



Albert Einstein College of Medicine
OF YESHIVA UNIVERSITY

GRADUATE PROGRAMS IN THE
BIOMEDICAL SCIENCES

Academic Policies and Guidelines



2011—2012

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These Guidelines are updated regularly. Be sure to check the "Current Student" page on the Graduate Division website, www.einstein.yu.edu/phd/index.asp?current-students, for the most updated version of the Academic Policies and Guidelines.

Graduate Division Forms

The following forms are available through the Graduate Division website (<http://www.einstein.yu.edu/phd/index.asp?graduate-division-forms>):

First Year Rotations

- Rotation Registration Form
- One Time Rotation Registration Form
- Rotation Evaluation Form
- OSHA Form

Thesis Laboratory

- Thesis Laboratory and Department Declaration Form
- Change of Laboratory Form

Advisory Committee

- Student Advisory Committee Summary Report Form

Qualifying Examination

- Form 1a: Proposed Committee Members
- Form 1b: Tentative Specific Aims and Title for Qualifying Exam Proposal
- Form 2: Confirmation of Committee Members
- Form 3: Date, Time, Location of Qualifying Exam
- Form 4: Chair's Summary Evaluation

Thesis Defense

- Thesis Defense Committee Form
- Thesis Defense Committee Report Form
- Graduate Student/Alumni Publications and Awards

Leave of Absence/Withdrawal

- Leave of Absence Form
- Return from Leave of Absence Form
- Withdrawal Form

Transcript/Diploma/Certification

- Certification Letter Request Form
- Transcript Request Form
- Request for Duplicate Diploma Form

Additional Forms

- Course Withdrawal Form
- Credit for Prior Master's Degree Form
- Graduate Student / Alumni Publications and Awards
- Transfer of Credit and/or Course Exemption Form
- Update of Current Contact Information

Einstein Institutional Policies

The following documents and other additional Einstein Institutional policies are available through the main Einstein policies website (<http://www.einstein.yu.edu/home/policies.asp>)

- Einstein Policies on Non-Discrimination, Affirmative Action and Unlawful Harassment
- Einstein Policies on Research Misconduct
- Einstein Policies on Patent and Licensing Agreements
- Einstein Policies on Conflict of Interest
- Einstein Guidelines for Use of the College Name
- Einstein Computer Policy
- Einstein Policies on the Use of Copyrighted Materials

See Appendix IV for a full list of Einstein Policies and Procedures

Graduate Division Policies

- Academic Policies and Guidelines
<http://www.einstein.yu.edu/phd/index.asp?academic-policies-guidelines>
- Qualifying Examination Guidelines
<http://www.einstein.yu.edu/phd/index.asp?qualifying-exam>
- Advisory Committee Guidelines
http://www.einstein.yu.edu/uploadedFiles/PHD/acm_guidelines.pdf
- Thesis Defense Guidelines
<http://www.einstein.yu.edu/phd/index.asp?thesis>

Graduate Programs in the Biomedical Sciences

Albert Einstein College of Medicine *of Yeshiva University*

Sue Golding Graduate Division

Section I: Administration of the Programs

1) Mission of the Graduate Division and Purpose of this Document

The mission of the Graduate Division is to provide outstanding education and training to enable students to develop as independent biomedical scientists, capable of carrying out significant research aimed at understanding biological systems and the eventual cure of human diseases. The PhD degree administered by the Sue Golding Graduate Division of the Albert Einstein College of Medicine (hereafter referred to as the "Graduate Division") is an affirmation of the student's ability to conduct independent and original research. This degree is achieved by completing a defined but individualized curriculum including formal coursework and a period of research culminating in a doctoral Thesis, mentored by a member of the Graduate Faculty, and supervised by the Advisory and Thesis Defense Committees.

The Academic Policies of the Graduate Division are described herein and are meant to facilitate the productive and efficient progression of a student from admission into the Division to completion of the Thesis. The Assistant Dean for Graduate Studies reviews and updates the Policies and Guidelines annually. In addition to the guidelines presented within this document, each student is expected to meet any additional academic requirements imposed by the degree-granting Department, and to uphold the standards of professional behavior expected of all members of the College of Medicine and the scientific community.

2) Programs and Oversight

The Einstein Graduate Division administers the Programs in the Biomedical Sciences, and is currently comprised of the PhD Program, the Medical Scientist Training Program (MSTP), the Summer Undergraduate Research Program (SURP) and the Summer High School Research Program.

The Dean of the Medical School appoints, as necessary, the Associate Dean for Graduate Programs. The Associate Dean is responsible for implementing Division policies and changes in those policies, and for approving any change of student status including admission, dismissal, leave of absence, granting of degrees, etc., often acting upon the recommendation of Program, Department, and Graduate or Medical School Committees.

3) Composition of the Graduate Division

The Graduate Division is comprised primarily of the Departments that are approved by the State of New York to confer the PhD degree. Faculty holding primary or secondary appointments in one of these departments may serve as a mentor for a PhD candidate. In addition, the Graduate Division offers a PhD in Clinical Investigation (PCI) track, for which faculty mentors are designated and may have appointments in the clinical Departments. The PCI administration serves as a “virtual” Department for those students who declare a PCI-sponsored laboratory for thesis research. In order to sponsor a PhD, MSTP, or SURP student, a faculty member must hold a primary or secondary appointment in one of the Basic Science Departments, or be designated as a faculty for the PCI.

The Graduate Division confers the PhD degree and sets minimal requirements. Each Department, subject to the academic policies of the Graduate Division, may designate specific course requirements for the PhD degree. Students are responsible for acquainting themselves with the requirements of the specific Department in which they will conduct their thesis research.

In general, the policies and guidelines described in this document apply to all PhD candidates including MSTP students during the PhD phase of their training. MSTP students should direct any questions in this regard to the Associate Dean or the Director of the MSTP.

4) Who’s Who in the Graduate Division

The Associate Dean oversees all aspects of the Graduate Division and is responsible for implementing policies that promote excellence in graduate education. The Associate Dean should be consulted for questions concerning Programs, academic policies, student issues, conflicts in the classroom or laboratory, and any questions regarding professional or ethical behavior. The Associate Dean also develops new programs, oversees the training grant initiative and responds to all institutional and university guidelines.

The PhD and MSTP Program Directors are Einstein faculty appointed by the Dean. They are responsible for assuring the quality of the academic program, uniform implementation of Graduate Division policies, and fair treatment for the students and faculty of the Graduate Division. Throughout this document, “Program Director” refers to either the PhD or MSTP Director, depending on the program into which the student is matriculated. The PhD and MSTP Directors are responsible for implementing and guiding the development of the academic policies of the Graduate Division. The Director of the MSTP appoints the Associate Director of the MSTP, and chooses the members of the

MSTP Steering Committee. The Associate Dean selects the Director of the SURP and the Chairs of the sub-committees of the Graduate Committee. The Associate Dean also appoints the Director of the PCI.

The Associate Director is appointed by the Dean, at the recommendation of the Associate Dean. The Associate Director must have a PhD. with postdoctoral training, and is provided an Einstein faculty appointment within an appropriate Department. The Associate Director assists the PhD and MSTP Directors in all aspects of the programs, including development, with a primary focus on graduate student recruitment, and career and curriculum development, in order to improve the graduate program.

Students should feel free to contact the Associate Dean or the Program Directors with any questions, problems, or suggestions related to their graduate education. It is the responsibility of the Associate Dean, Program Directors, and Associate Directors to direct students to appropriate institutional contacts, for example Chairs, faculty, administrators, or other offices of the Medical School.

The Assistant Director and Registrar administers legal documents associated with the Graduate Division, and functions as Registrar. Specific responsibilities of the Assistant Director include administrative management, registration, transcripts, preparation of training grants, and submission of Graduate Division budgets. Any questions regarding transcripts, official files, forms, travel reimbursement, foreign visas, or FERPA, should be directed to the Assistant Director.

The Senior Academic Advisor will advise graduate students on academic matters, provide feedback to the Academic Affairs Committee regarding academic progress, work with students, mentors, and advisory committees on issues that may arise, and provide input to the Graduate Committee as a liaison between the faculty and the Graduate Division.

5) Graduate Division Committees

The primary role of each Committee is to represent each of the Departments, as well as, the students for the Graduate Division, and to make specific recommendations to the Associate Dean for improving the Programs.

The Graduate Executive Committee is the executive committee of the Graduate Division and is comprised of representatives from each of the Basic Science Departments, the PCI, the Associate and Assistant Directors of the Graduate Division, the MSTP Director, the PhD Program Director, the Associate Dean for Graduate Programs, who serves as Chair, and three students selected by the Graduate Student Council (GSC). Representatives are appointed by Department Chairs or according to GSC policies and typically serve two to three year terms. The Committee recommends to the Associate Dean additions or changes to policies of the Graduate Division, and approves changes or additions to the Graduate Curriculum and Qualifying Examination Guidelines. Its members provide direct representation and feedback to and from the Department faculty. All members are voting members and a majority “yea” vote of members is required for approving recommendations. At least six Departments must be represented by voting faculty to establish a quorum. The Program Director and Associate Director may represent his or her own Department for the purpose of filling quorum, if the Department representative is absent.

There are sub-committees of the Graduate Committee, the detailed functions of which are described further in specific sections of this document.

Representatives from the Graduate Student Council (GSC) and the MSTP Student Council (MSC) further represent the interests of the PhD and MSTP students.

The Graduate Admissions Committee is comprised of representatives from each of the Basic Sciences departments, the PCI, as well as a diversity representative. Members serve terms of two to three years. The Graduate Admissions Committee evaluates the acceptability of applicants for matriculation in the Graduate Division. In this Committee, the Associate Dean appoints the Chair.

The MSTP Steering Committee is assembled by the MSTP Director and includes faculty, students, as well as a diversity representative who advise on admissions and other issues specific to the Medical Scientist Training Program.

The Graduate Curriculum Committee is responsible for the development, implementation and review of the Graduate Curriculum. The Graduate Curriculum Committee includes a faculty representative from each of the Basic Science Departments, the PCI, and three students elected by the Graduate Student Council. Faculty representatives to the Graduate Curriculum Committee do not have to be course leaders. Individual faculty and student members may not serve concurrently on the Graduate Committee and the Graduate Curriculum Committee. The Graduate Curriculum Committee is responsible for developing curriculum policy, reviewing course offerings, and recommending new graduate courses for approval by the Graduate Committee. After recommendation for approval by the Graduate Curriculum Committee, new graduate courses must receive final approval by the Graduate Committee prior to the start of the semester in which they are offered. Approved courses will be listed in an official announcement and on the Registrar's website at the start of each registration period.

The Academic Affairs Committee includes a single representative from each of the Basic Science Departments, the PCI, as well as the faculty member who is the Senior Academic Advisor to the Graduate Division. The AAC is responsible for overseeing the academic progress of all students towards obtaining their PhD degree. The AAC meets once each semester, including the Summer semester, unless specifically requested by the Associate Dean or MSTP Director. Any student who fails a course, receives a Needs Improvement, an Unsatisfactory grade in Laboratory Research (Laboratory Rotation or Thesis Research), an Unsatisfactory grade on the Qualifying Exam, an unsatisfactory Advisory Committee report, or is recommended for review by any faculty at any time, will be reviewed by the Committee. The AAC reviews all students who have been in the program for five years or longer and requests an Exit Strategy from these students. Issues of ethics and professional misconduct as they relate to students in the program may also be referred to the AAC.

The Qualifying Examination Steering Committee is composed of faculty representatives from each of the Basic Science Departments and a representative of the PCI and serves to organize the Qualifying Examination and make recommendations regarding the Qualifying Exam Guidelines.

Graduate Student Council (GSC) is chartered as the representative organization of the graduate students to the faculty and administration.

For information regarding the GSC, see the website: www.einstein.yu.edu/phd/index.asp?graduate-student-council, or contact the current Chair. (Contact information is available through the Graduate Division office.)

The MSTP Student Council represents the interests of the MSTP students. (Contact information is available through the Graduate Division office.)

6) Accreditation

Yeshiva University is accredited by the Commission of Higher Education of the Middle States Association of Colleges and Schools. The Albert Einstein College of Medicine is accredited by the Liaison Committee on Medical Education (LCME). The following are the codes registered by the New York State Education Department for the designated PhD degrees in Biomedical Sciences:

HEGIS CODE	PROGRAM CODE	DEPARTMENT NAME
0408	11028	Pathology
0409	11031	Molecular Pharmacology
0411	11034	Microbiology and Immunology
0412	11037	Anatomy and Structural Biology
0414	11039	Biochemistry
0417	11045	Cell Biology
0417	11044	Developmental and Molecular Biology
0422	11047	Molecular Genetics
0425	03774	Neuroscience
0499	15259	Physiology and Biophysics
0495	27706	PhD in Clinical Investigation
0499	33271	Systems and Computational Biology

Section II: Admission and Matriculation

The Albert Einstein College of Medicine is committed to a policy of equal opportunity and non-discrimination and encourages applications from qualified students regardless of race, color, religion, national origin, sex, age, handicap, marital status or sexual orientation within the meaning of applicable law.

7) Requirements for Admission

An applicant for enrollment in the Graduate Division must hold, at the time of matriculation, at least a Bachelor's degree from a College or University of recognized standing, or present evidence of an equivalent education. The Associate Dean and the Chair of the Graduate Admissions Committee will determine evaluation of equivalency, including qualifications of foreign applicants.

All applications to the PhD program must be submitted directly online (www.einstein.yu.edu/phd). Applicants must submit official scores for the Graduate Record Examination (GRE), taken within the past three years from the Admissions deadline (School Code 2997). Exceptions to this rule must be approved by the Program Director. If the student has also applied to the MSTP program, the MCAT scores can be used in place of the GRE, with the approval of the Chair of the Graduate Admissions Committee. Three letters of recommendation, preferably from individuals, who are familiar with the applicant's performance in the laboratory environment and can comment on the potential for a scientific career, should be submitted online following the procedures described in the online application. Details of the application procedure are described on the Graduate Division website, www.einstein.yu.edu/phd.

Applicants from countries where English is not the primary language must also take the TOEFL examination. Inquiries about these examinations should be addressed directly to the Educational Testing Service, Princeton, New Jersey, 08540. For foreign applicants, copies of the GRE and TOEFL scores, and undergraduate transcripts, may be used for the admissions process, but official scores must be provided prior to matriculation. All college transcripts from foreign institutions will be subjected to independent verification from an outside agency prior to release of an acceptance letter. The cost of this evaluation and required Department of Homeland Security visa application fees will be borne by the Graduate Division, except in the case of directly recruited students. For directly recruited students, all transcript verification and required visa application fees will be borne by the sponsoring faculty or Department.

The Graduate Division admits applicants with diverse undergraduate training. It is generally expected that applicants will have successfully completed undergraduate courses in biology, general chemistry, organic chemistry, mathematics (including calculus), and physics, with advanced courses and laboratory work in biology, chemistry and physics or have successfully completed an undergraduate engineering curriculum. A course in biochemistry is strongly recommended. Successful candidates for admission will generally have had significant bench research experience. Students lacking any of the required or recommended courses should carefully review the course curriculum of the Graduate Division and, if possible, consider completing the necessary courses in the summer preceding their matriculation.

8) Pathways to Enter the Program

There are four pathways by which students enter the Graduate Division. However, the standards and criteria for admissions are considered equivalent and once entered into the program, each student retains equivalent rights and responsibilities, subject to program policies.

First, the majority of students apply to and are accepted into the "**rotational pathway**." They participate in laboratory rotations during their first two semesters. By the end of their second semester they will declare a thesis mentor and a Department. The mentor and Department are under no obligation to accept the student. The Department of declaration is, by default, that which has been accredited by New York State to grant the PhD degree, and for which the mentor holds a primary appointment, unless it is the mutual decision of the student and mentor to choose a Department for which the mentor holds a secondary appointment. In the case of the PhD in Clinical Investigation track, the Department is designated PCI and the mentor must be a designated participant in the PCI track for which the mentor holds a primary appointment. Students who apply for the rotational pathway are typically interviewed on-site at Einstein (or on rare occasions by at least two phone interviews) and the application considered in its entirety by the Graduate Admissions Committee. A majority vote is required for recommending acceptance.

Second, a small number of students may apply to and be accepted directly into a laboratory and a Department (the "**direct pathway**"). These students will participate in at least one laboratory rotation during the first year in the program, agreed upon with their chosen thesis mentor. Students who enter the Graduate Division by this pathway should discuss the structure of their program fully with their prospective thesis mentor prior to matriculating in the program. Typically, students who enter the program by this pathway have already determined a strong affinity with the prospective mentor. *A student rejected for the rotational pathway is not eligible in the same year to enter by the direct pathway.* All applications considered for the direct pathway will include at least two phone interviews, and the application is then considered in its entirety, as above, by the Admissions Committee. A student can only be accepted into the program via the direct pathway if the prospective mentor can confirm a commitment of three years of stipend support commencing at matriculation.

Third, students may enter the Graduate Division through the **Medical Scientist Training Program**. Admission to the MSTP is entirely separate from the PhD admissions process, requiring an AMCAS application and a secondary application to the Medical School. Instructions are provided on the MSTP homepage: www.einstein.yu.edu/home/mstp. Admission to the MSTP is approved by the MSTP Director, with advisory capacity from the MSTP Steering Committee. Students rejected for the MSTP may be considered for acceptance into the PhD program, if they have indicated this preference on the secondary application. Such applications are then considered in their entirety by the Graduate Admissions Committee, including personal interviews as requested by the Program Director or Chair of the Admissions Committee. In this case, the MCAT scores can be used in place of the GRE scores, with approval of the Program Director.

Fourth, students enrolled in the Medical Degree Program of the College of Medicine may enter the Graduate Division through the "**alternate pathway**" of the MSTP. The academic policies related to the Medical Degree Program for the latter two pathways are available from the MSTP Director. Applications are available each Spring from the Graduate Division office.

9) How to Apply

All applicants apply directly to the Graduate Programs in the Biomedical Sciences, not to individual Departments. Applications for admission to the PhD program are available online from the Graduate Division website (www.einstein.yu.edu/phd) after September 1st, for entrance the following August.

In addition to the online application, applicants must submit **GRE scores** (school code 2997), **three letters of recommendation** (online only), **official transcripts** (address below) and **TOEFL scores** (for international applicants).

The Graduate Division mailing address is:

Graduate Admissions
Graduate Programs in the Biomedical Sciences
Albert Einstein College of Medicine
1300 Morris Park Avenue, Belfer 203
Bronx, NY 10461

The Graduate Division email addresses for inquires:

PhD program and PhD application queries: phd@einstein.yu.edu

MSTP program and MSTP application queries: mstp@einstein.yu.edu

It is the student's responsibility to ensure that the Graduate Division office receives all required materials by the deadline date.

Admission to the Graduate Program is contingent on completion of the undergraduate degree. Students who are admitted to the Graduate Division through the rotational and direct pathways will matriculate the following August for the Fall semester and the final under-graduate transcript showing that the Bachelor's degree has been conferred is due before matriculation.

Students wishing to transfer from another graduate program must follow the same application procedures and deadlines. **There is only one date of matriculation (Fall Semester) and students may not enter the program mid-year.**

For application to the MSTP, visit the MSTP homepage at www.einstein.yu.edu/home/mstp for instructions. Applications to the PhD program via the MSTP **Alternate Pathway** are accepted in the Graduate Division office during the Spring semester. (Information is available in the Graduate Division office.)

