 Haas	1900	642-1418	gertler@haas.berkeley.edu
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David	Levine	Economics	Haas	F671 Haas	1900	642-1697	levine@haas.berkeley.edu
Jonah	Levy	Policy	Political Sci	210 Barrows Hall	1950	642-4686	jlevy@berkeley.edu
Edward	Miguel	Economics	Economics	549 Evans Hall	3880	642-7162	emiguel@econ.edu
Emily	Ozer	BCS	PH/CHHD	529 University Hall	7360	642-1723	eozer@berkeley.edu
Steven	Raphael	Economics	Goldman	343 GSPP Addition	7320	643-0536	stevenraphael@berkeley.e
James	Robinson	Economics	PH/ HPM	247B University Hall	7360	642-0564	james.robinson@berkeley.
Hector	Rodriguez	Org	PH/ HPM	245 University Hall	7360	642-4578	hrod@berkeley.edu
Richard	Scheffler	Economics	PH/ HPM	247G University Hall	7360	642-0565	rscheff@berkeley.edu
Stephen	Shortell	Org	PH/ HPM	247H University Hall	7360	643-5346	shortell@berkeley.edu
Laura	Stoker	Policy	Political Sci	778 Barrows Hall	1950	642-3396	stoker@berkeley.edu

## EMERITUS FACULTY

FirstName	Last Name
Teh-wei	Hu
Todd	LaPorte
Ronald	Lee
James	Lincoln
Thomas	Rundall
Lonnie	Snowden

## AFFILIATED FACULTY MEMBERS

Jennifer Ahern	School of Public Health
Michael Anderson	Department of Agricultural & Resource Economics
Robert Anderson	Department of Economics
Sarah Anzia	Goldman School of Public Policy
Andrew Auerbach	UCSF Department of Medicine
Stefano Bertozzi	School of Public Health
Claire Brindis	UCSF Philip R. Lee Institute for Health Policy Studies
Timothy Brown	School of Public Health / Health Policy and Management
Susan Chapman	UCSF School of Nursing
Jennifer Chatman	Haas School of Business
Jack Colford	School of Public Health / Epidemiology
Jason Corburn	SPH/Dept of City & Regional Planning
Alain de Janvry	Dept of Agricultural & Resources Economics
Neil Fligstein	Department of Sociology
Cybelle Fox	Department of Sociology
Michael Hanemann	Dept of Agricultural & Resources Economics
Robert Hiatt	UCSF Dept of Epidemiology & Biostatistics
Hilary Hoynes	Goldman School of Public Policy
Alan Hubbard	School of Public Health / Biostatistics
Barbara Laraia	School of Public Health
Taeku Lee	Department of Political Science
Robert MacCoun	Goldman School of Public Policy/Boalt School of Law
Kristine Madsen	School of Public Health
Jane Mauldon	Goldman School of Public Policy
Mahasin Mujahid	School of Public Health
Charlan Nemeth	Department of Psychology
Amani Nuru-Jeter	School of Public Health
Malcolm Potts	School of Public Health
Sophia Rabe-Hesketh	School of Education
David Rehkopf	Stanford School of Medicine
Karlene Roberts	Haas School of Business
Elisabeth Sadoulet	Department of Agricultural & Resources Economics
Daniel Schneider	RWJF Scholar in Health Policy Research, UC Berkeley
Jasjeet S. Sekhon	Department of Political Science
Kirk Smith	School of Public Health / Epidemiology
Joann Spetz	UCSF School of Nursing
Barry Staw	Haas School of Business
Toby Stuart	Haas School of Business
Ann Swidler	Department of Sociology
Robert Van Houweling	Department of Political Science

Kenneth Wachter  
Reed Walker  
John Wilmoth

Department of Demography  
Haas School of Business  
Department of Demography

## COURSE AND SCIENTIFIC TRAVEL POLICIES AND PROCEDURES

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### **Course Substitutions**

In cases where approved courses may not be offered or available at a time when Health Policy students needing to complete course work required for their program or specialty field requirements, students may submit a petition for course substitutions to meet that particular requirement. In such cases, the Health Policy program will review petitions and either allow the proposed substitute courses to fulfill core or specialty field requirements or make a recommendation as to how the student can satisfy such requirements.

