



Albert Einstein College of Medicine  
OF YESHIVA UNIVERSITY

## Graduate Programs in the Biomedical Sciences

*Sue Golding Graduate Division*

**Academic Policies and Guidelines**  
2009-2010

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## **Additional Documents and Forms**

The following forms are available through the Graduate Division website ([www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd)):

- |  |  |
|--|--|
| -Rotational Registration and Evaluation Forms      | -Thesis Defense Committee Form         |
| -Thesis Laboratory and Department Declaration Form | -Thesis Defense Committee Report Form  |
| -Change of Laboratory Form                         | -Course Withdrawal Form                |
| -Occupational Health Service (OSHA) Form           | -Leave of Absence Form                 |
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|  | -Request for Duplicate Diploma Form    |

The following documents are available through the main Einstein policies website ([www.einstein.yu.edu/home/policies.asp](http://www.einstein.yu.edu/home/policies.asp))

1. Einstein Policies on Non-Discrimination, Affirmative Action and Unlawful Harassment
2. Einstein Policies on Research Misconduct
3. Einstein Policies on Patent and Licensing Agreements
4. Einstein Policies on Conflict of Interest
5. Einstein Guidelines for Use of the College Name
6. Einstein Computer Policy
7. Einstein Policies on the Use of Copyrighted Materials

Additional institutional policies may also be found through the main Einstein policies website ([www.einstein.yu.edu/home/policies.asp](http://www.einstein.yu.edu/home/policies.asp))

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](http://www.einstein.yu.edu/phd/index.asp?current-students), for the most updated version of the Academic Policies and Guidelines.

# **Graduate Programs in the Biomedical Sciences**

## **Albert Einstein College of Medicine** *of Yeshiva University*

Sue Golding Graduate Division

### **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 Advisory and Thesis Defense Committees. The Academic Policies of the Graduate Division are described below 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. Copies of applicable College policies are included as Appendices or are available in the Graduate Division office.

## **2) Programs and Supervising Staff**

The Einstein Graduate Division administers the Programs in the Biomedical Sciences, and is currently comprised of three distinct Programs: The PhD Program, the Medical Scientist Training Program (MSTP), and the Summer Undergraduate Research Program (SURP). Each Program is administered through the Office of the Assistant Dean for Graduate Studies in Belfer 203.

The Dean of the Medical School appoints the Assistant Dean for Graduate Studies. The Assistant 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. Oversight for each Program is the primary responsibility of each individual Program Director.

## **3) Composition of the Graduate Division**

The Graduate Division is comprised primarily of the Departments that are accredited 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 Assistant Dean or the Director of the MSTP.

## **4) Who’s Who in the Administration**

**The Assistant Dean** oversees all aspects of the Graduate Division and is responsible for implementing policies that promote excellence in graduate education. The Assistant 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 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 Assistant Dean selects the Director of the SURP and the Chairs of the sub-committees of the Graduate Committee. The Assistant Dean also appoints the Director of the PCI.

**The Associate Director** is appointed by the Dean, at the recommendation of the Assistant 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 Assistant Dean or the Program Directors with any questions, problems, or suggestions related to their graduate education. It is the responsibility of the Assistant 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** 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.

## **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 Assistant Dean for improving the Programs.

**The Graduate Committee.** The Graduate Committee is comprised of representatives from each of the Basic Science Departments, the PCI, the Associate Director of the Graduate Division, the MSTP Director, the PhD Program Director, 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 Assistant 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.

At the discretion of the Department Chairs, the members of the Graduate Committee change frequently. The current composition of the Committee for the current academic year is available from the Graduate Division office.

There are sub-committees of the Graduate Committee, the detailed functions of which are described further in specific sections of this document. The Graduate Student Council and the MSTP Student Council further represent the interests of the PhD and MSTP students.

**The Admissions Committee** is comprised of representatives from each of the Basic Sciences departments, the PCI, and one member at large from the Minority Affairs Committee. Members serve terms of two to three years. The Admissions Committee evaluates the acceptability of applicants for matriculation in the Graduate Division. In this Committee, the Program Director appoints the Chair. The current composition of the Committee is available from the Graduate Division office.

**The Curriculum Committee** is responsible for the development, implementation and review of the Graduate Curriculum. The Curriculum Committee includes a faculty representative from each of the Basic Science Departments, the PCI, and three students elected by the GSC. Faculty representatives to the Curriculum Committee do not have to be course leaders. Individual faculty and student members may not serve concurrently on the Graduate Committee and the Curriculum Committee. The 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 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 current composition of the Committee is available from the Graduate Division office.

**The Academic Affairs Committee** includes a single representative from each of the Basic Science Departments and the PCI. 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 Assistant Dean or Program Directors. 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 will also review students who have been in the Program for six years or longer, as well as, issues of ethics and professional misconduct as they relate to students in the program. The current composition of the Committee is available from the Graduate Division office.