Section III: What to Expect: A Five Year Plan to the PhD

10) A General Guideline to the Einstein PhD

While every student will have a unique experience, it is expected that on average it will take five years to complete the PhD thesis. There is no defined time period of research that qualifies for a successful PhD, and it is not possible to guarantee a precise timeline for completion of the PhD degree. The successfully defended PhD Thesis will provide new information based on original experimental data and it is not possible to predict the twists and turns required to arrive at the eventual dissertation. It is particularly important to ensure that the doctoral research is published in the primary literature. The expectations for the successful completion of the PhD are outlined further in a later section. However, we believe that a student entering the program should have some general guidelines of expectation, and furthermore that it is possible to provide general benchmarks for students as they progress through the program. Below is a general guideline that should be considered an average path to the PhD. Again, this is not to be taken as a literal plan, but rather as a general guide of expectation.

For MSTP students the time devoted to PhD research is generally less, usually four years, due to the requirement to return to the clinical rotations in a timely manner, but again every student is different. Graduate coursework for the MSTP is integrated and coordinated with Medical School courses.

Year One: Courses and Laboratory Rotations

Graduate Courses:

During the first year, the Associate Dean and Senior Academic Advisor advise students on choosing graduate courses. (MSTP students are advised by the MSTP Director). The bulk of foundation graduate course work is taken during the first two years, typically two courses per semester. First year students are expected to complete at least three graduate courses during their first two semesters unless advised differently by the Associate Dean or MSTP Director. Any failure in coursework will be cause for review by the Academic Affairs Committee (see Section V). In the Spring semester of the first year, all PhD and MSTP students must complete the Responsible Conduct of Research course. It is mandated by the National Institutes of Health that all pre-doctoral fellows satisfy the requirement for formal training in the responsible conduct of research.

Laboratory Rotations:

Generally, it is expected that three rotations will be performed during the first year, and any exceptions must be approved by the Associate Dean. Grades will be assigned by the rotation mentor at the end of each rotation and become part of the student's academic record.

PhD Students: Rotations are not permitted beyond the end of the summer semester of the first year. Students are required to have declared and have been admitted into a thesis laboratory by the start of the fall semester in year two, unless a specific alternative plan has been developed with the approval of the Associate Dean. If a student completes four rotations in the first year and has not identified a mentor and a laboratory to declare, the student's academic record may be reviewed by the Academic Affairs Committee and the Associate Dean. Students declare a Thesis Laboratory and Department after the rotations are complete.

Directly Recruited PhD Students: One laboratory rotation is required during the first year in the program. This one-time rotation can be completed during any rotation period. If this requirement is not met, registration for the second year may be blocked, and the student may receive a grade of Unsatisfactory for the Laboratory Rotation. Any Unsatisfactory grade in

Laboratory Rotation will be cause for review by the Academic Affairs Committee. The Thesis Laboratory and Department are declared upon matriculation into the program.

MSTP Students: The laboratory rotations are generally performed during the students' first and second summer semesters in the program. Laboratory declaration occurs typically at the end of second academic year for MSTPs. Any Needs Improvement or Unsatisfactory grade in Laboratory Rotation will be cause for review by the Academic Affairs Committee.

Year Two: Initiate a Hypothesis and Generate Preliminary Data

Graduate Courses:

It is expected that the majority of coursework will be finished by the end of year two. After declaring a Thesis Laboratory and Department, students must follow the department-specific course requirements (see Appendix I.) in addition to the program course requirements.

Thesis (Laboratory) Research:

During the second year in the program, the student begins to generate preliminary data and to develop a hypothesis. It is expected that this hypothesis will change significantly during the coming years, but it is essential to develop a general framework at this time. Pilot projects and feasibility assessments may be carried out at this time, and it is appropriate to attempt risky projects that might have a high impact on the particular field of inquiry.

In the Spring of year two, students will take the Qualifying Examination. Approval for exceptions to this policy must be granted by the MSTP Program Director or the Associate Dean, who may consult with the mentor, the Advisory Committee, and/or the Academic Affairs Committee. The format of the Qualifying Examination will be described further in Section VIII.

By the end of year two, the student must have chosen an Advisory Committee (see Section VII, Parts 35 and 36) and arranged an initial meeting to discuss the hypothesis and preliminary data. *Starting in year two, and every year thereafter, it is required that each student meet at least once per academic year with the Advisory Committee.* Documentation of this meeting (Advisory Committee Report) must be submitted to the Graduate Division office immediately following the meeting. Students who have not had an Advisory Committee meeting within the last academic year will be blocked from registration in the subsequent semester.

Year Three: Develop the Thesis Aims

If necessary, additional courses are taken in the third year to finish any program and/or department-specific course requirements. However, the majority of effort should be devoted towards full-time thesis research. It is expected that the data obtained will tighten and focus the overall hypothesis. Experiments will continue to further develop the Aims, and weaker or unreliable approaches may be discarded by the end of this year, to focus effort on the strongest Aims. An Advisory Committee meeting should be scheduled to evaluate progress thus far. It is expected that manuscript drafts should begin to develop.

Year Four: Write Manuscripts and Develop Exit Strategy

This should be a time of strong research productivity. The strongest Aims that will constitute the thesis will solidify and completed manuscripts are expected to be submitted for publication in peer-reviewed journals. At the end of this year the student should develop an Exit Strategy to be approved by the Advisory Committee.

Year Five: Work Towards Publication(s) and Submission of the Dissertation

During the fifth year it is no longer appropriate to be developing Aims but rather to be finishing experiments that will facilitate publication of the doctoral research in the primary literature. By this time, the Advisory Committee should be in agreement regarding what is required for completion of the thesis. For graduation in June, it is necessary to be finished with the thesis, including the Defense, by mid-April. A student who wishes to write and defend must be in “active student” status. To march in the June graduation, all required paperwork (including the dissertation, thesis defense, and additional forms) must be submitted before the end of April—this date will be indicated on the academic calendar. Therefore, students must begin planning for the thesis defense at least six to nine months prior to the actual date. Students who plan to defend in the next academic year must attend a mandatory Thesis Workshop in September. Some students will continue into the sixth year. Permission to continue thesis research beyond the fifth year will require submission of an Exit Strategy, developed by the student in conjunction with the mentor and the Advisory Committee. This Exit Strategy will be reviewed by the Academic Affairs Committee, and requires the approval by the Associate Dean for registration in the sixth year and beyond.

Section IV: Student Information for Registration and Courses

11) Formal Residency Requirements

Matriculated students of the Graduate Division are formally defined as students accepted for PhD training who are engaged in formal courses and/or research training, totaling a minimum of twelve semester hours per semester and six Thesis Research semester hours during the Summer. All students are full-time, and therefore no employment or coursework outside of the formal Graduate Division Curriculum is permitted, except in rare instances if prior approval is given by the MSTP Director and Associate Dean. Failure to comply with this policy may lead to dismissal. There is no “part-time” status in the Graduate Division.

Fifteen (15) hours of lecture, seminar or conference per semester, or thirty (30) hours of laboratory exercises per semester, comprise one (1) semester hour. (i.e., a course given over one semester consisting of forty-five (45) hours of lecture and/or conference constitutes three (3) semester hours.) Full-time supervised research, including instruction at the laboratory bench and conference with the research advisor, is the most important educational component in the training of a research scientist. A semester of full-time supervised research is considered to be the equivalent of twelve (12) semester hours.

The residence requirement for the PhD degree consists of a minimum of three (3) years of full-time graduate studies and research. A minimum of two (2) of these three years must be spent in residence at the Albert Einstein College of Medicine.

12) Graduate Program Course Requirements

Students who entered the program Fall 2005 or prior, should adhere to the previous published policies (six or seven courses, with varying Departmental requirements; five courses for MSTP). For students who matriculated in Fall 2006 or since, the following is the course requirement policy:

All PhD and MSTP students must successfully complete the Responsible Conduct of Research course, typically in the Spring semester of the first year in the program. This is a critical course to complete as the National Institutes of Health (NIH) mandates, without exception, that all pre-doctoral fellows satisfy the requirement for formal training in the responsible conduct of research. Failure to complete this course may lead to academic probation. Any exceptions to this requirement must be approved by the Program Director or Associate Dean.

PhD Students

- Must pass a minimum of *seven (7)* graduate courses to be granted the PhD degree upon the successful defense of their thesis.
- A minimum of three of the seven courses must be “foundation courses” as defined by the Graduate Curriculum Committee. The other courses may be electives.
- A PhD student can receive “transfer of credit” for a course taken at a prior institution, if that course is deemed equivalent to a current Einstein graduate course as recommended by the current graduate course leader, (see Part 18). No more than two graduate courses can be approved for “transfer credit” and no additional credit will be

applied if student is afforded the “Master’s credit.” (In this case, only exemptions apply.)

- With approval from the Associate Dean, a student transferring into the Einstein graduate program from another graduate program may receive transfer of credit for graduate courses taken at the prior institute, noted as “transfer with advanced standing”.
- A PhD student can be exempted from a course if he/she has taken a similar course at a prior attended institution. An exempted course is **not counted** towards the completion of the “seven graduate course” requirement.
- If a student enters the program with a Master of Science or MD degree from a relevant discipline, he/she may apply for “Master’s credit.” If the request is approved, the student is required to complete five graduate courses instead of seven; at least two of the five must be foundation courses.

MSTP Students

- Must pass a minimum of five (5) graduate courses to be granted the PhD degree upon the successful defense of their thesis.
- A minimum of two of the five courses must be “foundation courses.” The other courses may be electives.
- MSTP students are **not eligible** for “transfer of credit” for courses taken at a prior attended institution, nor can they enter the program as “transfer with advanced standing.”
- An MSTP student can be exempted from a course if he/she has taken a similar course at a prior attended institution. An exempted course is **not counted** towards the completion of the “five graduate course” requirement.
- If a student enters the program with a Master of Science from a relevant discipline, he/she may apply for “Master’s credit.” If the request is approved, the student is required to complete three graduate courses instead of five; at least one of the three must be a foundation course at the recommendation of the MSTP Director. Student must present appropriate documentation.

No transfer of credit will be granted if a student is afforded Master’s credit. However, if a student transfers to the Einstein PhD program from another accredited doctoral program, additional courses may be approved for transfer credit.

“**Foundation Courses**”: Currently, the approved “foundation courses” are designated by the Graduate Curriculum Committee, upon approval by the Graduate Committee and are subject to change based on periodic evaluations. The current list of foundation courses may be found on the Graduate Division website at <http://www.einstein.yu.edu/phd/index.asp?registration>.

All graduate courses that are not designated “foundation” are designated as “electives.”

Departments may strongly recommend additional courses (see Appendix I). Candidates for the PhD degree must fulfill the academic requirements of the Department in addition to having fulfilled the conditions and requirements of the Division, as set forth in these guidelines.

13) Department-Specific Course Requirements

See Appendix I.

14) Registration

The Graduate Division operates on the semester system. A detailed Academic Calendar which announces the registration dates is posted each year on the Graduate Division website <http://www.einstein.yu.edu/phd/index.asp?registration>.

Typically, the Fall semester begins in late August and ends in late December, the Spring semester begins in mid-January and ends in late May, and the Summer semester runs from June to August (this period is used for fulltime Thesis Research or Laboratory Rotations). **Every student must register online for each semester (Fall, Spring, and Summer)**, even those who are not taking any graduate courses. If no courses are taken, the student will be registering only for Thesis Research.

If a student has successfully completed the Thesis Defense, but has not yet submitted all the final required forms prior to the start of the next semester, the student must register for Thesis Research for that semester. It is every student's responsibility to register each semester according to the published registration deadline in the Academic Calendar.

Students not registered by this published date will be considered as non-matriculantes. Failure to register can also lead to dismissal from the program. The Associate Dean or MSTP Director can grant deferred registration, but a request should be made prior to the registration deadline.

Registration requires the Banner ID and a password, which are distributed to each student in the beginning of the first year and should be kept in a safe and confidential manner. As a reminder, registration instructions are emailed to all students prior to each registration period, but students are responsible for registering before the deadline even if this email message is for some reason not received.

First Year Students: Registration for first year students is coordinated with advisory sessions as part of the new student orientation. After the first year, students register online three (3) times during the academic year (for Fall, Spring and Summer). Please refer to the Academic Calendar for the exact dates for each semester. Students beyond the first year are expected to seek out advice on course selection from the Associate Dean, Program Directors, Advisory Committee, and mentor.

It is every student's responsibility to register each term, unless on pre-approved Leave. Failure to do so could jeopardize a student's status in the program.

15) Course Withdrawal

During the Add/Drop period of each semester, as published in the Academic Calendar, a student may add or drop any course without penalty or notation on the transcript. First year students must have the written approval of the Program Director or Associate Dean prior to adding or dropping a course. Students in the second year or above may add or drop a course using the online system. After the official Add/Drop period, a request for withdrawal from a course *must be made prior to mid-semester* and requires the completion with appropriate signatures of a Course Withdrawal Form. Students who

withdraw prior to mid-semester are given the grade of Withdrew (W). Withdrawal from a course following mid-semester will result in a grade of Fail (F) for the course. For courses of less than a full semester's duration, the withdrawal deadline will be when half of the scheduled lectures have been presented.

16) Registration in Courses Offered at Other Institutions

Graduate students who wish to take courses which are not offered at Einstein should present their request to the Associate Dean, in writing, after discussion with the mentor and Program Director. The Program Director must present a written request to the Associate Dean and certify that the course is directly relevant to the student's graduate training goals. This must be approved in a timely manner before the student may register for the course. If a student has been admitted to a thesis laboratory, the mentor must also certify that he or she is aware that the student will be enrolled in a course at another institution. Credit for courses offered at other institutions is granted only with the approval of the Associate Dean. Students may not take more than one course per semester outside the College and each course taken must be relevant to the student's thesis project. Requests for financial support for tuition at outside institutions will be reviewed by the Program Director and Associate Dean. Approval of requests will be subject to the availability of funds specifically designated for this purpose.

Registration for courses outside the College of Medicine is the sole responsibility of the student in accordance with the procedures of the other institution. It is also the responsibility of the student to have an academic transcript sent from the other institution directly to the Graduate Division office. Credit for the course will be granted only upon receipt of the official transcript from the institution where the course was completed. The course number, title, semester-hour equivalents, course grade and the name of the institution will be entered on the student's Graduate Division transcript as a transfer course subsequent to successful completion of the course.

The maximum number of graduate courses that can be taken outside the College of Medicine and funded by the Graduate Division is limited to two per student. No more than two outside courses may be used toward satisfying the requirement of graduate courses.

See also Part 19: Transfer of Credit for Courses Taken at Outside Institutions While Currently Enrolled in the Graduate Division.

17) Registration in Courses Offered by Other Einstein Programs

Students interested in taking courses in other Einstein degree programs may do so as non-matriculated, non-degree students of that program. Students are not eligible to matriculate in any other Einstein or Yeshiva University Master's degree or certificate program while enrolled (in active-student status) in the Graduate Division or MSTP program.

18) Transfer Credit and Exemption

Transfer Credit:

Students may be granted credit for graduate courses if they have successfully completed similar graduate courses in their previous training. The determination of equivalency of graduate level courses taken at other institutions (including courses taken at foreign institutions) will be decided by the Associate Dean or Program Director, who acts upon the recommendation of the faculty member who is the current leader of the course for which equivalency and/or academic credit is being sought. The student must present the syllabus and related course information, as well as evidence of successful completion of exams and course requirements (official grade) in order for the course leader to determine equivalency. The course leader may then recommend “transfer credit,” in which case, the credit is applied toward the PhD degree and this is indicated on the student transcript.

Students may receive transfer credit for no more than two graduate courses. Transfer credit is not available to MSTP students nor is it available to students, who previously received Master’s credit. However, if a student transfers to the Einstein PhD program from another accredited doctoral program, additional courses may be approved for transfer credit. (See Part 20: Master’s Credit)

Course Exemption:

Alternatively, the course leader may recommend “exemption” in which case the exempted course does not count toward the total number of required courses; no credit is given for course exemption and another course should be taken in its place. However, an exempted course may fulfill a program or Department-specific requirement (for example, Graduate Biochemistry), count towards satisfying both the program requirements as a foundation course, and a department-specific requirement). The Associate Dean or Program Director must approve transfer credit or exemption.

19) Transfer of Credit for Courses Taken at Outside Institutions While Currently Enrolled in the Graduate Division

A student wishing to take a course at an outside institution while currently enrolled in the Graduate Division must receive permission from the Associate Dean and complete the necessary form. The course must be relevant to the student’s graduate training. In order to receive credit, the student must submit to the Graduate Division office an official transcript from the outside institution showing successful completion of the course. Please note: the maximum number of graduate courses that can be taken outside the College of Medicine and funded by the Graduate Division is limited to two courses per student; no more than two outside courses may be used toward satisfying the requirement of graduate courses.

20) Master’s Credit

If an MSTP student enters the program with a Master of Science from a relevant discipline, or if a PhD student enters the program with an MS or MD degree from a relevant discipline, he/she may apply for “Master’s credit.” If the request is approved, the student can take two courses less than usually required. In other words, an MSTP student is required to take at least three graduate courses instead of five (at least one of which is a foundation course), and a PhD student is required to take at least five graduate courses instead of seven (at least two of which must be foundation). Students should apply for Master’s credit within their first two years of matriculation into the program by submitting the Review of Prior Master’s Degree Form with appropriate documentation.

No transfer of credit will be granted if a student is afforded Master's credit. However, if a student transfers to the Einstein PhD program from another accredited doctoral program, additional courses may be approved for transfer credit.

21) Auditing a Course

Students may, in the second year or above, audit a course with the permission of the course leader. First year students may not audit a course without permission from the Associate Dean or MSTP Director. Audited courses may not be used for credit. A completed Audit Registration Form is required to audit a graduate course. This form is available in the Graduate Division office.

When auditing a course, please be advised of the following:

- Final date to register for “audit” is the last day of the Add/Drop period as indicated on the Graduate Division’s Academic Calendar. No admittance to the course can be made after this date.
- Change of status from “audit” to “registered for credit” can only be made during the Add/Drop period.
- First year students may not audit a course without permission from the Associate Dean for Graduate Programs or the MSTP Director.
- No credit or grade will be granted for auditing a graduate course.
- Audited courses cannot be used to fulfill departmental course requirements.
- Students cannot audit a course in which they received a failing grade in a prior semester.
- Students may audit only one course per semester.

Non-matriculated individuals may also audit a course for which no credit will be earned. (See below, Non-Matriculated Students)

22) Completion of Thesis Research at Another Institution

Under unusual circumstances, it may be necessary for a student to complete the thesis research at another institution. This may occur, for example, if an Einstein faculty member relocates. Only students who have passed the Qualifying Examination may request permission of the Associate Dean or MSTP Director to complete their thesis research at another institution and still obtain the PhD degree from the Albert Einstein College of Medicine. The two year residency requirement must in any case be met. The request to complete thesis research at another institution must be approved in advance by the Associate Dean for Graduate Programs. The Graduate Division assumes no financial obligation for the student completing thesis research at another institution.

In order to remain in good academic standing, a student who is completing thesis research at another institution must fulfill the following requirements:

- 1) The student must have fulfilled the residency requirement described above;
- 2) The student must submit the appropriate form with required signatures and a letter from the Department Chair to the Associate Dean granting permission to complete the thesis research off-campus;

- 3) The student must confer with the Advisory Committee at least twice every year (either on campus or by a telephone conference call) and submit an Advisory Committee report of the conference to the Department and Graduate Division office;

The student must register online each semester (Fall, Spring, and Summer), observing all the registration deadlines published in the Academic Calendar by the Graduate Division.