Petitions must include:

- Proposed substitute course number and title (please attach course syllabus and/or course description along with the name and contact information of the instructor(s) teaching the proposed course, if available)
- Requirement to be fulfilled (please indicate core course, specialty field course, or research methods course)
- Reason for petition along with any sufficient information that would help to inform the decision

Petitions must be submitted directly to the Program Manager via email at HealthPolicy\_phd@berkeley.edu, who will in turn submit to the Program Director and the Faculty Head of the specialty area in which the student is requesting course substitution for their review and recommendation.

Exceptions may be granted on a case-by-case basis and will not be transferrable. Final decisions will be communicated to the student via the Program Manager within 10 days of receipt of the petition.

### **Scientific Travel**

The PhD Program strongly encourages students to take advantage of opportunities for professional development by submitting papers or posters for presentation at health policy-related conferences. Students whose research is accepted for conference presentation will be eligible to apply for up to \$500 in travel grant funding from the Health Policy PhD Program. The number and size of awards each year will depend on the number of applications and available funds.

### **Conditions**

1. Health Policy PhD students will be eligible to receive a travel grant once per academic year from the program. Applicants must be enrolled in the program in good standing at both the time

of application and time of the conference.

2. Priority will be given to oral presentations over posters and to conferences most central to Health Policy (e.g., AcademyHealth). The student must be the primary presenter (not co-author).
3. If conference organizers have not yet announced acceptances at the time of the travel grant application deadline, students should apply for the grant anyway. If the abstract is not accepted, then the funds may be applied toward funding for another conference or toward assisting at the AcademyHealth conference exhibit table (up to 2 student assistants).
4. Approved expenses include: reasonable transportation, lodging, food, and conference registration fees.
5. Students must also apply for other campus travel funds for which they are eligible (in order to maximize funds available for Health Policy PhD students, Health Policy travel awards may be reduced by the amount received from these other awards), including:

- AAVPG – Academic Opportunity Fund  
<https://callink.berkeley.edu/organization/aavpgacademicopportunityfund>
- The Graduate Assembly Travel Award  
<https://ga.berkeley.edu/funding/travel-grants>
- Graduate Division Conference Travel Grants  
[http://grad.berkeley.edu/wp-content/uploads/travel\\_grants.pdf](http://grad.berkeley.edu/wp-content/uploads/travel_grants.pdf)

#### Applications must include

- Conference title, date, and location.
- Title and abstract of accepted (or pending) presentation, and whether oral or poster.
- Proposed budget (including estimated expenses, and amounts requested from Health Policy and other sources).
- Details on other campus travel funding sources to which student has applied (or reasons why ineligible if have not applied for the Graduate Division or Graduate Assembly awards), including source, award amount and decision date.

#### Application deadlines

Applications must be emailed to the Program Manager by the following deadlines (rolling decisions can also be made for earlier applications if necessary):

October 1 for November-February travel  
February 1 for March-June travel  
June 1 for July-October travel

# EXAMINATIONS AND DISSERTATION MILESTONES

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## **Specialty Field Examination**

Students must pass a comprehensive written examination in their specialty field before they proceed to their oral examination and advance to candidacy. **At the end of the second year** and with all specialty field course requirements fulfilled, students will take their specialty field exam.

The examination will be designed to test the core knowledge in the student's chosen field of economics, organizations, politics, or population health. A three-member faculty committee for each student will evaluate exam performance. A non-group faculty member can serve on the committee if the faculty head of the student's specialty field approves. The examination is four hours in length and in-class. The exam is graded high pass, pass, low pass, or fail. Students who fail the exam may be given the opportunity to retake the exam (or portions of the exam) within three months. Students are required to leave the program after two failed attempts.