**The Qualifying Examination Committee** is composed of faculty representatives from each of the Departments and serves to organize the Qualifying Examination and make recommendations regarding the Qualifying Exam Guidelines. The current composition of the Committee is available from the Graduate Division office.

**The MSTP Steering Committee** is assembled by the MSTP Director and includes faculty and students who advise on admissions and other issues specific to the Medical Scientist Training Program. The current composition of the Committee is available from the Graduate Division office.

**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](http://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 of Yeshiva University

Yeshiva University is accredited by the Commission of Higher Education of the Middle States Association of Colleges and Schools. The following are the codes registered by the New York State Education Department for the designated PhD degrees granted by Yeshiva University:

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

## **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) Admission: 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 PhD student retains equivalent rights and responsibilities, subject to program policies.

First, students accepted into the "**rotational pathway**" 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, students may be accepted directly into a laboratory and a Department (the "**direct pathway**") and will participate in at least one laboratory rotation, 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](http://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.

## **8) 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 Program Director and the Chair of the Admissions Committee will determine evaluation of equivalency, including qualifications of foreign students.

All applications to the PhD program must be submitted directly online ([www.einstein.yu.edu/phd](http://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 approval of the Program Director. One GRE subject test is recommended, but not required. 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](http://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 students 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.

## 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](http://www.einstein.yu.edu/phd)) after September 1<sup>st</sup>, for entrance the following August. Applications may be submitted after September 1<sup>st</sup> and all materials must be received by January 1<sup>st</sup>, the application deadline, to guarantee consideration in a timely fashion.

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](mailto:phd@einstein.yu.edu)  
MSTP program and MSTP application queries: [mstp@einstein.yu.edu](mailto: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. Students who are admitted to the Graduate Division through the rotational and direct pathways will matriculate the following August for the Fall semester. Admission to the Graduate Program is contingent on completion of the undergraduate degree. The final undergraduate 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. **There is only one date of matriculation (Fall Semester) and students may not enter the program mid-year.**

For application to the MSTP, see the directions on the MSTP homepage ([www.einstein.yu.edu/home/mstp](http://www.einstein.yu.edu/home/mstp)). 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.)

### **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. Some students finish in as few as three years, while others take longer than five years, in particular to finish work that leads to significant publications. There is no defined time period of research that qualifies a successful PhD, and it is not possible to guarantee a precise timeline for completion of a 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 a 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: Laboratory Rotations and Courses**

Graduate Courses. During the first year, the Program Directors and Associate Director advise students on choosing graduate courses. The bulk of foundation graduate course work is taken during the first two years, typically two courses per semester. Any failure in coursework will be cause for review by the Academic Affairs Committee (see below).

Laboratory Rotations. It is expected that three rotations will be performed during the first year, and any exceptions must be approved by the Program Director. Grades will be assigned by the mentor at the end of each rotation; those grades become part of the student's academic record. Rotations are not permitted beyond the end of the summer session of the first year, and students are required to have declared and have been admitted into a laboratory by the start of the Fall semester in year two, unless a specific alternative plan has been developed with the approval of the Assistant Dean. If after the completion of four laboratory rotations, the student has not identified a mentor and a laboratory to declare, the student's academic record must be reviewed by the Academic Affairs Committee and a recommendation for dismissal or withdrawal may be sent to the Assistant Dean. For MSTP students the rotations are generally performed during the first and second summers. Laboratory declaration occurs at the end of the first academic year (or end of second academic year for MSTP). For students who entered via the Direct Pathway, the laboratory declaration occurred upon matriculation and one laboratory rotation is required during any rotation period the first year. Direct Recruit students must complete this required rotation during the first year. 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 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. It is best to complete as much of the foundation material as possible during the first three semesters. One foundation course or an upper level specialty course is often taken in the Spring of year two.

Thesis Research. During this period 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.

It is expected that in the Spring of year two, students will take the Qualifying Examination. Approval for exceptions to this policy must be granted by the Program Director or the Assistant Dean, who may consult with the mentor, the Advisory Committee, and/or the Academic Affairs Committee. The format of the Qualifying Exam will be described below.

By the end of the second year, the student must have chosen an Advisory Committee (see below) 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 Fall.

### **Year Three: Develop the Thesis Aims**

If necessary, additional courses are taken in the third year to finish any 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 is scheduled to evaluate progress thus far. It is expected that manuscript drafts should begin to be developed.

### **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. To march in the June graduation, all required paperwork (including the thesis, thesis defense, and additional forms) must be submitted before the end of April, by the date 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. Some students will continue into the sixth year, in particular if experiments are ongoing that will lead to significant publications. Permission to continue thesis research beyond the fifth year will require submission of a modified Exit Strategy, developed by the student in conjunction with the mentor and the Advisory Committee. This will be reviewed by the Academic Affairs Committee, and requires the approval by the Program Director for registration in the sixth year and beyond.