23) Non-matriculated Students

Non-matriculated students are those affiliated with Einstein who are not candidates for a degree in the Graduate Division. These students may register for graduate courses and receive official credit for courses taken. This group may include medical students, post-doctoral fellows, physicians in post-doctoral or residency training in Einstein affiliated hospitals, students from other colleges of Yeshiva University or colleges with which the Graduate Division or Medical School has established a formal relationship, as well as qualified employees of the College of Medicine. Some courses may have size limitations that preclude registration by non-matriculated students. A completed Non-Matriculated Registration Form must be submitted to the Graduate Division and requires approval from the Assistant Director. The student is responsible for supplying documentation that all prerequisites are met if such documentation is requested by either the course leader or the Program Director. Non-matriculated students who register for graduate courses are considered to have equivalent status (within the course) as graduate students and are responsible for fulfilling all course requirements including examinations, papers, and presentations. Non-matriculated students must adhere to all official course deadlines including withdrawal dates as published in the Academic Calendar. Non-matriculated students who withdraw after the Add/Drop period and prior to mid-semester are given the grade of Withdrew (W). Withdrawing from a course after mid-semester will result in a grade of Fail (F) for the course. The results of a graduate course will be recorded on an official transcript by the Graduate Division office, whether the course grade is Honors, Pass, Fail, Withdrew, or Incomplete.

When taking a course as a non-matriculated student, please be advised of the following:

- Final date to register as a non-matriculated student is the last day of the Add/Drop period. No admittance to the course can be made after this date.
- Non-matriculated students may register for only one course per semester
- An Einstein email account and an Einstein ID are required to register
- Please view Course Withdrawal (see Part 15) on guidelines for withdrawing from a course

A non-matriculated student may also audit a course for which no credit will be given and must follow the same instructions for course auditing (see Part 21).

24) Research Trainee

Students who are matriculated in good standing in a graduate program at another accredited institution may be granted special status as research trainees. This may occur, for example, if a faculty member from another institution relocates to Einstein. The student and faculty host must submit the appropriate forms to the Office of Academic Appointments. The Graduate Division makes no financial commitment to research trainees. Housing in the student residences during the term of research training must be negotiated with the Housing Manager and is subject to availability.

Research trainees are not candidates for a degree in the Einstein Graduate Division but can receive official credit for courses taken as a non-matriculated student. Research trainees wishing to matriculate into the Einstein PhD program must apply in the same manner as all other applicants to the Graduate Division (see Section II).

25) Official Transcripts

Course and grade records will be maintained for every student in the form of a permanent transcript. The College has formulated its Student Record Policy to guarantee the rights of privacy and access as provided by the **Family Education Rights and Privacy Act of 1974 (see Appendix V)**. This policy is consistent with policies of Yeshiva University and applies to all students. Students may review their academic record and transcript online (using the BANNER system) at any time. Students who wish to obtain an official copy of their transcript may do so upon written request (via a Transcript Request Form) to the Registrar of the Graduate Division.

Section V: Student Evaluation and Academic Standards

26) Academic Standards

Generally

Students are expected to familiarize themselves and to comply with the rules of conduct, academic regulations and established practices of the Graduate Division and the College of Medicine. The admission of a student, his/her continuation in good standing, the receipt of academic credits, graduation, and the conferring of any degree are entirely subject to the disciplinary powers of the Graduate Division and the College and to the student's maintenance of high standards of ethical, professional, and scholarly conduct. The Associate Dean, on the recommendation of the Program Director, a Department Chair, or the Academic Affairs Committee, may dismiss any student who is considered to be unfit for matriculation in the Graduate Division or for infringement of these policies and standards.

Plagiarism

Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. All documents prepared as part of a student's academic or research activities must be free of plagiarism. This includes but is not limited to written examinations in classes, Qualifying Exam proposals, thesis proposals, fellowship applications, manuscripts, reports to the Advisory Committee and Academic Affairs Committee, and the PhD thesis.

For in-class or take-home examinations in graduate courses, unless otherwise clearly stated in the instructions for the particular examination, it is fully expected that the student will work alone and without any assistance from other students or sources.

27) Grading

Students should be aware that grades comprise only a part of the overall evaluation of research performance. Written and verbal evaluations from a student's mentor and Advisory Committee are also considered.

Student graduate course grades are entered online by the faculty course leader and student thesis research grades are entered online by the students' primary mentor.

Examinations in Graduate Courses:

In-class or take-home examinations are an integral part of the evaluation process for most graduate courses. Unless otherwise clearly stated in the instructions for the particular examination, it is fully expected that the student will work alone and without any assistance from other students or sources. Evidence of cheating or plagiarism can be used by the course leader as justification for giving a failing grade.

In the event of suspected cheating and plagiarism, the course leader must immediately provide the Associate Dean of Graduate Education with a complete written report of the incident and evidence of cheating or plagiarism for review by the Academic Affairs Committee.

Graduate Course Grades:

Students enrolled in graduate courses for credit will receive a grade of *Honors* (H), *Pass* (P), *Incomplete* (I) or *Fail* (F). Grades are submitted online by the course leader.

A grade of *Incomplete* may be given to a student if, in the judgment of the course leader, the course requirements have not been met, but there is every expectation that the student can fulfill the course requirements in the allotted time. In this instance, the course leader will stipulate the requirements for course completion. The student must then satisfy all course requirements no later than one (1) month from the end date of the semester in which the course is offered, unless other arrangements have been made and approved by the Associate Dean. Such arrangements must be in writing, signed by the student and course leader, and submitted to the Graduate Division office. It is the responsibility of the student to make sure that all grades of *Incomplete* are resolved in a timely manner. In the event that these requirements are not met, the *Incomplete* will be converted to a grade of *Fail*.

Thesis Research and Laboratory Rotation Grades:

Students will also be given a grade each term for either Laboratory Rotation (first year rotations) or Thesis Research. This grade is tendered by the faculty mentor of each laboratory rotation or by the mentor of the student's thesis laboratory. Grades will be a *Satisfactory* (S), *Needs Improvement* (NI), or *Unsatisfactory* (U). Students who change thesis laboratories during the semester will receive an automatic grade of *Transfer* (T), indicating the change in laboratory.

Appeal of a Grade:

Any appeal regarding a grade must be made by the student to the course leader prior to the start of the next semester.

Special Accommodations:

Students requiring special accommodations in either time or nature of exams and other required work must present appropriate documentation to the Office of Academic Support and Counseling (OASC). The documents will be reviewed and, if approved, notification will be sent to the Graduate Division office. The student and course leader(s) will then be notified by the Graduate Division office.

28) Failure of a Graduate Course

No credit is granted for courses with a grade of *Fail*. **Students will be placed on academic probation** by the Academic Affairs Committee (AAC) for failing a graduate course. After a course failure, a student may repeat the course a single time. Graduate courses may not be repeated more than once. When a student successfully completes a course that was retaken, the course entry for the original failure will not appear on the student's official transcript. In other words, the F will be expunged. If a grade of *Fail* is not superseded by a grade of *Pass*, the course may not be used to fulfill Department or Graduate Division requirements. Course leaders, at their discretion, may limit the possible grades to *Pass* and *Fail* for students who are repeating a course.

29) Unsatisfactory Laboratory Rotation or Thesis Research

Thesis Research and Laboratory Rotation research grades will be designated as *Satisfactory* (S), *Needs Improvement* (NI) or *Unsatisfactory* (U). No other grade designations will be entered onto the transcript for Thesis Research/Laboratory Rotation. Upon receipt of a grade of *Needs Improvement* or *Unsatisfactory*, a student may be asked by the Academic Affairs Committee to meet with his or her

Advisory Committee and mentor and then present a plan to the Academic Affairs Committee detailing steps by which the unacceptable academic performance will be corrected. **A student may be placed on academic probation** by the AAC if a grade of *Needs Improvement* or *Unsatisfactory* is received for Thesis Research or Laboratory Rotation.

30) Academic Affairs Committee and Probation

Composition of the Committee:

The Academic Affairs Committee (AAC) consists of a representative from each of the Basic Science Departments, and the PCI. It also includes the faculty member who is the Senior Academic Advisor for the Graduate Division, and the Director of the Medical Scientist Training Program (MSTP). Each member typically serves two to three years, at the discretion of the relevant Department Chair. A list of current members of the AAC is available from the Graduate Division office. The Chair of the AAC is chosen by the Associate Dean for Graduate Programs. The Associate Dean, MSTP Director, Director of the Graduate Division, and Assistant Director of the Graduate Division are ex-officio, non-voting members of the AAC. Recommendations are decided by majority vote. At least six voting members must be present to constitute a quorum. The Chair of the AAC, with the approval of the Associate Dean, may invite other members of the faculty of the Graduate Division to participate as non-voting members of the AAC.

Charge of the Committee:

The Academic Affairs Committee monitors the academic progress of all graduate students with active status in the program, including MSTP students in the PhD phase. The Committee reviews the full academic standing including all courses, rotational evaluations, Thesis Research/Laboratory Rotation grades, Qualifying Exam and Thesis Defense grades and comments. The AAC informs the student, the student's mentor, and the Department Chair of any academic problems and is available to work with the Student Advisory and Department Committees (and the MSTP Steering Committee for MSTP students) to ensure that students progress in a timely fashion towards the PhD degree. Students who are having academic problems may be temporarily blocked ("registrar's hold") from registration the following semester. Release of this temporary registrar's hold requires approval of the Associate Dean following a meeting(s) with relevant faculty members.

The Academic Affairs Committee will ensure that the academic policies of the Graduate Division, and those of the individual departments, are applied in evaluating students' progress. The AAC reviews matters regarding unethical or unprofessional behavior upon request by the Associate Dean or MSTP Director. Matters related to unethical or unprofessional behavior that are not related to academics should be brought to the attention of the Associate Dean, who will make a determination of whether the Academic Affairs Committee or other administrative staff (Department Chair, Office of the Dean of Students, Safety, etc.) should be consulted.

The Academic Affairs Committee also reviews the academic record of students in the program five years or longer, for which the AAC may request the student and the mentor to provide a written Exit Strategy detailing the steps the student will take to ensure timely completion of the PhD degree.

In addition, the Academic Affairs Committee monitors the progress of any student previously placed on academic probation, until that status is relieved.

Academic Probation:

A student may be placed on academic probation by the Academic Affairs Committee for any of the following reasons (but not limited to):

- Upon receiving a grade of *Fail* in a graduate course
- Upon receiving an *Incomplete* in one or more graduate courses in an academic year
- Upon receiving *Incomplete* twice in the Responsible Conduct of Research course
- Upon receiving a *Needs Improvement* or *Unsatisfactory* grade in Laboratory Rotation or Thesis Research
- Failure of the Qualifying Exam
- Failure of the Thesis Defense
- Plagiarism
- For participation in actions that are not commensurate with high standards of ethical and professional scholarly conduct (see below, Standards of Ethical and Scholarly Conduct)

What Happens When a Student is placed on Academic Probation:

If a student is placed on academic probation, the Chair of the Academic Affairs Committee will issue a letter to the student (copied to the student's mentor, Department Chair and MSTP Director-if the student is an MSTP) notifying them of their probationary status and indicating the steps necessary to regain good academic standing. For students in the second year and beyond, the AAC may ask for a specific plan of action from the student, mentor, and Department Chair. The student's progress will continue to be monitored by the AAC. When a student is on academic probation, the student, mentor and Department Chair (or designate), may be invited to participate in meetings of the AAC at which the student's progress and plan of action will be discussed. First year students on academic probation may enter a thesis laboratory only with the approval of the Associate Dean for Graduate Programs or the MSTP Director.

Students on academic probation may be blocked ("registrar's hold") from registration the following semester. Release of the temporary registrar's hold requires approval of the Associate Dean (or MSTP Director) following a meeting(s) with relevant faculty members.

Students on academic probation whose performance is not improving may be granted an Academic Leave of Absence, may elect to withdraw completely from the Graduate Program, or may be dismissed from the Graduate Division.

Removal from Academic Probation:

When the student on academic probation has satisfied the written requirements of the Academic Affairs Committee, the student will be considered to have regained "good" academic standing, as documented by a written letter from the Chair of the AAC following a Committee review.

Standards of Ethical and Scholarly Conduct:

The Associate Dean may ask for recommendation from the Academic Affairs Committee to place a student on academic probation for participating in actions that are not commensurate with the high standards of ethical and scholarly conduct. According to the By Laws, the AAC reserves the right to consult the Einstein Committee on Promotions and Professional Standards in cases it perceives would benefit from objective review. If asked by the Associate Dean or the AAC, the Einstein Committee on Promotions and Professional Standards will review the case and present recommendations to the AAC, which may then act with or against those recommendations.

31) Change of Laboratory, or Dismissal from a Laboratory/Department

If a student wishes to change his or her thesis laboratory, or a mentor seeks to dismiss a student from the laboratory, the student or mentor seeking a change in status should contact the Chair of the Department and the Associate Dean for Graduate Programs or MSTP Director. The Chair should confirm that both the student and mentor are aware of pending action.

When a student-mentor relationship is not working, there are several ways to resolve the problem. It is primarily the responsibility of the Department Chair to make an attempt at resolving the issue. It is recommended that the Chair arrange (or designate) a Department Graduate Committee to meet with the student and mentor to help determine potential solutions to the conflict (for example, specific expectations on both sides that should be attained) and a timetable for any trial period (recommended one to three months) during which time the situation can be monitored by the Department Graduate Committee. If a trial period is agreed upon, then at the end, the student and mentor should meet with the Department Chair to report on the success or failure of the trial. The Chair will provide a written recommendation to the Associate Dean or MSTP Director indicating if a change in laboratory or dismissal from the Department is warranted.

In the case of a **change of laboratory**, the student must receive approval from the Associate Dean. Once approved, a Change of Laboratory Form must be completed with all the required signatures and submitted to the Graduate Division office with an OSHA form. These forms can be found on the Graduate Division website (www.einstein.yu.edu/phd). The student will receive a grade of *Transfer* (T) for Thesis Research under the former mentor for the semester in which the change of laboratory occurred.

In the case of a **dismissal from the laboratory**, the student may appeal to the Academic Affairs Committee to be allowed a limited period of time (up to a maximum of three (3) months) to identify another mentor for transfer; the student must declare a new thesis laboratory within three months. The Associate Dean must approve any change of laboratory, but is under no obligation to do so. If an appropriate mentor cannot be identified within the three-month time period, the student may choose to withdraw or may be dismissed from the PhD program. The Graduate Division makes no commitment to the student beyond the three-month period.

32) Suspension or Dismissal from the Program

Suspension

In the case of a serious breach of ethical or professional conduct, or in the case of serious concern for the health or safety of a student or any other person or Einstein facility, the Associate Dean may, upon consultation with those Program Directors, mentors, and Einstein officials deemed appropriate and informed, suspend a student immediately, pending further consideration by the appropriate and informed administrative staff, wherein a recommendation can be made for subsequent return to status, return to leave, or dismissal from the program.

Dismissal

The Academic Affairs Committee, Program Directors, and Associate Dean will consider all aspects of a student's performance in evaluating his or her continued matriculation in the Graduate Division. Recommendation for dismissal from the PhD program can be made by a Department Chair or the Academic Affairs Committee, but only the Associate Dean may dismiss a student from the Graduate Division. In the case that an MSTP student is dismissed from the PhD program, the student file is referred to the Associate Dean of Student Affairs of the Medical School for further consideration.

Grounds for considering dismissal from the Graduate Division include, but not limited to:

- 1) Failure of one or more graduate courses,
- 2) Failure of a repeated graduate course,
- 3) Failure of a required Department course, subject to the recommendation of the appropriate Department Chair,
- 4) Failure of the Qualifying Examination (either on the first or second taking of the Exam),
- 5) Failure to declare a thesis laboratory after four rotations in the first year,
- 6) An *Unsatisfactory* grade in Thesis Research or Laboratory Rotation,
- 7) Repeated *Needs Improvement* grades in Thesis Research or Laboratory Rotation,
- 8) Failure of a Thesis Defense Examination,
- 9) Failure to re-matriculate following expiration of a Leave of Absence, or
- 10) Participation in actions that are not commensurate with high standards of ethical or professional scholarly conduct.

Appeal of Dismissal:

A student may appeal in writing a decision of the Associate Dean for dismissal to the Dean of the Medical School. A student may be advised by a person from the College of Medicine in the preparation of an appeal. The Dean will consider the appeal and either sustain, modify or reverse the decision of the Associate Dean. The Dean's determination of the issues shall be final. Appeals must be communicated, in writing, to the Dean within fifteen days of the date of the communication of the decision for dismissal by the Associate Dean to the student.

33) Withdrawal from the Program

A student who decides not to return at the beginning of any semester or who chooses to discontinue graduate work for any reason during the academic year may be granted withdrawal from the Graduate Division by the Associate Dean. The student must submit a Withdrawal Form to the Graduate Division office. The appropriate form is available on the Graduate Division website (www.einstein.yu.edu/phd).

Health Benefits and Housing following a Program Withdrawal

Health insurance benefits will continue for thirty (30) days from the effective date of withdrawal, although it is important for the student to contact the Benefits Office prior to or immediately after withdrawing from the program. A student who withdraws from the program must vacate housing within thirty (30) days.

Return to the Graduate Division after a Withdrawal

Should the student desire to return to the Graduate Division following a withdrawal, he or she may apply for re-admission in the same manner as all other applicants (see Section II). As all prior academic progress will be reviewed by the Graduate Admissions Committee, readmission to the PhD program is by no means guaranteed. If the student is readmitted, advanced standing may be granted following review by the Associate Dean.

Section VI: Choosing a Laboratory and an Advisory Committee

34) Laboratory Rotations

General Information:

All graduate students participate in laboratory rotations. Students are expected to participate in a series of three (3) laboratory rotations within the first year in the program. Rotation mentors must have an appointment in a Basic Science Department or be a designated mentor of the PhD in Clinical Investigation (PCI). These rotations are intended to provide the student with exposure to the breadth of research in the biomedical sciences, the opportunity to acquire technical expertise, and the experience necessary to make an informed choice of the laboratory in which they wish to conduct their thesis research. The start and end dates for each of the rotations are published annually in the Academic Calendar of the Graduate Division. Students are expected to fully participate in the research activities of the laboratories in which they rotate and to seriously apply themselves to their laboratory work. However, it is essential that the student appropriately balance time commitments between course and laboratory work. Course work takes precedence over laboratory rotation work, if the student is struggling academically.

PhD Students

Students have the opportunity to familiarize themselves with the research opportunities available in the Graduate Division during the Orientation Program in the first few weeks of the Fall semester. All students are required to attend all functions of the Orientation Program. During this period, students meet with prospective laboratory mentors and choose one for the first rotation. Laboratory heads are not obligated to accept a student for a rotation, and should only do so if there is the potential for the student to carry out the long-term thesis research. Only the first rotation is chosen at this time, although students may make provisional plans for subsequent rotations. It is the responsibility of the student to confirm or retract any provisional commitments to a laboratory rotation, at the earliest possible time. The choice of each laboratory rotation must be approved by the Associate Dean via submission to the Graduate Division office of the Rotation Registration Form available on the Graduate Division website: www.einstein.yu.edu/phd.

At the end of the rotation period, the rotation faculty mentors will submit to the Graduate Division office a Rotation Evaluation Form evaluating the student's performance during the rotation. A grade of Satisfactory (S), Needs Improvement (NI) or Unsatisfactory (U) for the rotation will be given by the rotation mentor and the grade will appear on the student's graduate transcript. It is expected that student and mentor will discuss this evaluation; both student and mentor's signatures are required on the Evaluation Form. This evaluation may be reviewed by the Academic Affairs Committee.