## **Research Methods Paper**

**Before the end of the third year of the program**, each student must demonstrate the ability to use research methods with real data by submitting to the methods advisor a paper that uses data, as proof of competency. This could be a paper written for a class, a paper that comes from a research project with a faculty member in which the student held a research assistant position or anything else which is acceptable to the advisor. There are no bounds set on types of methods or data used. For specific guidelines regarding the methods paper, see the next section.

The methods paper must be approved prior to student scheduling of their qualifying examination. The methods paper should be submitted to Professor Timothy Brown, the Health Policy research methods lead faculty member. This will allow ample time for the paper to be reviewed in the event that revisions are recommended. The faculty advisor will sign a form after the paper has been successfully reviewed and approved. This approval is required for all students who are preparing to take their Qualifying Exam. The final version of the methods paper must be given to the PhD Program Manager for filing. It will be included with the documents reviewed by the student's Qualifying Exam committee.

## **Qualifying Examination**

Students must pass a 2-3 hour oral qualifying examination (QE) in order to advance to candidacy. **All program requirements** (the specialty field exam, all required coursework, and the methods paper) **must be completed before the exam can be scheduled**. Students should consult with the Health Policy Program Manager to ensure that the required forms are filled out and submitted for approval and signature.

Completed forms should be submitted to the Program Director along with the Graduate Division application for the Qualifying Exam for approval and signature. The Graduate Division application takes at least 4 weeks to be approved in the Degrees office.

A **four-member qualifying examination committee** will examine the student's knowledge in health policy, their specialty field, and the proposed area of dissertation research. The QE committee should include "inside" members from the Health Policy group faculty, and one "outside" member who must be a senate faculty member and not a member of the Health Policy Group. The QE chair cannot also serve as the student's dissertation chair.

The student must distribute a written prospectus of the proposed dissertation research of no more than twenty-five pages at least three weeks prior to the examination date. Grading is either pass or fail; a student can retake the exam. A second failure, however, leads to being dismissed from the program. The Program Director must sign the Graduate Division form elevating the student to candidacy. The candidate is responsible for following all Graduate Division rules and requirements for advancement to candidacy including the filing of the Application for Candidacy for the Degree of Doctor of Philosophy form (Plan B form).

The Graduate Division requires that students submit applications with a check for \$90. In addition, students must complete the CITI Course in the Protection of Human Research Subjects and include a copy of the certificate of completion with the Plan B form.

### **Dissertation Committee**

A **three or four-person dissertation committee** is selected by the student and appointed after the student has successfully granted advancement to candidacy by the Graduate Division. The Program Manager must be notified of the membership of the committee.

Two of the committee members, including the chair, must be a Health Policy Faculty Group member, and the outside member must be senate faculty who is not a member of the Health Policy Group; normally the outside member of the QE committee serves in this capacity. Any change to this committee requires a form to be filed with Graduate Division and requires 2-3 weeks to be approved.

Dissertation research must be relevant to health policy and the student's specialty field (see Guidelines for Writing a Prospectus). For completion of the PhD requirements, students must provide copies of their dissertations that follow Graduate School guidelines. An additional bound copy must be filed with the PhD program office.

# SPECIALTY FIELD EXAMINATION

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The specialty field examination in health economics, organizations and management, or population health is completed after the student has completed all specialty field courses.

Students normally sit for the exam at the completion of the second year of the program. **All students within the same specialty field area take the same examination at the same time.** The examination is written, four hours in length, in class, and generally requires the student to spend a minimum of one hour on each of three questions.

## **Criteria for examination**

The specialty field examination should emphasize the students' understanding of the major concepts, theories, and findings in their specialty field, and students must be able to apply this knowledge to the health care field. Before sitting for the exam, students should have a minimum of three courses in their specialty field, beyond the two required for the core.