## **IV: Student Information on Registration and Courses**

### **11) Formal Residency Requirements**

Matriculated students of the Graduate Division are formally defined as candidates 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 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 Program Director and Assistant Dean. Failure to comply with this policy may lead to dismissal. There is no “part-time” status in the Graduate Division.

Fifteen hours of lecture, seminar or conference per semester, or thirty hours of laboratory exercises per semester, comprise one semester hour. (i.e., a course given over one semester consisting of forty-five hours of lecture and/or conference, constitutes three 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 semester hours.

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

### **12) Graduate 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:

1. 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.
2. For PhD candidates, a minimum of three of the seven courses must be “Foundation Courses” as defined by the Curriculum Committee. For students in the MSTP, two of the five courses must be Foundation Courses. The other courses may be “Electives”.
3. Students may also apply for “transfer credit” upon the recommendation of the current graduate course leader.

Courses, for which a student has been granted “transfer credit,” as described in Section 15 of the Academic Policies and Guidelines, may be substituted in the appropriate category and counted towards course requirement. However, no more than two graduate courses can be approved for “transfer credit” and no additional



“transfer credit” will be applied if students are afforded the “Master’s credit.” (In this case, only exemptions apply.)

Transfer credit is not available for MSTP students.

4. Students may also apply for course exemption upon recommendation of the course leader.

Courses from which the student is exempt will be indicated as such on the transcript, but will not be counted toward the minimum graduate course requirements.

5. With the written approval of the Assistant Dean for Graduate Studies, students who matriculate into the PhD program holding a Master of Science Degree from a relevant discipline must pass a minimum of five courses (PhD program) or three graduate courses (MSTP) to be granted the PhD degree upon the successful defense of their thesis. For PhD students, two of these courses must be Foundation courses. For students in the MSTP, one to two should be a Foundation course at the recommendation of the MSTP Director.

Students must apply for the “Master’s credit” as described above, and must provide appropriate documentation. Students may also apply for “transfer credit” or “exemption” from specific courses, upon recommendation of the current graduate course leader. However, no more than two graduate courses can be approved for “transfer credit” and no additional “transfer credit” will be applied if students are afforded the “Master’s credit.” (In this case, only exemptions may apply.)

**“Foundation Courses”:** Currently, the approved “foundation courses” are designated by the Curriculum Committee, upon approval by the Graduate Committee and are subject to change based on periodical evaluations.

The current list of Foundation courses may be found on the Graduate Division website [www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd)

All graduate courses that are not designated ‘Foundation’ are designated ‘Electives’. The list of Foundation courses is established by the Curriculum Committee and is subject to change based on a periodical evaluation.

Departments may strongly recommend additional courses (see **Appendix I**), some of which may be offered by the Medical School. Candidates for the PhD degree must fulfill the academic requirements of the Department and, in addition, must have fulfilled the conditions and requirements of the Division, as set forth in these guidelines.

A student wishing to receive credit for graduate courses taken at another institution must receive the written approval of the Program Director (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 graduate courses.

**In addition, every PhD and MSTP student must complete successfully (usually in the first year) the one-semester hour course “Responsible Conduct of Research”, offered each Spring semester.** Any exceptions to these requirements must be approved by the Program Director or Assistant Dean.

### 13) Registration

The Graduate Division operates on the semester system. A detailed Academic Calendar is posted each year on the Graduate Division website [www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd)

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. The Summer period from June to August is used for Thesis Research or Laboratory Rotations (MSTP). **Every student must register on-line for each term (Fall, Spring, and Summer) even if no courses are taken.** Registration dates are announced in the Academic Calendar and on the Graduate Division website under 'Current Students' (<http://www.einstein.yu.edu/phd/index.asp?current-students>). If no courses are taken, the student will usually be registering only for Thesis Research. It is essential to register even if the Thesis Defense has been completed, if all the appropriate paperwork has not been submitted by the start of the next term. **It is the student's responsibility to register each term according to the published registration deadline.** Students not registered by this date will be considered as non-matriculants and payroll will be notified to withhold stipends until further notice. Failure to register can also lead to dismissal from the program. The Program Director or Assistant Director can grant deferred registration, but a request should be made prior to the registration deadline.