Under unusual circumstances, the requirement for one or more laboratory rotations may be waived with the approval of the Associate Dean.

PhD Students (Directly Recruited)

A few students may enter the program via the "direct pathway" (see Section II, Part 8). These students are required to participate in at least one rotation in a laboratory other than the chosen thesis laboratory. This rotation is considered an important educational experience and will familiarize the student with the breadth of research at the College. The rotation can be performed in any laboratory in any of the Basic Science Departments of the Graduate Division, during any of the three rotation

periods. The rotation laboratory is chosen in consultation with the thesis mentor, and will often allow specialized relevant training outside of the thesis laboratory. Students will be evaluated after the one-time rotation. The Rotation Evaluation form can be found at on the Graduate Division website www.einstein.yu.edu/phd. This rotation is mandatory and must be carried out during the first year in the program. If this requirement is not met, the student will receive a grade of *Unsatisfactory* (U) for Laboratory Rotation, and their academic record reviewed by the Academic Affairs Committee.

MSTP Students

Students entering the program by the MSTP pathway typically choose two to three rotations which are performed during the summer months of the first and second year. The purpose and requirements of these rotations are the same as mentioned in the requirement for PhD students, and the choices must be approved by the MSTP Director via submission of a Rotation Registration Form.

Research laboratories generally sponsor only one PhD or MSTP student for any given rotation period. However, there are times when sponsoring two students is unavoidable due to scheduling constraints, and this may be allowed if approved by the Program Director. Students may not conduct two separate rotations in the same laboratory. Students are absolutely required to complete at least two rotations before entering a thesis laboratory; any decision to not carry out the third rotation requires explicit approval of the Program Director.

35) Declaration of the Thesis Laboratory

Students are expected to declare a thesis laboratory at the end of the Spring semester of their first year in the program (end of second year for MSTPs). Under exceptional circumstances, and only with the prior permission of the Associate Dean or MSTP Director, students may rotate in an additional laboratory during the summer (“4th rotation”) prior to entering a thesis laboratory. In any event, all graduate students must enter a laboratory prior to the beginning of their second year (third year for MSTPs). Failure to do so may result in dismissal from the program.

In declaring a thesis laboratory, the **primary thesis mentor** must hold an appointment, at the level of Assistant Professor or above, in one of the Basic Science Departments, or be a designated mentor in the PhD in Clinical Investigation (PCI). Adjunct faculty members are not eligible to serve as thesis mentors to graduate students. If the mentor has both primary and secondary appointments in Basic Science Departments, the student is expected by default to enter the Department of the primary appointment, but may choose to enter the Department of secondary appointment due to the nature of the thesis topic upon recommendation of the mentor, and approval of the Associate Dean or MSTP Director.

The student must submit a Thesis Laboratory and Department Declaration Form to the Graduate Division office. This form requires the signatures of the declared thesis mentor, the declared department administrator and Chair, the Program Director and Associate Dean.

Co-mentorship

In some cases, it may be appropriate for a student to declare “co-mentors” at the time of laboratory declaration, as for example, collaborative projects which are equally shared between two laboratories. The following guidelines apply to co-mentorship:

- Students must designate one mentor as the “primary” mentor and the other mentor as the “co-mentor.” The co-mentor should also have an appointment as an Assistant Professor or higher

in a Basic Science department or the PCI. The student will be considered to have declared in the Department of the primary mentor.

- Both mentors must sign the student's Thesis upon time of defense and graduation.
- Neither mentor can participate as part of the examining committee for either the student's Qualifying Exam or Thesis Defense.
- The student's Advisory Committee must include other faculty in addition to the co-mentors.
- Project development responsibility will be assumed by both mentors.
- Regular meetings between the student and co-mentors are strongly recommended.

Associate Mentor

There may be instances where a student's primary mentor goes on sabbatical. In such instances, the student and the primary mentor should designate another Basic Science faculty member to serve as an associate mentor to the student while the primary mentor is away. The associate mentor is expected to give the student hands-on advice in matters relating to the student's laboratory research. During the sabbatical, the primary mentor should periodically check in with the associate mentor to discuss the student's progress in the lab. The student's thesis research grade will be submitted by the primary mentor during the period of sabbatical.

36) The Student Advisory Committee

Purpose of the Advisory Committee

The purpose of the Advisory Committee is to provide critical feedback on the research plan, to assess experimental progress, and to advise the student when to write/defend the Thesis Dissertation. (*A student who wishes to write and defend must be in "active student" status.*) The Advisory Committee is charged with aiding the student in moving efficiently towards the PhD degree, while at the same time maximizing the significance and impact of the thesis research. Some Advisory Committees may request periodic one to two page progress reports from the student prior to or after the Advisory Committee meeting or may even request several meeting per year.

Frequency of meetings with Advisory Committee

- Starting in the second year and every year thereafter, *it is required that each student meet at least once every twelve (12) months with the Advisory Committee.*
- *Students who have completed four or more years in the program must meet with the Advisory Committee every six months.*
- Students may be requested by the Advisory Committee and/or the Academic Affairs Committee to meet with their Advisory Committee more frequently.

Immediately after each Advisory Committee meeting, students must submit to the Graduate Division office the Advisory Committee Summary Report Form.

Students who do not meet their Advisory Committee meeting requirement(s) will be blocked from online registration in the succeeding semester. Release of this registrar's hold and continuation in the PhD program requires approval of the Associate Dean for Graduate Programs.

Composition of the Advisory Committee

The Student Advisory Committee consists of several (typically two to four) faculty members, in addition to the student's faculty mentor. The Committee members usually are faculty of the Graduate Division, but in some cases may be from other Departments (including clinical departments) or even outside institutions. **At least one member of the Advisory Committee must be a senior faculty member (Associate Professor or Professor), who has successfully mentored one or more graduate students to successful completion of the Thesis.**

Students should choose members whom they can trust to provide honest advice and critiques. Ideally, the Advisory Committee should consist of scientists who are able to comment on the student's Aims and can suggest if an Aim does not sound feasible or if an approach seems too risky or unlikely to yield significant results. Each member should be capable of providing cogent, timely, and relevant feedback about the student's project. It is not essential that all members be expert in the field, but it helps to find at least one.

The mentor and student may ask one member of the Advisory Committee to serve as the Chair. This faculty member does not have to be in the same department as the student and mentor. Typically, the mentor is not the Chair.

Students are strongly encouraged to get to know the Advisory Committee members. If the members are truly familiar with the student and the work, they can provide useful letters of recommendation. The Committee plays an important role in guiding the student through the academic program and must meet with the student at least once each academic year, starting in the second year, and as frequently as needed by the student to obtain direction.

The student in consultation with the mentor may change the composition of the Advisory Committee at any time. The composition of the Student Advisory Committee is meant to be dynamic and may go through several changes during the time a student progresses to the Dissertation.

A Typical Advisory Committee Meeting

In preparation for the Meeting:

There are **two general rules** to consider regarding preparation for an Advisory Committee Meeting:

- 1) **The hardest part of the meeting is getting it scheduled.**
Start early and present the faculty members with several options (date and time) to find a compatible fit with everyone's schedule. Remember to include your mentor in this deliberation. Once a feasible time is arranged, be certain to confirm this immediately with all members. Schedules fill quickly and if you delay to confirm, someone will inevitably fill in a conflict. Remember that you will need to book a suitable conference room and A/V equipment as necessary.
- 2) **The meeting always takes longer than anticipated.**
Plan for a thirty to forty-minute meeting, expecting it may take an hour. If you expect a very long meeting (over an hour), be sure that the faculty members are informed initially of the time commitment. It is usually to your advantage to schedule one short meeting every six months, rather than one long meeting each year, but this will obviously depend on your needs.

There are **three common misconceptions** on the part of students (and sometimes faculty) with respect to Advisory Committee meetings. *Note:*

- 1) *The meeting is NOT an examination or qualification of the student's achievements.*
The student is seeking advice and input, not a grade or benchmark approval. Therefore, the student should not wait for "good data" before scheduling a meeting. While it is true that the Advisory Committee will comment on the student's progress, the student's goal is not to gain a high mark in this regard, but rather to confirm (or not) the significance of the goals, achieve focus on the approaches, develop consensus on the Aims, and obtain new perspectives, for example, on caveats that might not have been fully considered.
- 2) *The meeting is NOT meant to confirm success or good progress.*
When progress in the laboratory is good, the need for a meeting is least important. The best time to schedule a meeting is NOT when results have been achieved, but rather when you may be struggling or you may have reached an intermediate turning point that requires discussion and outside expert opinion.
- 3) *All members of the Advisory Committee need not be present for the meeting to take place.*
Occasionally, it may be difficult to schedule a time when every one of the Advisory Committee members can attend. The student should still go ahead with the meeting if a majority of the members are present, (e.g. three out of four, etc.).

What to Expect:

The student is expected to lead the Advisory Committee Meeting and should, therefore, be well prepared with an agenda and be efficient in the presentation and discussion. The student is expected to take an active (NOT passive) role in the meeting. **Advice to the student:** Decide what you need to get out of the meeting and direct the discussion in this direction. Be prepared to ask for specific points of advice.

A typical meeting starts with a brief discussion of the student's progress and any over-riding problems. While this often occurs in confidence (your time enjoyed in the hallway), it need not be and is rarely more than a summary of progression through the program. If there are more serious problems, it is recommended that these be addressed together with all members of the Advisory Committee and the faculty mentor present. Remember that the student runs the meeting, and so should feel free to organize this preliminary discussion, depending on Department policy. It may also be appropriate, in rare occasions, to ask the faculty mentor to leave the room for a brief discussion, in case where there are conflicts or problems about which the student wishes to inform the Committee in confidence.

Following this brief overview, the student typically makes an approximately twenty-minute presentation of the Background, Significance, and Specific Aims. PowerPoint presentations are expected. In subsequent meetings, it should be less necessary to provide background, unless the topic has shifted significantly or new members need to be informed. The presentation is not a "journal club" and it should be anticipated that most faculty will not need to be presented with very basic background material. Attempt to move as efficiently as possible to the Aims.

The rest of the meeting should be spent discussing specific plans for each Aim, indicating the proposed approach(es), possible caveats, and alternative approaches that may need consideration. The main focus of the meeting should be on defining priorities. At the end of each Aim, ask for advice if needed. The goal is not to educate the Committee or to get them to understand the student's point of view, but rather to expose potential flaws in the logic, feasibility, experimental approaches, or time-

frame. The end of the presentation should present a clearly defined time-frame for completion of the Aims. This will be extremely premature at the first meeting, but it is good practice and provides a starting point as the student progresses through their thesis research.

Typical questions that a student may hope to resolve based on the Advisory Committee include:

- Is this Aim feasible based on my preliminary data, or is it too risky?
- Is there an alternative approach I can use that I have not considered?
- What is needed before this study could be submitted for publication?
- What is the minimal preliminary data I should obtain before deciding whether to continue or abandon an Aim?
- Is the effort needed for this approach justified by the significance?
- Is this a good time to continue on this risky path or should I refocus my efforts?
- Am I ready to start writing my Dissertation?

A student should not pose such questions directly (particularly the last one!), but rather make specific proposals to the Advisory Committee and then be prepared to receive feedback and adjust the research plan accordingly. In any case, be aware that the Committee provides ADVICE, and does not direct your research. Obtaining the PhD is meant to be an independent journey, the direction of which only the student can determine (with special help particularly from the thesis mentor). Advice can be good or bad, which is why it is important to choose members whom the student can trust to discuss openly the pros and cons of any given approach.

At the end of the meeting the student should have a better idea of how to proceed than when he/she came into the meeting. If the student only experienced head-shakes, then there was failure on the part of the student in the obligation to run a successful meeting.

During later meetings it is important to firmly establish likely timelines, for example, towards publication of manuscripts or writing the Dissertation. Remember that there is no defined stopping point of a PhD. The research topic that is being worked on will not be finished upon completion of the PhD. Only the student can determine when his/her thesis research is finished, but it is the student's duty to convince the Advisory Committee that he/she is correct.

Immediately after each meeting, the original Student Advisory Committee Summary Report Form must be delivered to the Graduate Division office and a copy to the student's Departmental office. The Academic Affairs Committee may review the Advisory Committee reports every academic year. The Advisory Committee Summary Report form is available on the Graduate Division website at www.einstein.yu.edu/phd under Graduate Division Forms.

Section VII: Vacation and Leaves of Absence

All time off should be scheduled in consultation with the mentor.

37) Vacation and Holidays

Students who have completed at least twelve (12) months in the program may receive stipends during the normal period of vacation and holidays observed by the Einstein College of Medicine. (Visit the Human Resources website for a list of Einstein holidays: <http://yu.edu/hr/holidays-einstein>). It is anticipated that students will take two (2) week's vacation time each year, exclusive of the winter and spring holidays as posted on the Graduate Division Academic Calendar (http://www.einstein.yu.edu/uploadedFiles/PHD/academic_calendar.pdf).

38) Leaves of Absence

The Graduate Division follows the NIH Training Grant Guidelines (NOT-OD-08-064) with respect to Leaves.

Students must submit a Leave of Absence Form to the Graduate Division office prior to going on leave, and must submit a Return from Leave of Absence Form at the end of the leave. These forms are available on the Graduate Division Forms web page:
<http://www.einstein.yu.edu/phd/index.asp?graduate-division-forms>

Students who absent themselves from the Graduate Division without notice may be subject to disciplinary actions, including dismissal from the program.

a) Parental Leave

Students may receive stipends for up to a maximum of sixty (60) calendar days (inclusive of Saturday and Sunday; equivalent to eight (8) work weeks) of parental leave per year for the adoption or the birth of a child when the use of parental leave is approved by the Associate Dean and Program Director. Maternity leave for a female graduate student may be taken in any combination of pre-natal and post-natal time, up to a total of eight (8) work weeks. Either parent is eligible for parental leave. Parental leave must be scheduled in consultation with the mentor. The student must submit a Leave of Absence Form to the Graduate Division office and obtain appropriate approval prior to going on leave.

Health Insurance and Housing while on Parental Leave

Health insurance benefits will continue during the time of parental leave. The student may remain in housing and is required to continue paying rent.

Extension of Parental Leave (*Unpaid*)

Individuals requiring periods of time away from their research training experience longer than sixty (60) calendar days must seek approval from the Associate Dean for an *unpaid* Leave of Absence. The

student must submit an amended Leave of Absence Form with a doctor's note. The extended leave is an *unpaid* medical leave of absence.

Return from Parental Leave

Upon return from the parental leave, the student must formally notify the Registrar of the Graduate Division and complete a Return from Leave of Absence Form.

International Students: Due to visa requirements, international students are eligible for parental leave only upon written doctor's recommendation.

b) Sick Leave

Students may receive stipends for a maximum of fifteen (15) calendar days (inclusive of Saturday and Sunday; equivalent to two (2) work weeks) of sick leave per year. A Leave of Absence Form need not be submitted to the Graduate Division office prior to going on leave.

Health Insurance and Housing while on Sick Leave

Health insurance benefits will continue during the time of sick leave. The student may remain in housing and is required to continue paying rent.

Extension of Sick Leave

Individuals requiring periods of time away from their research training experience longer than fifteen (15) calendar days must seek approval from the Associate Dean for an *unpaid* medical leave of absence. The student must submit a Leave of Absence Form with a doctor's note to the Graduate Division office.

c) Medical Leave of Absence (*Unpaid*)

The Associate Dean or the Program Director may allow a student to be placed on a temporary *unpaid* medical leave of absence in case of prolonged illness or other medical emergency. This leave may also be appropriate in the case of chronic physical or mental illness. (Pregnancy and childbirth are covered by parental leave as stated above.) At the beginning of a medical leave of absence, the student must submit a Leave of Absence Form accompanied by a doctor's note.

Health Insurance and Housing while on a Medical Leave of Absence

Health insurance benefits will continue for up to six (6) months, although it is important for the student to contact the Benefits Office prior to or immediately after taking the leave. A student on a medical leave of absence may remain in student housing for up to six (6) months and must continue to pay rent during that time.

Extension of Medical Leave of Absence

The maximum amount of time allowed for an *unpaid* medical leave of absence is twelve (12) months. An amended Leave of Absence Form must be submitted to the Graduate Division office.

Return from Medical Leave of Absence

To return from a medical leave of absence, students must submit a doctor's note certifying that they are well enough to return to full-time graduate student status. The student must formally notify the Registrar and complete a Return from Leave of Absence Form which must be signed by all required staff.

d) Bereavement Leave

If a member of the immediate family dies, a student will receive a paid leave of absence for up to five (5) days. These days are to be taken consecutively within a reasonable time of the date of the death or funeral, and may not be split or postponed. Health insurance benefits and housing will continue while a student is on bereavement leave. A Leave of Absence Form does not have to be submitted for this type of leave. However, if the student needs more time for funeral or other arrangements, the student may request vacation time or a personal (*unpaid*) leave of absence in which case a Leave of Absence Form must be submitted to the Graduate Division office.

e) Academic or Personal Leave of Absence (*Unpaid*)

The Associate Dean or Program Director may grant an *unpaid* academic or personal leave of absence for a period up to a maximum of twelve (12) months. This may be considered appropriate if the student is experiencing academic problems in courses or laboratory research based on personal issues, conflicts, or the need for counseling beyond normal tutoring. This is an unpaid leave. The Graduate Division assumes no financial commitment during the academic or personal leave of absence. At the beginning of an academic or personal leave of absence, the student must submit a Leave of Absence Form to the Graduate Division office.

Health Insurance and Housing while on an Academic or Personal Leave of Absence:

While on an academic or personal leave of absence, health insurance will be maintained for only thirty (30) days. Students on this type of leave are advised to consult the Benefits Office prior to beginning the leave to insure maintenance of health insurance. Students on this type of leave may also remain in housing for up to six (6) months and rent payments must be maintained during the leave of absence.

Extension of Academic or Personal Leave of Absence:

Requests for extension of the academic or personal leave of absence must be approved by the Program Director and the Associate Dean. This type of leave cannot be extended beyond twelve (12) months. An amended Leave of Absence Form should be submitted to the Graduate Division office.

Return from Academic or Personal Leave of Absence:

If the student wishes to return from the academic or personal leave of absence, approval must be obtained from the Associate Dean, following complete review of the student's academic record and a plan for improvement. Upon return from the leave, the student must formally notify the Registrar and submit a Return from Leave of Absence Form which must be signed by all designated staff, including the Associate Dean.

If the student does not return when the leave of absence expires, the student will have the option to withdraw from the program or may be dismissed from the Graduate Division.

International Students: As a condition of maintaining student status, all international students must pursue a "full course of study." Therefore, the academic or personal leave of absence is not available to international students. In the event that an already matriculated international student has difficulty in fulfilling visa requirements to re-enter the U.S. and is away for more than thirty (30) days past the agreed date of return, the student must contact the International Student Scholars Office (ISSO).

Section VIII: The Qualifying Examination

39) Purpose of the Examination

Each candidate for the PhD degree must satisfactorily complete a Qualifying Examination. The purpose of the Qualifying Examination is to ensure that the student has a sufficient background of knowledge needed to proceed towards the PhD degree.

In addition to knowledge obtained from the coursework and relevant literature, students will also be tested for knowledge of experimental strategies and the ability to think on their feet and across the “pitfalls” (controls, alternative approaches, etc.)