The criteria used to evaluate the students' performance include:

- A sound understanding of the core knowledge of the field;
- Demonstrated ability to apply the specialty field to the health field;
- Demonstrate the potential to teach graduate level classes in the specialty field focused on health.

## **Specialty Field Exam Procedures and Evaluation**

The Program Manager will administer the examination on a date agreed upon by students and the specialty field faculty lead. The exam questions will be sent directly to the Manager two weeks prior to the exam date. After the exam, the Manager will send evaluation forms and the completed exams to the exam graders. Each question should have a minimum of two graders. Grading is high pass, pass, low pass, or fail for each question. A grade for the entire examination is determined by consensus among faculty graders and transmitted from the specialty field faculty lead to the Program Director. The Program Manager will provide results to the student in writing.

Students can take the specialty field examination only twice. Students who fail the exam may be given the opportunity to take the exam again within three months. Two failures will require that the student be asked to leave the program.

# RESEARCH METHODS PAPER REQUIREMENT

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Each PhD student must demonstrate the ability to use appropriate doctoral-level research methods by writing an empirical research paper prior to their oral qualifying examination. The final paper must be approved by the program's research methods lead, Professor Timothy Brown. This requirement must be passed before the end of the third year of the program. The research methods paper must be approved before the student can take the oral qualifying examination. Many students use their methods paper as the foundation for their dissertation proposal.

There is considerable flexibility in the research methods paper requirement, depending on each student's area of interest and expertise. The paper could be an independent project exploring a potential thesis topic, could build on a class term paper, could be part of a research project conducted with a faculty member or as part of a job, or anything else acceptable to the adviser and methods coordinator. There are no bounds set on types of methods or data used, however it is recommended that the student consult the advisor and methods coordinator early in the process.

The key expectations are:

- Use actual empirical data to explore an interesting question in the field of health policy.
- Use methods appropriate for a researcher trained at the PhD level.
- Write a paper of potentially publishable quality.

## Typical Structure

The following is an outline of the structure of a typical methods paper, although individual papers may vary considerably from this structure. Text is 10-25 double-spaced pages, 1" margins, 10-12 point font.

1. Title page  
Title, name, date.  
Short abstract (structured or paragraph).  
In a footnote acknowledge anyone who has made important contributions to the paper
2. Introduction (1-2 pages)  
Explain the broad question and motivate why it is interesting.  
Outline the hypotheses that you will be testing, and discuss how they will inform the broad question.  
Relate your paper to any important previous studies that you have built on (complete literature review not required).
3. Conceptual framework  
Provide a conceptual framework for considering your question, and state the exact hypotheses to be tests.
4. Data  
State the exact source of data. Describe the data's population and sampling design,

particularly complex survey features such as clustering and weights.

If using a sub-sample of the data, describe the exact selection rules so that another researcher could replicate your sample in the future.

Define each dependent and independent variable, and discuss how it is measured and transformed for analysis.

Provide a table of summary statistics, and highlight important features of it in the text.

Discuss missing data issues. If relevant, discuss how they will be addressed and provide a table comparing included and excluded observations (comparing samples with appropriate statistical tests)

## 5. Methods

Describe the statistical methods that you will be using.

If using advanced estimation techniques (beyond ordinary regression), motivate in words your alternative estimation approach, and state the strengths and limitations of each estimator. Clearly present equations illustrating the models that you will estimate (independent variables, error structure with appropriate subscripts if appropriate).

Discuss each test that you will use to choose between models (there is no required number of tests; use the tests that are appropriate to your application).

## 6. Results

Provide tables of results for each key model that you estimate (not just the preferred model), and in the text highlight the main results.

Interpret the results of the specification tests, and argue which model is preferred and why.

## 7. Limitations

Discuss each of the important limitations of your analysis, and how they might affect your results. You are not expected to have solved all potential problems, but you must thoughtfully discuss them.

## 8. Discussion

Briefly summarize your main findings, and relate them to the hypotheses and broad questions in the introduction.