Successful completion of the Qualifying Exam marks a student’s transition to the independent research phase of his/her graduate training.

40) Student Guidelines for the Qualifying Examination

The Qualifying Examination

A Graduate Division-wide uniform Qualifying Examination is held in the Spring semester of each year. For PhD students, the examination is usually taken in the Spring semester of the second year in the program. MSTP students usually take this exam in the Spring semester of their third year in the program. On recommendation of the Sr. Academic Advisor, Program Director, and/or Associate Dean, a student may defer taking the exam for one year, based on academic gaps, illness, change in laboratory, etc. It is expected that students taking the exam have fulfilled the bulk of (but not necessarily all) foundation graduate courses and Department-specific course requirements.

Registration

All students scheduled to take the Qualifying Exam must register online for the Qualifying Exam course in the Spring semester in which they are taking the Qualifying Exam.

Qualifying Exam Committees

The exam is organized by the **Qualifying Exam Steering Committee**, consisting of representatives from all the Departments and chaired by the Sr. Academic Advisor and/or Associate Dean of the Graduate Division. The number of Department representatives will vary depending on the number of students taking the examination each year, but must be at least two, to avoid student/mentor conflict of interest.

At the announced date early in the Spring Semester, each eligible student submits a list of four (4) to eight (8) faculty members who would be appropriate to serve on their **Qualifying Exam Committee**, based on the thesis topic. The Qualifying Exam Steering Committee will then attempt to include as many as possible from the student’s list in assembling the student’s Qualifying Exam Committee.

The student’s Qualifying Exam Committee includes:

- A Department representative from the Qualifying Exam Steering Committee who acts as the Chair (and must approve the Exam Committee).
- At least one member of the Committee should be from outside the student's home Department.
- A typical Exam Committee may include two or more members of the student's home Department, but in some cases it will be more appropriate to include faculty from related "working groups."
- A typical Exam Committee may also include faculty from the PCI (PhD in Clinical Investigation) Department.
- Role of the mentor and/or co-mentor: The mentor and/or co-mentor are *not* a part of the Exam Committee, nor are the mentor and/or co-mentor present at the exam.
- Members of the student's Advisory Committee may participate on the student's Qualifying Exam Committee as long as the first Advisory Committee meeting is held at least three (3) months prior to the exam.

Scheduling of the Qualifying Exam

The Qualifying Exam should be scheduled by the student for any time in the designated exam period (usually mid-April to late-June, see Timeline). Exams should ***not*** be scheduled on official school holidays, or on the day of the Graduation Commencement Ceremony. Please refer to the Academic Calendar for listing of school holidays.

- Exam times and room location are scheduled by the student. The student must make all arrangements for the exam.
- The student must submit to the Graduate Division Office a form (at a specific earlier date to be announced) with the scheduled date/time/location of their oral exam. *Students must notify the Graduate Division office of any subsequent changes to the date, time, or location of the oral exam.*
- Four Committee members must be present at the oral examination. If a member is absent, the Committee Chair will attempt to find a suitable replacement. However, if more than one member is absent, the examination must be rescheduled for the earliest possible date.
- **Delaying the Qualifying Exam Date:** There may be exceptions that require a delay in taking the examination (for example, if a Committee Chair feels it is essential for the student to complete a second year Spring semester course). If a delay is approved by the Qualifying Exam Committee Chair, the exam should be completed before the end of July.

Workshops

There are multiple workshops offered to aid students during the Qualifying Examination process. These workshops include:

- *Introduction to the Qualifying Examination*
- *End Note and Proper Reference Citation* (attendance mandatory)

- *Introduction to Proposal Format and Specific Aims*, an optional “Nuts and Bolts” workshops that is focused around the proposal format, tips in proposal writing, and advice on preparation for the examination
- *How to Write a Proposal*
- *Oral Format and Sample Questions*

Qualifying Exam Proposal

Each student will submit a clear well-written 12-page proposal based on his/her developing PhD project. The proposal is expected to describe the thesis project in which a specific hypothesis is tested by two or three experimental Specific Aims.

The written proposal *must* be the independent work of the student. However, mentors should not write or provide specific editorial assistance for any part of the document. However, mentors are encouraged to provide feedback to the ideas in the proposal. This should certainly occur before writing starts, but also at the outline stage, and in subsequent discussions. It is expected that the student will seek editorial assistance outside of the mentor.

Format of the proposal

The proposal follows a typical predoctoral fellowship style, consisting of:

i) 2 or 3 Specific Aims

List the broad, long-term objectives and the goal of the specific research proposed, e.g., to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm, address a critical barrier to progress in the field, or develop new technology.

- **Specific Aim(s):** Developed after discussions with the mentor about the overarching hypotheses, and the likely directions and outcomes of the proposed thesis research.
- The proposal *must* include **1 “Independent” Specific Aim, developed independently of the mentor or any PI. The mentor will likely comment on this Aim, but it should not be something presented to the student directly by the mentor.**
 - This Aim should still test the hypothesis and will be critiqued for originality and creativity. It is expected that there will be variability in quality and feasibility of the Aim, but the point is for the student to incorporate some ideas from outside the scope of his/her immediate laboratory.
 - This independent Specific Aim must be indicated by an asterisk (*) in the proposal.

The Specific Aims can be interdependent, but not entirely dependent upon each other.

ii) Background and Significance

Briefly sketch the background leading to the present proposal, critically evaluate existing knowledge, and specifically identify the gaps that the project is intended to fill. State concisely the importance and relevance of the research described in this application by relating the specific aims to broad, long-term objectives.

iii) Preliminary Data (if applicable)

No significant preliminary data are required. If available, use this section to provide an account of preliminary studies that are pertinent to this proposal.

iv) **Research (Experimental) Design and Methods**

Describe the research design conceptual framework, procedures, and analyses to be used to accomplish the specific aims of the project. Include how the data will be collected, analyzed, and interpreted. Describe any new methodology and its advantage over existing methodologies. Describe any novel concepts, approaches, tools, or technologies for the proposed studies. Discuss the potential difficulties and limitations of the proposed procedures and alternative approaches to achieve the aims. As part of this section, provide a tentative sequence or timetable for the project.

v) **Bibliography or Reference List**

List all literature references. Each reference must include the title, names of all authors, book or journal, volume number, page numbers, and year of publication.

The reference list should be limited to relevant and current literature. While there isn't a page limitation, it is important to be concise and to select only those literature references pertinent to the proposed research. The Bibliography is not included in the 12-page count; the proposal should be comprehensive, but concise.

References Cited within the Text: Any references used within the text of the proposal should be numbered sequentially within the text. The full reference should then be cited in numerical order in the Bibliography or Reference List at the end of the proposal. In the list, all authors and full titles of papers must be included.

Please be sure to consult the library guide to proper citation:

<http://libguides.einstein.yu.edu/thesis>. The reference librarians are also available to help via text message, online chat, phone and in-person (<http://library.einstein.yu.edu/index.php>).

General Instructions for Preparing the Written Proposal

- i) *Proposal Length:* The written proposal must be 12 pages in length, including figures. (The Bibliography is not included in the 12-page count, nor is the title page.)
- ii) *Line Spacing:* The text of the written proposal is to be double-spaced except for indented quotations, footnotes, figures, legends and Bibliography, which are to be single-spaced.
- iii) *Required font for text:* Arial 11pt, or Times New Roman 12pt
- iv) *Paper:* If providing hard-copies of the final written proposal to the Qualifying Exam Committee members, they are to be printed on 8 ½ inches by 11 inches high quality paper (24 lbs) that is not punched or perforated in any way. If submitted electronically, the entire proposal (including title page and Bibliography) must be sent as a PDF document.
- v) *Margins:* The margins at the top, bottom, left and right are to be 1.0 inch.
- vi) *Spelling:* The spelling given in any standard dictionary may be used. However, whatever forms are adopted should be adhered to consistently throughout the text of the written proposal.
- vii) *Quotations:* Quotations of more than three lines should be single-spaced, set off from the text in a separate paragraph and indented four spaces, with double-spacing between the paragraphs. Opening and closing quotation marks are omitted. Quotations of three lines or less are enclosed in quotation marks and are run into the text. Please be sure to consult the library guide to proper citation: <http://libguides.einstein.yu.edu/thesis>

- viii) *Tables, Figures, Reproductions:* Tables and figures and all legends should be embedded into the document.
- Tables are numbered consecutively throughout the written proposal. The word TABLE, followed by the appropriate Arabic numeral, is placed above the caption.
 - Figures are numbered consecutively in Arabic numerals, with the word "Figure" (only the first letter is capitalized) and the appropriate numeral appearing before the caption. If possible, figures should be oriented in the "portrait" configuration.
 - Legends should be placed immediately under the figure in order to facilitate the reading of the written proposal.
- ix) *References and Footnotes:* References to published articles should be cited. Every reference listed must appear in the Bibliography. The format for the references included in the bibliography should follow that in the suggested manual of style or a highly respected scientific journal. At a minimum, each reference must include the names of all authors, the title of the article, the name of the journal, the volume number and the pages of the article. Titles of articles must be included.
Footnotes are to be placed at the foot of the page and numbered consecutively. Please be sure to consult the library guide to proper citation: <http://libguides.einstein.yu.edu/thesis>
- x) *Title Page:* The title page is to list the title of the written proposal, the student's full name, the full name of the student's mentor, and the student's Department.

Students must adhere to the format of the written proposal, otherwise, the document will be returned to the student without review.

Submitting the proposal:

Each student submits the written proposal to his/her Qualifying Exam Committee members via hand-delivery or PDF email attachment. A PDF version of the proposal (with title page) *must* be emailed to the Graduate Division office, as well, on or before the designated submission date as indicated on the Qualifying Exam Timeline. In the rare instance in which the exam date is delayed, the submission date may also be delayed, upon recommendation of the Qualifying Exam Committee Chair. No revisions of the written proposal will be accepted after the designated due date for submission as set forth in the Timeline. If, after the proposal has been submitted, any new data is discovered that the student wishes to include in the exam, the new data should be addressed/presented during the scheduled oral examination.

"Mock" Qualifying Exams

Students are advised to participate in one or more "mock" examinations, particularly with senior students and post-docs. Students are encouraged to seek input and advice from any other source including more advanced students, post-docs, and faculty members not affiliated with their examination.

Mentors and/or co-mentors should not participate in the mock exams of their own students.

Members of the Qualifying Exam Committee should not participate in the mock exams of the students on whose committee they serve.

Students may not approach their own Qualifying Exam Committee members for advice or comment prior to the examination.

Oral Presentation

The “budding” thesis project provides a scaffold for the oral exam, but the exam itself focuses on determining whether the student has incorporated the fundamental knowledge needed for proceeding towards thesis research. The student must be able to demonstrate a broad understanding of the basic biology underlying the thesis question(s). In addition to knowledge obtained from the coursework and relevant literature, students will also be tested for knowledge of experimental strategies and the ability to think on their feet and across the “pitfalls” (controls, alternative approaches, etc). The primary focus of the oral presentation should not be the preliminary data. It should focus on the background, experimental approaches, what you want to accomplish and how this fits in the “big picture.” An extensive list of representative “mock” questions will be distributed to students and faculty in order to illustrate the types of questions and level of depth that might be expected during an actual exam.

At the beginning of the Qualifying Examination, the student will make an uninterrupted 10-15 minute oral presentation describing the proposal. A PowerPoint presentation is appropriate (but not required) during this initial period, in particular, to display essential graphics, videos, etc. This is followed by the examination itself, which is free-flowing and at the discretion of the Qualifying Exam Committee. The exam is expected to run approximately 90 minutes. The use of a (blank) white board during the oral examination is appropriate. If necessary, the Chair may stop the exam for a brief discussion, or to allow the student to take a short break.

Please note: Audio and/or video recording of the oral examination is prohibited.

Grading

Following the oral exam, the Exam Committee will vote: Honors (indicating an outstanding performance, i.e. in the top 10%), Pass, Postponed Decision (requiring revision of the written proposal within *one* month of the oral exam date), or Fail. The preliminary vote is anonymous, and is to be followed by an open discussion among the Committee members, and then a final vote.

Note: The Chair should summarize the key points of the discussion on the Chair's Summary Sheet, which will be provided to the student and the mentor, and also forwarded to the Academic Affairs Committee.

Committee Decision (Final Vote):

- i) A majority vote of 3-1 is needed for Honors
- ii) A majority vote of 3-1 is needed for Pass
- iii) If a 2-2 vote occurs, with 2 Committee members voting fail, then the grade for the exam will be Fail
- iv) If a 2-2 vote occurs, with 2 Committee members voting postponed decision, then the grade for the exam will be Postponed Decision**
- v) If a 2-2 vote occurs, with 2 Committee members voting Honors, then further discussion is warranted. If the vote remains 2-2, then the grade for the exam will be Pass

The student is then brought back into the room and informed of the Committee's decision.

****Please note:** Postponed Decision is for revision of the written proposal only, when the oral examination is satisfactory. The revised proposal should be distributed to all the members of the Qualifying Exam Committee *within one month* of the oral exam date. The Committee then has seven calendar days to submit final grade to the Graduate Division office. If the oral examination is deemed to be not satisfactory, even if the written document is acceptable, the grade will be FAIL.

Failure of the Qualifying Examination

Students who fail the Qualifying Exam will be placed on academic probation by the Academic Affairs Committee. Dismissal from the program is also possible following a failure in the Qualifying Exam.

Appeal of Examining Committee's Decision

If a student wishes to appeal the decision of the Qualifying Exam Committee, the matter will be considered by the Qualifying Exam Steering Committee. This request must be made in writing to the Associate Dean for Graduate Programs, who will schedule a meeting with the Qualifying Exam Steering Committee. The appeal will either be denied or the student will be allowed to repeat the examination with a new Qualifying Exam Committee.

"Retake" of the Qualifying Exam

For students who previously failed the Qualifying Exam, the "retake" examination will not be treated as a "rebuttal" of the previous exam that they failed, but rather, be considered a completely new exam independent of the outcome of the previous exam.

Academic Affairs Committee Review

Following the Spring semester, a comprehensive and objective review of each student's progress takes place by the Academic Affairs Committee, taking into account grades received for coursework, the Qualifying Examination, and laboratory productivity as indicated by the mentor. Student's who fail the Qualifying Exam will be placed on academic probation and may at this time receive approval to retake the exam the following Spring.

41) Qualifying Examination Committee Chair Guidelines

Receipt of Written Proposal

Upon receipt of the written proposal, the Chair will check that it is an acceptable document; two or three Specific Aims must be included in the proposal, one of which is an independent Aim of the student. Aims may be interdependent, but not entirely dependent upon each other.

Day of the Examination

Four Committee members must be present at the examination. If a member is absent, the Committee Chair will attempt to find a suitable replacement. However, if more than one member is absent, the examination must be rescheduled for the earliest possible date.

Conduct of the Examination

At the start of the exam, the student will be asked to leave the room and the Exam Committee members will discuss:

- The background of the student, including courses taken
- The written proposal—any issues that Committee members have found that should be addressed during the oral exam

- The process of the exam—i.e. the student presents the proposal without interruption for a maximum of 15 minutes, followed by oral questions.

The student then returns to the room to give the presentation and begin the oral exam.

Following the oral presentation, the Committee can begin with questions based on the proposal, and then expand into more general knowledge questions. The student should be able to demonstrate sufficient basic knowledge outside his/her particular microdomain to ensure that the student can develop new ideas and design experiments with appropriate controls to test a hypothesis.

During the exam, the Qualifying Exam Committee Chair should make notes on the Exam Committee guide sheet.

Note: Audio and/or video recording of the oral examination are prohibited.

At the end of the exam, the student leaves the room

- A preliminary, nonbinding secret vote is taken
 - *Honors* (indicating an outstanding performance, i.e. in the top 10%)
 - *Pass*
 - *Postponed Decision* (requiring revision of the written document within one month)
 - *Fail*
- The vote is followed by open discussion to ensure that the various perspectives of the Committee members are heard and understood.
- A final vote is taken

The Chair should summarize the key points of the discussion on the Chair's Summary Sheet, which will be provided to the student and the mentor, and also forwarded to the Academic Affairs Committee.

Committee Decision:

- A majority vote of 3-1 is needed for *Honors*
- A majority vote of 3-1 is needed for *Pass*
- If a 2-2 vote occurs, with 2 Committee members voting FAIL, then the grade for the exam will be *Fail*
- If a 2-2 vote occurs, with 2 Committee members voting POSTPONED DECISION, then the grade for the exam will be *Postponed Decision***
- If a 2-2 vote occurs, with 2 Committee members voting HONORS, then further discussion is warranted. If the vote remains 2-2, then the grade for the exam will be *Pass*

The student is then brought back into the room and informed of the Committee's final decision.

***Postponed Decision is for revision of the written proposal only, when the oral examination is satisfactory.* After Qualifying Exam Form 4 has been returned to the Graduate Division office, with a "postponed decision" indicated as the grade, Qualifying Exam Form 4a will be forwarded to the Chair of the Committee. The revised proposal should be distributed to all the members of the Committee *within one month of the oral exam date. The Committee then has seven calendar days to submit Form 4a (with the final grade of Pass or Fail indicated) to the Graduate Division office.*

If the oral examination is deemed to be not satisfactory, even if the written document is acceptable, the final grade will be *Fail*.

Appeal of Examining Committee Decision

If a student wishes to appeal the decision of the Qualifying Exam Committee, the matter will be considered by the Qualifying Exam Steering Committee. This request must be made in writing to the Associate Dean of the Graduate Division who will schedule a meeting of the Qualifying Exam Steering Committee. The appeal will either be denied or the student will be allowed to repeat the examination with a new Exam Committee.

“Retake” of the Qualifying Exam

For students who previously failed the Qualifying Exam, the “retake” examination should not be treated as a “rebuttal” of the previous exam that they failed, but rather, be considered a completely new exam independent of the outcome of the previous exam.

All information regarding the Qualifying Examination can be found on the Graduate Division website at <http://www.einstein.yu.edu/phd/index.asp?qualifying-exam>

Section IX: Thesis Guidelines

A student who wishes to write and defend their thesis must be in “active student” status.

42) The Thesis Dissertation

The graduate Thesis, or Dissertation, is the all-encompassing document describing original research carried out by the graduate student in the laboratory. In general, the research has been structured to answer a question or group of questions, or to explore particular hypotheses, and has resulted in a body of novel data. The historical background, the scientific context of the experiments, and the data are presented and discussed extensively in the Dissertation. It is expected that the research carried out to generate the Thesis Dissertation will also result in published papers in recognized scientific journals, for which the student is the first author. The Graduate Division requires that at least one first-author manuscript must be submitted before a student may defend the Thesis. If this manuscript is not yet accepted for publication, the submitted draft must be appended to the Thesis. All collaborative work that contributes to the Thesis Dissertation must be clearly indicated in the text.

Manuscript requirement to graduate:

Students are required to publish at least one first-author paper, or if not, to document and append to the Thesis, the final draft of a submitted first-author manuscript. The manuscript should be indicated as In press, or Submitted (and to which journal), or In revision (for which journal).

A co-first authorship paper meets the requirement. The Graduate Division does not set a requirement for a specific number of published manuscripts, and it is expected that some of this work may be published following the Thesis Defense. However, it is not unusual for the Thesis Dissertation research to comprise two to three publications in which the student is the leading author. All collaborative work that contributes to the Thesis Dissertation must be clearly indicated in the text. Each Chapter should indicate which publications (if any) are represented by the described work.