## 9. References

## 10. Tables and Figures

All tables (followed by figures) should be attached to the end of the paper, not included in the middle of the text.

Consult journals for sample formats (appropriate labels, avoid vertical lines in tables, etc.).

## 11. Appendix

Include a concise program file (i.e., .do or .sas) used to generate your results. Document it with comments so that a year from now you would be able to follow it.

If relevant, include IRB approval letter in the appendix.

## 12. Response to comments

If this is a revised submission of the paper, include a point-by-point response to specific comments raised by the advisor or methods coordinator.

## QUALIFYING EXAMINATION (QE)

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The purpose of the oral qualifying examination is to assess the student's ability to conduct independent research in health policy research that will make a significant academic contribution to the field. A significant contribution is one that would be published in a reputable journal in the field.

### **Dissertation Prospectus**

Part of this assessment will be the evaluation of a twenty-five page (maximum) prospectus on the student's dissertation research. The dissertation prospectus will include: (1) the research questions; (2) their significance to the field, and (3) the research methodology to be used. The prospectus should be distributed to the committee no later than two weeks prior to the examination date (see description of prospectus and procedures which follows at the end of this section).

### **Committee Membership**

The QE Chair must be a member of the Health Policy Faculty Group. Two additional faculty members must be from within the PhD Group, and one senate faculty member from outside the Group (see list of affiliate faculty members). The QE Chair cannot also serve as the chair of the student's dissertation committee.

The student requests a faculty member to chair the examination committee and discusses the membership of the committee. The chair finalizes committee membership after consultation with the Ph.D. Program Director. The Graduate Division makes the official appointment of the committee when the application for the Qualifying Exam is submitted by the student and signed by the Program Director.

### **Grading**

The Graduate Division permits only a pass or fail grade. A passing grade means that the student has advanced to candidacy. A grade of pass with distinction may be given in rare cases but it is only for internal purposes and will be registered in the Graduate Division as a passing grade.

A student who does not pass can be re-examined after one month's time. A second failure will lead to dismissal from the program. A petition for a third examination can be filed in special circumstances with the Graduate Division.

### **Criterion for Evaluation**

The committee should consider three criteria in making its grading recommendation:

1. Is the student prepared to conduct independent research that will make significant contributions to the field?

2. Has the student prepared a set of research questions that are of real significance to the field and have the potential for publication in high quality journals in the field of health policy research or related disciplines?
3. Has the dissertation prospectus and student's response to the issues raised by the committee provided clear evidence that, without major revisions, the student should proceed and advance to candidacy?

If the committee's judgment is affirmative to these questions, then the committee should recommend a passing grade. In cases where the committee is not unanimous in its recommendation, the Graduate Division requires each member of the committee to write a report.

In cases where the student does not pass, the committee may recommend additional course work, independent readings and/or a revised dissertation research prospectus. If possible, their recommendation should be in writing by the QE Chair and discussed with the student at the examination or shortly afterward. Again, if there is not a unanimous vote, a written report from each member and a Chair report must be filed with the Graduate Division.

Copies of all recommendations should be sent to the PhD Program Director. The student must file official forms required by the Graduate Division in order to advance to Candidacy (Plan B).

### **Examination Procedure**

The QE Committee Chair is responsible for conducting the examination. A brief meeting is usually held before the examination begins so that the ground rules can be discussed and agreed to by all members. The examination is usually three hours in length.

Many exams begin with the student presenting a brief overall view of their research proposal with emphasis on the research questions, their significance, and most importantly the contribution that the work will make to health policy. The examination usually involves a discussion of the research methodology to be used, its appropriateness and limitation. The student's ability to discuss these issues is a focus of the examination. Students may be asked to respond to any question in the field of health policy as deemed appropriate by the examination committee.

The committee must vote unanimously for a pass. For detailed information on partial failures, conditional passes, split votes or adjourned exams, please see the current Graduate Division Degrees Handbook <http://graddashboard.berkeley.edu/degrees/> (at Qualifying Exam).