43) The Thesis Defense Committee

Composition of the Thesis Defense Committee

Every candidate for the PhD degree must submit a Dissertation and pass an oral examination of their Thesis (the Thesis Defense) by a Thesis Defense Committee.

The Thesis Defense Committee is selected by the student and the mentor and must:

- Consist of a minimum of five members.
 - At least four of the five members must be from the departments that comprise the Graduate Division.
 - One member must be designated as the Committee Chair who must be a senior member of the faculty (Professor or Associate Professor). The Chair does not have to be a member of the student’s home department.
 - At least two members must hold a primary or secondary appointment in the student’s home department.

- Inclusion of an examiner from outside the institution with expertise in the area of the student's research is desirable, although the fifth member of the Committee may be an additional member of the Basic Science (or PCI) faculty. The outside examiner may also be associated with a company/corporation as long as he/she has held an academic appointment in the past.
- Students are strongly encouraged to designate a sixth faculty member as an alternate in the event that an examiner cannot attend the Thesis Defense. There must be five members present at the Thesis Defense.
- The name of any Thesis Defense Committee member who was a collaborator with the student must be indicated by the check box on the submitted Thesis Defense Committee Form.
- The student's mentor and/or co-mentor cannot serve on the Thesis Defense Committee although the mentor and/or co-mentor are present at the Thesis Defense.

Scheduling of the Thesis Defense

The Thesis Defense and Seminar are scheduled by the student, who is responsible for finding the rooms and confirming that all members of the Thesis Defense Committee can attend. The Thesis Seminar is usually scheduled immediately before the actual defense.

Please note: **No Thesis Seminar or Defense can be scheduled on official school holidays** as indicated on the Academic Calendar (http://www.einstein.yu.edu/uploadedFiles/PHD/academic_calendar.pdf) and Department of Human Resources calendar (<http://yu.edu/hr/holidays-einstein/>)

Presentation of a public seminar

The presentation of a public seminar at the College of Medicine is required for successful completion of the PhD degree. This seminar also fulfills a New York State requirement that a PhD candidate demonstrate his or her ability to present scientific material in public. This seminar is usually presented immediately preceding the defense. A copy of the announcement of the seminar must be forwarded to the Graduate Division office for inclusion in the student's file. An announcement of the time, place and subject of the public seminar should be widely disseminated at the College of Medicine, and a draft copy of this announcement should be included with the Thesis Defense Committee form submitted to the Graduate Division office.

44) Approval of the Thesis Defense Committee

The Associate Dean for Graduate Programs must approve all Thesis Defense Committees, according to the designated criteria established by the Graduate Committee. *At least two months prior* to the scheduled defense date, a completed Thesis Defense Committee form must be submitted to the Graduate Division office with a Curriculum Vitae (CV). This form states

- the title of the Dissertation,
- the members of the Thesis Defense Committee (signature of Committee Chair is required),
- the date at which the required public seminar will be held (the Seminar Announcement),
- the date at which the mandatory thesis workshop was attended,
- the signatures of the appropriate Department Chair and the mentor,
- the abstract of the Dissertation, and
- a list of publications.

International students on a student visa must have their Thesis Defense Committee form approved by the Einstein International Students and Scholars Office (ISSO). The Associate Dean will not consider Defense Committees from students whose course work or Qualifying Examination is incomplete.

Once the Thesis Defense Committee has been approved by the Associate Dean, the Thesis Defense Committee has full authority to recommend the award of the PhD degree to the Associate Dean.

All changes in Thesis Defense Committee must be approved by the Associate Dean. In the event that changes in the Committee must be made, and the Associate Dean is not available for consultation, the approval of the appropriate Department Chair should accompany the final report of the Committee.

Please note:

- **All students who wish to write and defend must be in “active student” status.**
- **All students who are planning a defense must attend the Thesis Defense workshop on plagiarism and proper reference citation offered in September.**

45) Including Published Work in the Thesis

Students are strongly encouraged to submit their Dissertation studies for publication in peer-reviewed journals during the course of their studies. In order to fulfill copyright obligations, papers published by graduate students before the Thesis Defense, that are intended to be included in the Dissertation, should carry the footnote:

"Data in this paper are from a thesis to be submitted in partial fulfillment of the requirements for the Degree of Doctor of Philosophy in the Graduate Division of Medical Sciences, Albert Einstein College of Medicine, Yeshiva University".

All publications for which the student is first author should be appended (as reprints) to the submitted Thesis. Published articles and/or submitted manuscripts must be included in the Thesis Appendix; printed PDFs are sufficient. Co-first authors are allowed. If there are no first-author publications at the time of Thesis submission, a submitted first-author manuscript must be appended in place of reprint(s), even if this draft ultimately requires additional experimental results. The manuscript should be written in the style of a specific (indicated) journal.

Copyright Permissions

Students must obtain permission to use previously copyrighted materials. For further copyright guidelines, go to <http://www.proquest.com/en-US/products/dissertations/copyright/>.

Plagiarism

Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. All documents prepared as part of a student's academic or research activities should be free of plagiarism. This includes, but is not limited to, written examinations in classes, Qualifying Exam proposals, Thesis proposals, fellowship applications, manuscripts, and the PhD Thesis.

46) Instructions for Preparing the Dissertation

Two Dissertation formats are generally accepted by the Departments within the Graduate Division. Students must consult with the appropriate faculty in their Department to insure that their Dissertation

format is acceptable by their Department. 'Format A' is the traditional organization of a Dissertation. 'Format B' is organized with each chapter corresponding to a published (or in preparation) journal article. However, it is emphasized that a collection of published papers cannot be submitted in place of a Dissertation. An improperly prepared Dissertation may be returned to the student by the Committee without review.

General Instructions

In general, successful theses range from 125 – 225 pages without references.

- ii) *Manual of Style*: On points of style (including capitalization and punctuation) not covered by the above, follow the recommendations of your Department. The style selected should be adhered to strictly and consistently. If no style is preferred by the Department, the *Manual for Writers of Dissertations* by Kate L. Turabian, University of Chicago Press, should be used.
- iii) *Line Spacing*: The text of the Dissertation is to be double-spaced except for indented quotations, footnotes, figures, legends and bibliography, which are to be single-spaced.
- iv) *Required font for text*:
 - Arial 11 pt.
 - Helvetica 11 pt.
 - Times New Roman 12 pt.
- iv.) *Paper*: The final copies of the Dissertation are to be printed on 8 1/2" x 11" high quality paper (24 lb.) that is not punched or perforated in any way.
 - (a.) Copies submitted to the Thesis Defense Committee may be:
 - 1) duplicated on standard photocopy paper,
 - 2) printed double sided and,
 - 3) secured using either a three-hole binder or a spring binder.
- v.) *Pagination*: Every page in a Thesis is assigned a number typed on it. There are two series of page numbers. The first, in small Roman numerals, begins with the title page and ends with the last page preceding Chapter I. The second series, in Arabic numerals, begins with the first page of Chapter I and continues throughout the Dissertation, including graphs, illustrations, tables, bibliography and appendices.
- vi.) *Margins*: The margins at the top, bottom and right are to be 1.0 inch; the left-hand margin is to be 1.5 inches. All tables, charts and illustrations are to have left-hand margins of no less than 1.5 inches because of binding requirements. Any over-size material may be folded in from the right, top and bottom in such a way as to leave a 1.5 inch margin on the left side.
- vii) *Spelling*: The spelling given in any standard dictionary may be used. However, whatever forms are adopted should be adhered to consistently throughout the text of the Dissertation.
- viii.) *Quotations*: Quotations of more than three lines should be single-spaced, set off from the text in a separate paragraph and indented four spaces, with double-spacing between paragraphs. Opening and closing quotation marks are omitted. Quotations of three lines or less are enclosed in quotation marks and are run into the text.
- ix.) *Tables, Figures, Reproductions*: The recommendations of the style manual are to be followed in preparing tables, figures and other graphic materials. Tables and Figures and all legends should be embedded into the document.

Tables are numbered consecutively throughout the Thesis. The word TABLE, followed by the appropriate Arabic numeral, is placed above the caption.

Figures are numbered consecutively in Arabic numerals, with the word "Figure" (only the first letter is capitalized) and the appropriate numeral appearing before the caption. If possible, figures should be oriented in the "portrait" configuration. Submitted figures should be of sufficiently high resolution to be interpreted by the reader. Figures may be embedded into the text, with text wrapped around, or embedded as separate pages. In either case, make sure that the Figure Legends are adjacent to the figures and easy to find and read.

- x.) Digital media or jpeg for high resolution images may be submitted on an accompanying CD-ROM.
- xi.) *References and Footnotes:* References to published articles should be cited by author and year (i.e. Student and Mentor, 1995, or Student et al., 1995). Every reference listed must appear in the bibliography (see "Bibliography" on page 7).

Footnotes are to be placed at the foot of the page and numbered consecutively for each chapter.

The generally accepted Thesis formats (Formats A and B) are described below. The format chosen must be maintained throughout the Dissertation. Students must discuss with their mentor the Dissertation format acceptable to their Department.

FORMAT A

- i.) *Introduction:* The comprehensive Dissertation begins with a scholarly introduction (Chapter I). This section should include a historical review of the student's area of research followed by a critical evaluation of the current status of the field. The student should then present working hypotheses and give an introduction to the system and the thesis research. The student should consult with his or her mentor in order to agree upon how extensive a historical review is appropriate to the Dissertation.
- ii.) *Methods and Materials:* The protocols and procedures used in the Dissertation studies should be presented in sufficient detail to allow reproduction of the experiments (Chapter II). A Dissertation provides an appropriate vehicle for experimental details that might be omitted from journal articles due to space limitations.
- iii.) *Results and Discussion:* Chapters III ...n of the Dissertation should present the results of the conducted studies followed by a discussion of their significance. The format for these chapters should follow that in the suggested manual of style or of a highly respected scientific journal, mutually agreed upon by the student and the mentor.
- iv.) *Conclusions:* A Dissertation should end with a general discussion of the studies that have been conducted including an assessment of the significance of the research, arguments of interpretation, evaluation of material included in appendices, and a plan for the experimental resolution of unanswered questions.

FORMAT B

- i.) *Introduction:* The comprehensive Dissertation begins with a scholarly introduction (Chapter I). This section should include a historical review of the student's area of research followed by a critical evaluation of the current status of the field. The student should then present working hypotheses and give an introduction to the system and the thesis research. The student should consult with his or her mentor in order to agree upon how extensive a historical review is appropriate to the Dissertation.
- ii.) *Manuscripts:* The body of the Thesis should be in the form of manuscripts that have been or are ready to be submitted for publication in a scholarly journal. Note that the format and style requirements described above must be adhered to for each and every chapter of the Dissertation. Each manuscript will constitute a chapter and will include a brief Introduction, Methods and Materials, Results, and Discussion. The candidate must be the first author of these manuscripts and must be responsible for their preparation. A footnote to the introduction must give bibliographic information for manuscript constituting the chapter. This information should include the full names of the authors, institutional affiliations, the journal and the status of the manuscript (i.e., submitted, published or in press)
- iii.) *Separate Chapter for Unpublished Data:* If the student is not first author: One of several options may be appropriate in cases in which the student is not first author of a manuscript that is to be presented in the Dissertation as a chapter: 1) The student may extract his or her own work from the manuscript for presentation in the Dissertation; 2) The manuscript may be included as an appendix to the Dissertation; 3) The manuscript may be included as a chapter if the student was responsible for the preparation of a significant portion of the manuscript. For all multi-authored manuscripts, the exact contribution of the student should be stated in an introductory statement or footnote preceding each chapter or in the appendix. If figures from a multi-author manuscript are used, it is imperative to indicate which figures are the student's works and which represent the work of other authors. In all cases in which figures are used, appropriate acknowledgement must be given. In addition, any contributions of co-authors must also be specified in the acknowledgment section.

Wherever pertinent, coworkers and helpers and other contributors should be acknowledged in the body of the text.
- iv.) *Conclusions:* A Dissertation should end with a general discussion of the studies that have been conducted including an assessment of the significance of the research, arguments of interpretation, evaluation of material included in appendices, and a plan for the experimental resolution of unanswered questions.

The following sections of the Dissertation are common to both formats:

- i.) *Title Page:* The title page is to list at the top the title of the Dissertation (which should not exceed seventy-two (72) letters and spaces), student's full name and signature, the full name and title of the Thesis mentor (and Co-mentor, if applicable). At the bottom of the title page, the following statement should be included:

"Submitted in partial fulfillment of the requirements for the Degree of Doctor of Philosophy in the Graduate Division of Medical Sciences, Albert Einstein College of Medicine, Yeshiva University, New York, (month and year)."

A sample page is shown at the end of this section which illustrates the format. The date given on the title page is when the final Dissertation (Thesis document) is submitted, not the date of the defense.

- ii.) *Abstract*: The abstract of the Dissertation is to include: a hypothesis, the procedures followed, the significant results and the general conclusions. The abstract is to be presented on a separate page headed with the word ABSTRACT in capital letters centered on the page. On the next line is the title of the Dissertation. The following line is the full name of the student. The length of the abstract must not exceed 600 words. (Please note the separate instructions for the 350 word microfilm copy abstract described in the first section of this manual.)
- iii.) *Acknowledgments*: This feature is not required, but offers a convenient opportunity to express the writer's appreciation to persons who have been especially helpful or to the publishers of materials from which data have been drawn and to whomever else acknowledgment should be given. The appropriate training or research grants should also be acknowledged in the Dissertation.
- iv.) *Table of Contents*: The table of contents should list the chapters or other division headings of the Dissertation, using the same words that appear in the body of the report. The numbers of the pages on which these items appear should also be given. The table of contents is to be followed by separate page listings for tables and for figures and illustrations.
- v.) *Bibliography*: The format for the references included in the bibliography should follow that in the suggested manual of style or a highly respected scientific journal. At a minimum, each reference must include the names of all authors, the title of the article, the name of the journal, the volume number and the pages of the article. Titles of articles must be included. The bibliographies of the Dissertation may be compiled for each chapter separately or together at the end of the Dissertation, at the discretion of the mentor and the student.
- vi.) *Supplementary Materials and Methods*: It may be appropriate for a more extensive presentation of Materials and Methods to be given in an appendix where it may be helpful to other investigators who wish to utilize procedures developed by the candidate. The candidate may also wish to include as appendix material more detailed presentations of data than appropriate for a scholarly journal or thesis.
- vii.) *List of Abbreviations*: A full and complete list of all abbreviations used in the text must be included.
- vii.) *Appendix*: The appendix may include but is not limited to:
 - Published papers – reprints, and/or submitted manuscripts. Published articles and/or submitted manuscripts must be included in the Thesis Appendix; printed PDFs are sufficient. The Appendix pages may be separately numbered, if desired. The page numbering in the Appendix does not continue from the Thesis page numbering.
 - Drafts of manuscripts expected to be submitted shortly
 - Surveys of patient or other data
 - High resolution figures
 - Computer programs

Sample title page for doctoral dissertation

AN EVOLUTIONARY VIEW OF THE MYC NETWORK IN
GROWTH CONTROL AND DIFFERENTIATION

by

Nicole Schreiber Agus

Candidate:

Thesis Advisor:

Signature

Signature

Nicole Schreiber Agus
Name

Ronald A. DePinho, M.D.
Name

Associate Professor of
Microbiology and Immunology
Title

Submitted in partial fulfillment of the requirements for the
degree of Doctor of Philosophy
in the Graduate Division of Medical Sciences

Albert Einstein College of Medicine
Yeshiva University
New York
June 1, 1994

47) Submission of the Thesis to the Committee

The Thesis must be presented to all members of the Thesis Defense Committee at least three weeks before the scheduled defense date. A member of the Thesis Defense Committee may require a postponement of the Thesis Defense if this requirement is not met. Within one week after the Thesis is delivered (two weeks prior to the defense) any Thesis Defense Committee member may request a pre-defense meeting of the Committee if, in the opinion of the Committee member, the Dissertation is not defensible. All expenses related to the defense and the Thesis are the responsibility of the student's Department. An honorarium is not appropriate and will not be provided by the Graduate Division.

48) Conduct of the Thesis Defense

The purpose of the Thesis Defense is to demonstrate in an oral form the knowledge and skills acquired to carry out research that provides new information on a significant problem. The following are recommended guidelines for conducting the Thesis Defense:

The Thesis Seminar, whenever possible, should immediately precede the Thesis Defense.

The Chair of the Defense Committee should be selected by the student and mentor, and must be a senior member of the faculty (see "Composition of the Thesis Defense Committee," page 2). The Chair will have been sent the Thesis Defense Report Form from the Graduate Division office and will bring this to the defense. The form is also available on the Graduate Division website (<http://www.einstein.yu.edu/phd/index.asp?thesis>). The Chair will identify to the group any members of the Defense Committee who have acted as a collaborator during the course of the student's research, and will confirm that the manuscript submission requirement has been met.

At the commencement of the defense, the student should be excused and the Chair (and/or mentor) will then provide a profile of the student's background, course work, and publication record.

The Chair, in consultation with the examiners, will then determine how the Thesis Defense will be conducted.

If any of the examiners expresses a serious concern with the content of the Thesis, a strategy should be developed whereby the questioning can address these concerns in a constructive manner.

The student will then be asked to return and the exam can commence. If a Thesis Seminar was not given immediately prior to the defense, the student should give a short (~10 minutes) synopsis of the major findings of his or her research.

It is strongly recommended that an external examiner be invited to the Thesis Defense. If an external examiner has been invited to participate in the Thesis Defense, it is recommended that this examiner be invited to commence the questioning period. Examiners will be allowed a ~10 min question period in turn, with the opportunity to have a second round of questioning. Alternatively, questions will be permitted to follow logically from the initial set of questions, with examiners sharing the examination period.

The mentor or co-mentors may be present during the defense, but cannot ask questions, and are not expected to answer any questions for the student unless clarification is asked for from the examiners.

The Chair should ensure that the defense is conducted in a professional manner, and that each examiner has the opportunity to ask questions. The Chair should also ensure that the length of the exam is appropriate. A typical exam period is 1 to 2 hours.

After the Chair has determined that the defense is at an end, the mentor and the student are asked to leave the room. The Thesis Defense Committee vote is confidential and the mentor should leave the room together with the student during the voting procedure. The defense is discussed, and a decision is made. The decision is determined by majority vote. If the vote is for “minor revision” then the mentor is usually given the responsibility of checking the final document. If the vote is for “major revision”, a member of the Committee or subcommittee is usually assigned to review and accept the corrections on behalf of the parent committee. A decision for “major revision” results in the grade of Conditional Pass (see below, “Evaluation of the Dissertation and the Thesis Defense”).

49) Evaluation of the Dissertation and the Thesis Defense

A Thesis Defense Report Form is available on the Graduate Division website (www.einstein.yu.edu/phd). When the examination is complete, the members of the Committee will sign the form, and the Chair of the Thesis Defense Committee will return the completed form immediately to the Graduate Division office. Students may receive a grade of *Pass*, *Conditional Pass* or *Fail* for the examination by majority vote of the Committee.

A grade of *Conditional Pass* will require the student to complete additional work on the thesis as set forth by the Committee. The report of the Committee will contain any recommendations for rectifying deficiencies if a grade of *Conditional Pass* has been given. Unless specified otherwise by the Committee, all deficiencies must be corrected within a period of two months of the date of the examination. The revised thesis must be submitted to the Chair of the Thesis Defense Committee three weeks prior to the final deadline date. If the deficiencies are not corrected to the satisfaction of the Committee (or the designated sub-committee), or not completed within the two-month deadline, the grade of *Conditional Pass* will be changed to *Fail*.