### **QE Procedures for Students**

Students are responsible for the filing of the appropriate forms with the Graduate Division, the PhD office, and with members of their examination committees.

1. The initial version of the Prospectus must be presented in the on-going dissertation seminar before it is sent to the examination committee.
2. All of the program requirements (except the dissertation) must be completed before the student can submit an application to take the Qualifying Exam. The Ph.D program form confirming completion of requirements must be signed by the student's advisor, methods advisor, and Head Graduate Advisor for the program.
3. Student must file a copy of Application for Qualifying Examination with the Program Manager, who will forward the original to the Graduate Division. The Director must sign this form. Graduate Division requires this form to be submitted at least 4 weeks prior to the proposed date of examination.
4. Students must contact the Program Manager as soon as a date is set in order to reserve a room for the QE and to reserve the LCD projector.
5. The student must distribute the Prospectus at least 2 weeks ahead of examination date to members of the oral examination committee. A PDF copy must also be filed in the Program Office; a paper copy is optional.

*In order to enhance QE performance and best take advantage of committee input towards the dissertation project, it is recommended that students send a complete draft of the prospectus to the committee about 2 months in advance of the QE, meet with each committee members a few weeks later to get their initial feedback, incorporate that feedback into a second draft sent to the committee about a month in advance, meet with members a second time if necessary to discuss responses to any major concerns raised, and submit a final draft to the committee at least 2 weeks before the QE date.*

6. After the oral examination, the Director must be notified of the results in order to sign the form; the PhD office will retain a copy of the examination form before it is sent to the Graduate Division.
7. The student is responsible for following all Graduate Division rules and requirements, including the filing of the Application for Candidacy for the Degree of Doctor of Philosophy form (Plan B and a check for \$90 fee).

Copies of previous prospectuses and dissertations will be kept on file in the PhD office in 247-C University Hall. Current students may borrow copies for reference purposes.

### **Refreshments for QE Committee**

If a student wants refreshments to be available, then he or she should arrange in advance for a **peer** to provide. The room reservation will typically allow for a 30-minute period prior to the exam time for refreshments and equipment set up.

# DISSERTATION PROSPECTUS

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The main purpose of the prospectus is to clearly and convincingly demonstrate the significance of the contribution your research will make to health policy and the student's specialty field. Significance is measured by the "publishability" of your work in reputable journals in the field. The prospectus focuses on the methodology you have selected and how you apply it in your research.

The prospectus should contain the following elements (the order of presentation is flexible):

- 1) **Literature review**  
An in-depth, concise and critical review of the relevant literature. Weakness and important gaps in the literature should be noted.
- 2) **Theoretical or conceptual model**  
A fully developed theoretical or conceptual model (e.g., the Theory of Resource Dependence, a Theory of Nonprofit Hospitals, Asset/Pricing models). The logical connection between the conceptual model and the research questions or hypothesis should be detailed.
- 3) **Statement of research questions or hypotheses**  
A statement of research question(s) and/or the hypothesis(es) to be tested.
- 4) **Data, Methods and Analyses**  
Identify the needed databases and assess their appropriateness and availability of data or your data collection strategy. Sample questionnaires or questions or documentation of existing data files should be included in appendix materials. Also include a brief description and justification of the statistical and/or econometric models and/or qualitative methods to be used.
- 5) **Expected results**  
Prepare a detailed and carefully worded statement of the expected results of your research, including the significant contributions it will make, noting the journals where the research might be published.
- 6) **Health policy implications**  
The health policy significance of your research and its implications for improving the organization, financing and/or delivery of health care should be clearly noted.

The prospectus should be no longer than 25 double spaced, typed pages (not including references or data appendices). The two key criteria used in grading the oral exam are:

- 1) the contributions it will make to the literature in the field and
- 2) the appropriateness of the theoretical or methodological approaches.