In the event of a grade of *Fail*, re-examination is at the discretion of the appropriate Department. The Department and the student’s Advisory Committee, working together with the student and mentor, must submit a written plan to the Associate Dean for completion of the PhD degree. The grade of *Fail* for the defense will lead to review by the Academic Affairs Committee and, in some cases, may lead to dismissal from the PhD program.

50) Conferring of the Degree

Following successful completion of the Thesis Defense and submission of all required paperwork to the Graduate Division office, the student and mentor will be notified in writing of the award of the PhD degree by the Associate Dean for Graduate Programs.

More paperwork absolutely required for the degree

The following paperwork must be submitted in order for the student to receive the doctoral degree.

Documents that must be submitted to the student’s home Department:

- Thesis copies:

No diploma will be granted until five copies of the Thesis, printed on good quality paper, in final form, (including the signatures of the candidate and his/her thesis mentor (and co-mentor, if applicable) on the title page) is submitted. Copies of the Thesis will be distributed as follows: a bound copy to the student's thesis advisor; a bound copy for the student's home Department; a bound copy to the student; a bound copy for the Samuel Gottesman library; an unbound copy for microfilming (this copy will be returned to the student after microfilming).

- Two copies of a 350-word dissertation abstract are required for the microfilming copy. This reduction in length will allow University Microfilms International (also referred to as "ProQuest") to provide an on-line, computerized version for Dissertation Abstracts International. (The following method for counting to remain within the 350 word limit may be helpful: - maximum 2,450 typewritten characters for the abstract, averaging 70 characters per line with a maximum of 35 lines).
- A signed and completed Doctoral Dissertation Publishing Agreement form (Proquest UMI Dissertation form). This agreement form is for microfilming and copyrighting of the Thesis.
- Written permission from the copyright holders if copyright material by the student (e.g. publications) or other authors, (e.g., tables, charts, pictures, etc.) are included in the Dissertation. Students must obtain permission to use previously copyrighted materials. For further copyright guidelines, go to <http://www.proquest.com/en-US/products/dissertations/copyright/>.

All thesis requirements must be fulfilled before a candidate can be recommended for a PhD degree.

Document that must be submitted to the Office of Student Affairs:

- Graduation Application Form

Documents that must be submitted to the Graduate Division office:

- The PhD Diploma Form indicating the student's full name as it should appear on the PhD diploma.
- A copy of the signed Thesis Title page. All signatures must be present.
- A signed and completed Survey of Earned Doctorates Form.
- The PhD Alumni Survey providing a forwarding address and a description of the student's next professional position.
- The Graduate Student Publications and Awards Form which is to list all publications including all published papers and manuscripts in preparation.

Completion of all requirements

All corrected/final copies of the Thesis and all additional paperwork must be filed *within 3 months after the successful Thesis Defense*. Permission to remain in the program beyond three months requires written approval from the Associate Dean for Graduate Programs. In the absence of such approval, the student may be placed on *unpaid* Academic Leave of Absence.

Granting of the PhD degree

All academic requirements must be fulfilled and communicated to the Associate Dean on or before the deadline dates for each of the official graduation dates as indicated on the Academic Calendar. This includes completion of all coursework and other Departmental requirements, successful defense of the thesis (*Conditional Pass* is not sufficient), completion of all revisions, deposit of five copies of the Thesis in the Department office, and completion of all required paperwork. Certification of receipt of the PhD degree may be made by the Associate Dean at any time during the year and formal award of the degree will then be made at the subsequent regular commencement exercises of the College of Medicine. The degree granting dates are: 1) the end of September, 2) end of January, and 3) the date of the College of Medicine Commencement exercises conducted at the end of May or beginning of June. **All financial obligations to the College of Medicine must be met prior to the release of the diploma.**

Participation in the Annual Commencement Ceremony

In order to participate in the Commencement Ceremony, all academic requirements must be fulfilled and communicated to the Associate Dean **on or before the April deadline date** (as published in the Academic Calendar). This includes completion of all coursework and other Departmental requirements, successful defense of the Thesis (*Conditional Pass* is not sufficient), completion of all revisions, deposit of five copies of the Thesis in the Department office, and completion of all required paperwork. **There will be no exceptions to this deadline.**

Change in status after successful Thesis Defense

Occasionally students who have successfully defended the thesis may elect to delay final submission of documents for a short period of time as they complete arrangements to move on. Students may remain as “active students” for a maximum of three months after the defense. This requires formal notification of the Associate Dean and Registrar. If all paperwork and corrected Thesis copies have not been submitted at the end of this period, students may be placed on *unpaid* Academic Leave of Absence until such requirements have been fulfilled. *Note:* students on an F1 visa are not eligible for an Academic Leave of Absence.

A student, who has successfully defended the Thesis and completed all requirements for the PhD degree, will no longer be an “active student.” If the student is to remain at the institution, the student’s status must be changed to that of “Postdoctoral Fellow.”

Change in status for international students

International students who have been studying at the Einstein on a student visa and intend to remain in the U.S. for further training must apply for “practical training” at least three (3) months prior to the date of the PhD Thesis Defense. Visa restrictions and requirements change frequently. Students are strongly advised to consult the International Students and Scholars Office (ISSO) at Einstein well in advance of any anticipated change in status.

These guidelines and all forms pertaining to the Thesis Defense and Graduation can be found on the Graduate Division Thesis website at: <http://www.einstein.yu.edu/phd/index.asp?thesis>

Section X: Graduate Division Policies on Conduct

51) Policy on Research Misconduct

The Einstein College of Medicine expects that all members of the academic community will display the highest personal integrity and conduct themselves according to accepted ethical standards in every aspect of their professional lives. Dishonesty in the academic arena can neither be accepted nor ignored by students and faculty of the College and it is their joint responsibility to see that the highest standards of conduct are upheld.

The following definition of "research misconduct" from the College's Policy on Research Misconduct (www.einstein.yu.edu/home/policies.asp) will be used to evaluate whether a student's research activities constitute scientific misconduct.

"Research misconduct includes fabrication, falsification, plagiarism in proposing, performing or reviewing research or reporting research results. Fabrication is making up data or results and recording or reporting them. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit."

Instances of suspected research misconduct involving laboratory research by students will be considered in accord with the Policy on Research Misconduct of the Albert Einstein College of Medicine.

Instances of professional misconduct by students that do not fall within the guidelines of research misconduct will be considered in accord with the Policy on Professional Conduct (see below). The Associate Dean will have primary responsibility for determining the appropriate venue for investigation of alleged misconduct, and seeing that the allegations are thoroughly and fairly investigated.

Responsible Conduct of Research:

Every student registered in the Graduate Division is required to complete the NIH mandated course *Responsible Conduct of Research* (RCR). The course is typically offered each Spring. Students must attend every class and every small group session in order to be certified as having completed the RCR course. If a student misses a class or small group session, the student will receive a grade of Incomplete (I) and will be required to register for the course and attend the missed class and/or small group session the following year. If a student fails to successfully complete the RCR course, due to absences, in two consecutive years, the student will be placed on academic probation by the Academic Affairs Committee.

52) Policy on Unlawful Harassment

The Einstein College of Medicine has adopted a policy of zero tolerance with respect to unlawful harassment as being antithetical both to the academic values of the College and the need for a work environment that is free from even the appearance of unlawful harassment or coercion. Unlawful harassment in any form is a violation of College policy.

Unlawful harassment includes harassment based on race, religion, color, creed, age, national origin or ancestry, sex, marital status, physical or mental disability, sexual orientation, or any other basis made unlawful by any applicable law, ordinance, or regulation.

53) Policy on Professional Conduct

The Graduate Division requires at all times the highest standards of professional conduct. Professional misconduct includes, but is not limited to, plagiarism or cheating in academic courses offered by the Graduate Division and by the Medical School, fabrication or falsification of academic work or data, intentionally damaging or interfering in the academic activities of other members of the College of Medicine, or assisting others in any of these acts and the failure to meet generally accepted standards of personal integrity and professional conduct. Inappropriate or disruptive behavior toward colleagues, faculty, or other College staff may constitute professional misconduct.

A student who is unsure of whether their actions, or those of others, constitute professional misconduct should consult with their mentor, Department Chair, Associate Dean, Director of the Medical Scientist Training Program or the Director of the Graduate Division. Ignorance of the standards of professional conduct will not exonerate a student from responsibility for their actions. Plagiarism or cheating will may result in dismissal from the Graduate Division.

Plagiarism

Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. All documents prepared as part of a student's academic or research activities should be free of plagiarism. This includes but is not limited to written examinations in classes, Qualifying Exam proposals, thesis proposals, fellowship applications, manuscripts, and the PhD thesis.

For in-class or take-home examinations in graduate courses, unless otherwise clearly stated in the instructions for the particular examination, it is fully expected that the student will work alone and without any assistance from other students or sources.

Suspension

In the case of serious concern for the health or safety of a student or any other person or College facility, the Associate Dean may, upon consultation with those Directors, mentors, and College officials deemed appropriate and informed, suspend a student immediately, pending further consideration by the appropriate and informed administrative staff, wherein a recommendation can be made for subsequent return to status, return to leave, or dismissal from the program.

Academic Affairs Committee Review

Either the student(s) or faculty involved in the incident or allegation may request a review by the Academic Affairs Committee in accordance with the procedure described below. Allegations that have no clear relation to academic performance or behavior may be handled directly through the Associate Dean, who will consult with appropriate and informed individuals and staff.

1. Allegations of professional misconduct are to be submitted in writing to the Associate Dean and must be sufficiently specific to provide a factual basis for investigation. Anonymous allegations are not acceptable.
2. A preliminary evaluation of an allegation will be made by the Associate Dean in consultation with the Director and Associate Director of the Graduate Division, and/or the Director of the MSTP (if applicable), and the Chair of the Academic Affairs Committee to determine whether the allegation falls within the purview of this policy and is sufficiently substantive to warrant investigation.
3. If it is determined that a review by the Academic Affairs Committee will proceed, the student will be promptly notified in writing by the Chair of the AAC of the nature and details of the allegation. The student will be advised of the procedures set forth herein and of the right to the advice of an advocate from the College of Medicine.
4. The review of the allegations of professional misconduct will be promptly conducted. The Associate Dean may appoint an *ad hoc* subcommittee, which will report to the Academic Affairs Committee. Members of the Academic Affairs Committee for whom there exists, or is perceived to exist, a conflict of interest will be excused from the review. The *ad hoc* subcommittee shall not include any member of the faculty where any conflict of interest exists or is perceived to exist. In addition to, or alternatively, the Associate Dean may request a review of the case from the Medical School Committee on Promotions and Professional Standards, which may make recommendations. These recommendations are not binding and may or may not be followed by the Associate Dean and/or the Academic Affairs Committee in determining the final disposition of the allegation.
5. The Academic Affairs Committee (or the *ad hoc* subcommittee) will attempt to obtain written and oral evidence from all sources the Committee determines to be appropriate and that it requires to evaluate the alleged misconduct. The review is not bound by the formal rules of evidence. The accused student may examine all the evidence against him/her and respond to the evidence. The student may present the facts of his/her case, provide witnesses to testify on his or her behalf, may be advised by a person from the College of Medicine, but may not have an attorney present at the review.
6. After reviewing the evidence the Academic Affairs Committee will provide a recommendation to the Associate Dean, who will decide the matter and prepare a written decision. A copy of the decision will be given to the student.
7. An appeal of the decision of the Associate Dean may be made to the Dean of the Medical School.

MSTP Students

All MSTP students are subject to the above described Graduate Division policies on misconduct. In the case of professional misconduct the MSTP student may also be referred to the Medical School's Committee on Student Promotions and Professional Standards and the Associate Deans of Student Affairs for review.

Appendix I: Department-Specific Course Requirements

General Graduate Division Course Requirements: PhD candidates must pass a minimum of seven graduate courses to be granted the PhD degree upon the successful defense of their thesis. MSTP candidates must pass a minimum of five graduate courses to be granted the PhD degree upon the successful defense of their thesis. All students must successfully complete the NIH mandated Responsible Conduct of Research course, and the Qualifying Examination.

Department-specific course requirements can fulfill Graduate Division course requirements (i.e. satisfaction of department-specific courses count towards the number of graduate courses required for the PhD degree).

Listed below are specific departmental requirements that are not covered in the main body of the Graduate Division “Academic Policies and Guidelines” handbook. Most notably, individual Departments may have specific requirements for number and type of courses. In addition, please note that Departments require attendance to other departmental activities such as journal clubs, WIP seminars and retreats, Advisory Committee meetings, and composition of the thesis and the Thesis Defense Committee. Additional departmental specific information may be obtained directly by contacting the relevant Graduate Executive Committee representative or the Departmental Graduate Committee.

Please note that the requirement for all first year students to take the course “Responsible Conduct of Research” is in addition to any departmental course requirements (i.e. it does not count towards one of the electives).

Departments

- I. Department of Anatomy & Structural Biology
- II. Department of Biochemistry
- III. Department of Cell Biology
- IV. Department of Clinical Investigation (PCI)
- V. Department of Developmental & Molecular Biology
- VI. Department of Genetics
- VII. Department of Microbiology & Immunology
- VIII. Department of Molecular Pharmacology
- IX. Department of Neuroscience
- X. Department of Pathology
- XI. Department of Physiology & Biophysics
- XII. Department of Systems & Computational Biology

I. Anatomy and Structural Biology

The Department requires that students take Graduate Biochemistry, Molecular Cell Biology, and five electives chosen in consultation with the student's advisor and Student Advisory Committee. The Department encourages students to choose Histology as one of the electives (either in the Summer MSTP course or in the fall). Students who have passed Histology can then acquire teaching experience by teaching the course as a laboratory instructor. A supplementary stipend is provided for teaching the course. Graduate students are expected to pass all required coursework before proceeding to the Qualifying Examination.

II. Biochemistry

Candidates for the PhD in Biochemistry are required to take Graduate Biochemistry, Biochemistry of Metabolic Regulation, and five additional courses or their equivalent. The additional courses are chosen in consultation with the Student Advisory Committee to provide both a broad base of scientific knowledge and in-depth knowledge in one's area of specialization. Normally, all course requirements are completed by the end of the second year of residence. The flexibility in course requirements permits specialization within the broad area of Graduate Biochemistry.

For students in the MSTP pathway, three graduate courses are required in addition to Graduate Biochemistry and Metabolic Regulation.

III. Cell Biology

Students in Cell Biology are required to take the Graduate Biochemistry course and six additional courses, for a total of seven courses. For MSTP students, a total of five courses, including the Graduate Biochemistry course, are required. Students are encouraged to take Molecular Genetics, Gene Expression, and Molecular Cell Biology.

IV. Clinical Investigation (PCI)

Scholars in the clinical investigation track are required to take the foundation course: Clinical Investigation Summer Intensive, as well as, Biostatistics II for Clinical Investigators, Biostatistics III with Data Analysis Lab, Epidemiology II for Clinical Investigators, and Advanced Topics in Epidemiology & Biostatistics.

V. Developmental and Molecular Biology

Student must complete a total of seven graduate courses (five for MSTP students). Exceptions must be approved by the Departmental Graduate Committee and the Chair of the Department.

All students must complete Graduate Biochemistry (Fall semester), and at least two of the following four Foundation Courses (at least one for MSTP students): Molecular Genetics, Molecular Cell Biology, Gene Expression, and Biochemistry of Metabolic Regulation.

Electives: Students will generally take four or more additional elective courses most relevant to their thesis project.

VI. Genetics

Students in the Department of Genetics are required to take Graduate Biochemistry, Molecular Genetics, and five other courses, one of which must be a foundation course.

VII. Microbiology & Immunology

M&I students are required to take the Graduate Biochemistry course (Fall semester) and at least one of the following: Graduate Microbial Pathogenesis, Immunology, or Virology.

Students are also required to take five additional courses (three for MSTP students).

VIII. Molecular Pharmacology

All students in Molecular Pharmacology must complete Graduate Biochemistry, Molecular Approaches to Drug Action & Design, and Hormone Action Signal Transduction.

Recommended courses: Molecular Cell Biology, Gene Expression, and Molecular Genetics

IX. Neuroscience

The current Department of Neuroscience-specific course requirements are: Molecular and Cellular Neuroscience, Developmental Neuroscience, Systems Neuroscience, and Neuroanatomy: Basic and Applied, and three electives (one for MSTP students)

X. Pathology

Candidates for the PhD degree in Pathology will be expected to obtain a broad and strong foundation in the biological sciences. Course requirements include: Graduate Biochemistry, Mechanisms of Disease, and one or more of the following: Molecular Genetics, Gene Expression, or Molecular Cell Biology.

XI. Physiology and Biophysics

Graduate students in Physiology and Biophysics are required to take two courses: Graduate Biochemistry and either Biophysical Chemistry of Macromolecules or Physiology, and five other graduate courses.

XII. Systems and Computational Biology

Students who wish to pursue a PhD in Systems and Computational Biology must successfully complete seven graduate courses. The following courses: Introduction to Systems Biology: Theory and Case Studies, and the Systems Biology Seminar must both be successfully completed. The other five courses will be determined with the help of the student's mentor and Advisory Committee, although Graduate Biochemistry and either Molecular Genetics or Gene Expression.

Appendix II: Medical Scientist Training Program (MD/PhD) **Graduate Requirements**

Graduate Course Requirements

MSTP students must pass a minimum of five graduate courses, including two Foundation courses, to be granted a PhD degree upon successful defense of their thesis.

The courses, MSTP Histology and MSTP Mechanisms of Disease do not count towards the five required graduate school courses for MSTP students.

The course, MSTP Physiology does count towards the five required courses for MSTP students and is a Foundation course.

With the written approval of the Associate Dean for Graduate Programs, students who matriculate into the MSTP holding a Master of Science degree in a relevant scientific discipline must pass a minimum of three graduate courses to be granted the PhD degree upon the successful defense of their thesis. For MSTP students with an MS degree, one of the three graduate courses should be a Foundation course.

Responsible Conduct of Research

Every MSTP student must complete successfully (usually in the first year) the NIH mandated course *Responsible Conduct of Research*, offered each Spring semester.

Course Exemptions

MSTP students may be granted exemption for graduate courses if they have successfully completed similar graduate courses in their previous training. “Transfer credit” is not available for MSTP students. The determination of whether to grant an exemption for graduate level courses taken at other institutions (including courses taken at foreign institutions) will be decided by the Associate Dean or Program Director, who acts upon the recommendation of the faculty member who is the leader of the course for which exemption is being sought. The student must present the syllabus and related course information, in order for the course leader to determine equivalency. The student must present evidence of successful completion of the course requirements (i.e., an official grade on their transcript) in order to receive an exemption. The course leader may recommend “exemption” in which case the exempted course does not count toward the total number of required courses, but may fulfill a program or Department requirement (for example Graduate Biochemistry). In this case, credit is not given, meaning that a different course should be taken in its place. The Associate Dean or Program Director must approve an exemption.

An MSTP student wishing to receive credit for graduate courses taken at another institution while registered as an Einstein student must receive the written approval of the Program Director and the Associate Dean (see Section 15, Transfer Credit). Please note: the maximum number of graduate courses that can be taken outside the College of Medicine and funded by the Graduate Division is limited to two per student. No more than two outside courses may be used toward satisfying the requirement of five graduate courses.

Individual Departments may have specific requirements for number and type of courses, and other Departmental activities that a student must complete as a member of the Department or program (see Appendix I).

MD Course Requirements

During the first year of the MSTP, students will take the following medical school classes: Unit 2 of Molecular and Cellular Foundations of Medicine (MCFM), Pharmacology, Renal Systems-Pathophysiology/Pathology. In addition, first year MSTP students are expected to take MSTP Histology, MSTP Physiology, MSTP Anatomy, and MSTP Mechanisms of Disease. They will usually take two graduate courses in the Fall including Graduate Biochemistry and an elective of their choice and one or two elective graduate courses during the Spring semester plus Responsible Conduct of Research. All other first year medical school classes are optional for MSTP students.

During the second year of the MSTP, students take the entire second year medical school curriculum with the second year medical school class. MSTP students are expected to take the USMLE Step 1 exam by July 1, prior to beginning their thesis research. Students may take the USMLE Step 1 exam after July 1 only with permission of the Program Director. Students who do not pass the USMLE Step 1 exam must develop a plan with the Program Director to retake the exam in a timely fashion.

Research/Laboratory Rotations

The goal of research/laboratory rotations is to identify a mentor(s) in whose research group the student will perform their thesis research project. MSTP students must perform at least one research rotation. MSTP students will generally perform one research rotation during the Summer prior to their first year in the MSTP. They will perform one or two rotations during the Summer between the first and second year in the program. Students will usually choose their thesis mentor in consultation with the Program Director following these rotations. MSTP students must obtain permission from the MSTP Director prior to declaring a thesis laboratory. In rare cases, with permission of the Program Director, the student may perform additional rotations following completion of the second year and the USMLE Step 1 exam. Students must perform one rotation, with permission of the Program Director they can rotate in the same research group during the summer between their first and second year if they plan to perform their thesis research with that mentor.

Qualifying Exam

MSTP students are expected to take the Qualifying Exam during the Spring of their third year in the program with the same deadlines and requirements as all students in the Graduate Division.

Thesis Defense

MSTP students must have successfully defended their PhD thesis before they will be certified to go onto the clinical part of their training.

A student who wishes to write and defend their thesis must be in “active student” status.

The PhD degree is officially granted on the same date as the MD degree.

Appendix III: Resources and Support

Library

Instruction Sessions and Workshops

The library regularly schedules workshops for students. These workshops are announced and posted on the Library's events calendar (<http://library.einstein.yu.edu/Research/classes.php>).

LibGuides

For information on research assistance, subject guides, career development, and other useful resources, please visit the Library's LibGuides website: <http://libguides.einstein.yu.edu/index.php>

Counseling

The Office of Academic Support and Counseling provides students with variety of support services including academic support and personal counseling. The Einstein support team incorporates both a professional component run through the OASC and a student run peer advisory system for both the medical and graduate programs. This allows for all students to acquire the guidance and help they need while at Einstein.

For more information, please visit the OASC website:

http://www.einstein.yu.edu/oasc/page.aspx?id=15610&ekmense1=15074e5e_2496_2498_btnlink

Tutoring

The Graduate Division provides tutoring to graduate students with insufficient preparation in specific areas of science or to students who are having difficulty with specific courses. Tutoring is arranged through the Graduate Division office (Belfer 202). Students who receive tutoring should attend all scheduled review sessions for the course in which they are being tutored.

Appendix IV: Einstein Policies and Procedures

Visit <http://www.einstein.yu.edu/home/policies.asp> for Institutional Policies on the following:

- Authorship
- Commitments Requiring Prior Institutional Authorization
- Compliance Hotline
- Conflict of Interest
- Computer Policy
- Drug Policy (PDF)
- Emergency Response Policy (PDF)
- Employment Advertising and Use of Web Sites
- Equipment Policy and Procedures Manual
- Facilities & Administrative (indirect) Cost Rates for Grants and Contracts
- Faculty and Academic Institutional Responsibilities for Educating Students
- Faculty Leaves of Absence
- Faculty Vacation
- Guidelines for Use of the College Name
- Guidelines For Website Publishing
- Human Embryonic Stem Cell Research(PDF)
- Holiday Closings
- Industrial Research Collaboration
- Missing Student Policy
- Non-Discrimination, Affirmative Action & Unlawful Harassment (PDF)
- Outside Professional Income (PDF)
- Patents and Licensing Agreements
- Procedures Regarding Complaints of Unlawful Harassment (PDF)
- Membership of the Panel on Unlawful Harassment (PDF)
- Relocation Expenses
- Research Grants (PDF)
- Rules and Regulations Providing for System of Appointments, Titles and Compensation Arrangements (PDF)
- Research Misconduct
- Salary Information
- Sabbatical Leave
- Smoking
- Travel
- Tuition Reduction for Children of Qualified Einstein Faculty (PDF)
- Use of Copyrighted Material
- Use of Outside Consultants

Appendix V: Student Records and Privacy Rights of Students

Student academic records are private and confidential in accordance with the Federal Family Educational Rights and Privacy Act (FERPA) of 1974 (Section 438 of the General Education Provisions Act, 20 USC 1232g), commonly referred to as the "Buckley Amendment."

Revisions may be published from time to time to conform to the law and college policies.

A. Definitions of terms used in the act

- 1 "Students" includes individuals who are, or have been, in attendance in the Graduate Programs of the Biomedical Sciences. FERPA does not apply to records of applicants who were accepted but did not attend the institution or who were rejected. When a student has attained 18 years of age, the rights accorded to and the consent required of the parent shall be accorded to and required of the student.
- 2 "Parent" includes a parent, a guardian, or an individual acting as a parent or guardian.
- 3 "Financial Aid" means a payment of funds provided to an individual which is conditioned on the individual's attendance at an educational agency or institution.
- 4 "Educational Record" refers to educational information on the student recorded in any medium.

B. Type and Location of Records kept at Einstein

- 1 The primary ("official") academic record of graduate students is the record kept in the Graduate Division office under supervision of its Registrar.
- 2 In addition to the primary record maintained by the appropriate Registrar, informal or "unofficial" educational records may be kept for graduate students by Deans of the school, Program Directors, course leaders, committees and subcommittees of the Graduate Division, advisors, faculty and individual Basic Science Departments. Inquiries concerning these records should be made in writing to the appropriate person, individual, department or administrative office.
- 3 Additional records pertaining to MSTP students will be kept in the Medical School and are in the charge of the Medical School. Inquiries from MSTP students concerning their records should be directed to the Registrar of the Einstein Medical School.
- 4 Records pertaining to student finances are kept in the Student Finance Office and are in the charge of the Student Finance Officer. Inquiries from students concerning these records should be made in writing to the head of the Student Finance Office.

C. Inspection and Review of Records

- 1 Students may inspect and review their education records upon written request to the person in charge of the records, as listed above. That person will comply as soon as possible; under the current law, this must be done within forty-five days of the written request. Students may

also review their unofficial transcript and history of courses taken by accessing their record through MyYU (Banner-web).

- 2 Students have the right to review and inspect all documents in the records except:
 - a. Confidential evaluations and letters of recommendation filed before January 1, 1975
 - b. Evaluations and recommendations filed after January 1, 1975 if the student has waived the right to see them
 - c. Those documents classified by the Privacy Rights law as non-educational records including:
 - I. Records maintained personally by instructional, supervisory or administrative personnel that are not available to others
 - II. Records created or maintained by a physician, psychiatrist or psychologist acting in a professional capacity
 - III. Records containing only information relating to a person after that person is no longer a student at the University.
 - IV. Records, such as those which may be maintained by the College's Office of General Counsel, the confidentiality of which is protected by law.
 - V. Those portions of the Educational Record that contain information about other students.
- 3 If, after inspecting and reviewing their records, students have any questions about them, they may request an oral or written explanation and interpretation.
- 4 Students may also secure a copy of every document in their academic record open as described above. A specific form must be submitted to the Registrar in order to obtain this copy.

D. Correction of Records

- 1 If, after inspecting and reviewing their academic records, the student believes that any information contained in them is inaccurate, misleading or violates their privacy or other rights, the student may request in writing that the office which contains those records amend them.
- 2 That office must reach a decision and inform the students making such requests of the decision in writing, within a reasonable period of time.
- 3 If the office refuses to amend the record in accordance with a student's request, the student has the right to a hearing.
- 4 This hearing will be conducted by a committee appointed by the Associate Dean, consisting of persons who do not have a direct interest in the outcome of the hearing.

- 5 The hearing will be held within a reasonable period of time after the student has made the request and the student will be given notice of the date, place, and time, reasonably in advance of the hearing.
- 6 Students will be afforded a full and fair opportunity to present evidence relevant to the issue raised, and may be assisted or represented by individuals of their own choice at their own expense, including an attorney.
- 7 The committee will make its decision in writing within a reasonable period of time after the conclusion of the hearing.
- 8 The decision of the committee will be based solely upon the evidence presented at the hearing and will include a summary of the decision and reason for the decision.
- 9 If, as a result of the hearing, the committee supports the complaint of the student, the education records of the students will be amended accordingly and the student will be so informed.
- 10 If the committee decides against the student, they have the right to place in their record a statement commenting on the information in the record and/or stating their reasons for disagreeing with the decision. This explanation will be maintained by the University as part of the education record of the student as long as those records are maintained, and whenever a copy of those records are sent to any party, the explanation will accompany them.

E. Disclosure of Information from Records

- 1 No office maintaining an education record of students will disclose any personally identifiable information to anyone outside the institution without the written consent of the student, unless consent is not required by law.
- 2 With the prior approval of the Associate Dean or Program Directors the primary record of graduate students may be disclosed without their written consent to faculty members and school officers within the College who have a legitimate educational interest in the information. This includes mentors, potential mentors identified by the student, Training Grant directors, Qualifying Exam Committees, Student Advisory Committees, and Departmental Education Committees.

Other educational records may be disclosed without written consent to faculty members, school officers and advisors at the discretion of the individual responsible for them.

- 3 The College reserves the right to forward a student's educational records to another school in which it understands that the student is currently enrolled, or seeks, or intends to enroll, without the written consent of the student.
- 4 The records of students may be disclosed without their written consent to those federal and state government agencies and officials to whom information is specifically required to be reported or disclosed by law.
- 5 The records of students may be disclosed without their written consent to an agency to which students have applied for, or from which they have received financial aid.

- 6 The records of students may be disclosed without their written consent to certain educational agencies and institutions conducting studies, provided that the studies are conducted in a manner which will not permit the personal identification of students by individuals other than representatives of the organization and that the information will be destroyed when no longer needed for the purpose for which the study was conducted.
- 7 The records of students will be disclosed without their written consent as required to comply with a judicial order or subpoena.
- 8 The records of students may be disclosed without their written consent in a health or safety emergency, if knowledge of the information is necessary to protect the health and safety of the student or other individuals.

F. Directory Information

The following information related to the student is considered "directory information": student name, Einstein email address, campus address, telephone number, date and place of birth, participation in officially recognized activities, dates of attendance, degrees and awards received and similar information. The school may disclose directory information without the student's consent unless the student informs the Registrar in writing that any or all such information about the student is not to be made public without his or her written permission.

G. Right of Complaint

If a student feels that the College is not complying with the requirements of the Family Educational Rights and Privacy Act of 1974, or the regulations issued by the Department of Health, Education and Welfare implementing that Act, he, or she may file a complaint in writing with:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Ave, SW
Washington, D.C. 20202-8520

Appendix VI: AAMC's Compact between Biomedical Graduate Students and Their Advisors

AAMC: Association of American Medical Colleges

These guiding principles, known as the *Compact Between Biomedical Graduate Students and Their Research Advisors*, are intended to support the development of a positive mentoring relationship between the pre-doctoral student and their research advisor. A successful student-mentor relationship requires commitment from the student, mentor, graduate program, and institution. This document offers a set of broad guidelines which are meant to initiate discussions at the local and national levels about the student-mentor relationship.

The Compact was prepared by the AAMC Group on Graduate Research, Education, and Training (GREAT) and is modeled on the AAMC Compact Between Postdoctoral Appointees and Their Mentors, available at www.aamc.org/postdoccompact. Input on this document was received from the GREAT Group Representatives and the members of the AAMC governance. The document was endorsed by the AAMC Executive Council on September 25, 2008.

The Compact is available on the AAMC Web site at: www.aamc.org/gradcompact

Compact Between Biomedical Graduate Students and Their Research Advisors

Pre-doctoral training entails both formal education in a specific discipline and an apprenticeship in which the graduate student trains under the supervision of one or more investigators who are qualified to fulfill the responsibilities of a mentor. A positive mentoring relationship between the pre-doctoral student and the research advisor is a vital component of the student's preparation to become not only an independent and successful research scientist but also an effective mentor to future graduate students.

Individuals who pursue a biomedical graduate degree are expected to take responsibility for their own scientific and professional development. Faculty who advise students are expected to fulfill the responsibilities of a mentor, including the provision of scientific training, guidance, instruction in the responsible conduct of research and research ethics, and financial support. The faculty advisor also performs a critical function as a scientific role model for the graduate student.

Core Tenets of Pre-doctoral Training

Institutional Commitment

Institutions that train biomedical graduate students must be committed to establishing and maintaining high-quality training programs with the highest scientific and ethical standards. Institutions should work to ensure that students who complete their programs are well-trained and possess the foundational skills and values that will allow them to mature into independent scientific professionals of integrity. Institutions should provide oversight for the length of study, program integrity, stipend levels, benefits, grievance procedures, and other matters relevant to the education of graduate students. Additionally, they should recognize and reward their graduate training faculty.

Program Commitment

Graduate programs should endeavor to establish graduate training programs that provide students with the skills necessary to function independently in a scientific setting by the time they graduate. Programs should strive to maintain scientifically relevant course offerings and research opportunities. Programs should establish clear parameters for outcomes assessment and closely monitor the progress of the graduate students during their course of study.

Quality Mentoring

Effective mentoring is crucial for graduate school trainees as they begin their scientific careers. Faculty mentors must commit to dedicating substantial time to graduate students to ensure their scientific, professional and personal development. A relationship of mutual trust and respect should be established between mentors and graduate students to foster healthy interactions and encourage individual growth. Effective mentoring should include teaching the scientific method, providing regular feedback in the form of praise and constructive criticism to foster individual growth, teaching the “ways” of the scientific enterprise, and promoting students’ careers by providing appropriate opportunities. Additionally, good graduate school mentors should be careful listeners, actively promote and appreciate diversity, possess and consistently exemplify high ethical standards, recognize the contributions of students in publications and intellectual property, and have a strong record of research accomplishments and financial support.

Provide Skills Sets and Counseling that Support a Broad Range of Career Choices

The institution, training programs, and mentor should provide training relevant to academic, industrial, and research careers that will allow their graduate students to appreciate, navigate, discuss, and develop their career choices. Effective and regular career guidance activities should be provided, including exposure to academic and non-academic career options.

Commitments of Graduate Students

- **I acknowledge that I have the primary responsibility for the successful completion of my degree.** I will be committed to my graduate education and will demonstrate this by my efforts in the classroom and the research laboratory. I will maintain a high level of professionalism, self-motivation, engagement, scientific curiosity, and ethical standards.
- **I will meet regularly with my research advisor and provide him/her with updates on the progress and results of my activities and experiments.**
- **I will work with my research advisor to develop a thesis/dissertation project.** This will include establishing a timeline for each phase of my work. I will strive to meet the established deadlines.
- **I will work with my research advisor to select a thesis/dissertation committee.** I will commit to meeting with this committee at least annually (or more frequently, according to program guidelines). I will be responsive to the advice of and constructive criticism from my committee.

- **I will be knowledgeable of the policies and requirements of my graduate program, graduate school, and institution.** I will commit to meeting these requirements, including teaching responsibilities.
- **I will attend and participate in laboratory meetings, seminars and journal clubs that are part of my educational program.**
- **I will comply with all institutional policies, including academic program milestones.** I will comply with both the letter and spirit of all institutional safe laboratory practices and animal-use and human-research policies at my institution.
- **I will participate in my institution's Responsible Conduct of Research Training Program and practice those guidelines in conducting my thesis/dissertation research.**
- **I will be a good lab citizen.** I will agree to take part in shared laboratory responsibilities and will use laboratory resources carefully and frugally. I will maintain a safe and clean laboratory space. I will be respectful of, tolerant of, and work collegially with all laboratory personnel.
- **I will maintain a detailed, organized, and accurate laboratory notebook.** I am aware that my original notebooks and all tangible research data are the property of my institution but that I am able to take a copy of my notebooks with me after I complete my thesis/dissertation.
- **I will discuss policies on work hours, sick leave and vacation with my research advisor.** I will consult with my advisor and notify fellow lab members in advance of any planned absences.
- **I will discuss policies on authorship and attendance at professional meetings with my research advisor.** I will work with my advisor to submit all relevant research results that are ready for publication in a timely manner prior to my graduation.
- **I acknowledge that it is primarily my responsibility to develop my career following the completion of my doctoral degree.** I will seek guidance from my research advisor, career counseling services, thesis/dissertation committee, other mentors, and any other resources available for advice on career plans.

Commitments of Research Advisors

- **I will be committed to the life-long mentoring of the graduate student.** I will be committed to the education and training of the graduate student as a future member of the scientific community.
- **I will be committed to the research project of the graduate student.** I will help to plan and direct the graduate student's project, set reasonable and attainable goals, and establish a timeline for completion of the project. I recognize the possibility of conflicts between the interests of externally funded research programs and those of the graduate student, and will not let these interfere with the student's pursuit of his/her thesis/dissertation research.
- **I will be committed to meeting one-on-one with the student on a regular basis.**
- **I will be committed to providing financial resources for the graduate student as appropriate or according to my institution's guidelines, in order for him/her to conduct thesis/dissertation research.**

- **I will be knowledgeable of, and guide the graduate student through, the requirements and deadlines of his/her graduate program as well as those of the institution, including teaching requirements and human resources guidelines.**
- **I will help the graduate student select a thesis/dissertation committee.** I will assure that this committee meets at least annually (or more frequently, according to program guidelines) to review the graduate student's progress.
- **I will lead by example and facilitate the training of the graduate student in complementary skills needed to be a successful scientist, such as oral and written communication skills, grant writing, lab management, animal and human research policies, the ethical conduct of research, and scientific professionalism.** I will encourage the student to seek opportunities in teaching, if not require by the student's program.
- **I will expect the graduate student to share common laboratory responsibilities and utilize resources carefully and frugally.**
- **I will not require the graduate student to perform tasks that are unrelated to his/her training program and professional development.**
- **I will discuss authorship policies regarding papers with the graduate student.** I will acknowledge the graduate student's scientific contributions to the work in my laboratory, and I will work with the graduate student to publish his/her work in a timely manner prior to the student's graduation.
- **I will discuss intellectual policy issues with the student with regard to disclosure, patent rights and publishing research discoveries.**
- **I will encourage the graduate student to attend scientific/professional meetings and make an effort to secure and facilitate funding for such activities.**
- **I will provide career advice and assist in finding a position for the graduate student following his/her graduation.** I will provide honest letters of recommendation for his/her next phase of professional development. I will also be accessible to give advice and feedback on career goals.
- **I will provide for every graduate student under my supervision an environment that is intellectually stimulating, emotionally supportive, safe, and free of harassment.**
- **Throughout the graduate student's time in my laboratory, I will be supportive, equitable, accessible, encouraging, and respectful.** I will foster the graduate student's professional confidence and encourage critical thinking, skepticism and creativity.

The Compact is available on the AAMC Web site at: www.aamc.org/gradcompact



Albert Einstein College of Medicine
OF YESHIVA UNIVERSITY

**GRADUATE PROGRAMS IN THE
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