Registration for First Year students is coordinated along with advisory sessions, when each student meets with the Program Directors and Associate Director. After the first year, students register on-line three times during the academic year. Please check the Academic Calendar for the exact dates. Students beyond the first year are expected to seek out advice on course selection from the Assistant Dean, Program Directors, Advisory Committee, and mentor. Registration requires the Banner ID and password, which are distributed to each student and should be kept in a safe and confidential manner. As a reminder, instructions for registering 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. **It is every student's responsibility to register each term, unless on pre-approved Leave. Failure to do so could result in dismissal.**

### 14) Course Withdrawal

During the Add/Drop period of each semester, as published in the Academic Calendar, a student may add or drop any one course without penalty or notation on the transcript. First year students must have the written approval of the Program Director or Assistant 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 Withdrawn (W). Withdrawal from a course following mid-semester will result in a failing (F) grade in 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. Each semester, the withdrawal date is published in the Academic Calendar.

In unusual cases, the course leader may decide to give a grade of Incomplete (I) when a student has dropped a course. When an Incomplete grade is given, the course leader must provide written instructions for the student on how to meet the course requirements.

## **15) Transfer Credit and Exemption**

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 Assistant Dean or Program Director, who acts upon the recommendation of the faculty member who is the 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 recommend transfer credit, in which case, the credit is applied toward the PhD degree and this is indicated on the transcript. Alternatively, 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 latter case, credit is not given, meaning that a different course should be taken in its place. The Assistant Dean or Program Director must approve Transfer Credit or Exemption. Transfer Credit is not available for students who previously received credit for a prior Master’s Degree. In any case, students may receive transfer credit for no more than two courses.

## **16) Auditing a Course**

Students may, in the second year or above, audit a course with the permission of the instructor or course leader. First year students may not audit a course. Audited courses may not be used for credit.

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. No admittance to the course can be made after this date.
- Change of status from “Audit” to status of “Registered” can only be made during the Add/Drop period as published in the Academic Calendar.
- No credit or grade will be granted for auditing a course.
- Audited courses cannot be used to fulfill course requirements.\*
- Students may register for only one “Audit” course per semester
- “Audit” option is not available for first year students.

\*In some cases, the student’s Advisory Committee may recommend that the student repeat the audited course for credit in order to fulfill course requirements.

## 17) Non-matriculated Students

Non-matriculated students and other individuals, who are not candidates for a degree in the Graduate Division, 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 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 from non-matriculated students. The registration forms of all non-matriculated students must be signed by the course instructor and the Assistant Director. The student is responsible for supplying documentation that all prerequisites are met if such documentation is requested by either the instructor 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 Withdrawn (W). Withdrawing from a course after mid-semester will result in a failing grade (F) for the course. The results of a graduate course will be recorded on an official transcript by the Graduate Division office, whether the grade is Honors, Pass, Fail, Withdrawn, or Incomplete.

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 is required to register
- Please view Course Withdrawal (Section 14) on guidelines for withdrawing from a course

## 18) Registration in Courses Offered at Other Institutions

Students who wish to take courses which are not offered at Einstein should present their request to the Assistant Dean, in writing, after discussion with the mentor and Program Director. The Program Director must present a written request to the Assistant 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 Assistant Dean. Students may not take more than one course per semester outside the College. Requests of financial support for tuition at outside institutions will be reviewed by the Program Directors and Assistant

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 institutions. It is also the responsibility of the student to have an academic transcript sent from the other institution directly to the Graduate Division office. The course number, title, semester-hour equivalents, 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.**

## **19) 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 III)**. This policy is consistent with policies of Yeshiva University and applies to all students. Students may review their academic record and transcript on-line (using the BANNER system) at any time. Students who wish to obtain an official copy of their transcript may do so upon written request to the Registrar of the Graduate Division.

## **V: Student Evaluation and Academic Standards**

### **20) Standards and Grading**

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 Assistant 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.

Examinations. 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. Unless otherwise declared by the course instructor, students may request a review of their examination answers up to two weeks following return of the examinations to the class.

Grades. Students enrolled in graduate courses for credit, will receive a grade of Honors (H), Pass (P), Incomplete (I) or Fail (F). When course requirements have not, in the judgment of the instructor, been fulfilled, the instructor may assign the grade of Incomplete (I). In this instance, the course leader will stipulate the requirements for course completion. All course requirements must be met no later than three months from the end date of the semester in which the course is offered, unless other arrangements have been made and approved by the Assistant 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.

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 laboratories during the semester will receive an automatic grade of Transfer (T), indicating the change in laboratory.

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

## **21) Failure of a Graduate Course, Laboratory Rotation or Thesis Research**

No credit is granted for courses with a grade of Fail. Students who fail a course may ask to be re-examined at the discretion of the course leader or 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. 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. If a student repeats a course and receives a second grade of Fail in that course, the student's record will be reviewed by the Academic Affairs Committee, who may recommend dismissal.

Research Progress. 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 into the transcript for Thesis Research. Upon receipt of a grade of 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 similar plan may be required if the student receives the grade of Needs Improvement. 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.

## **22) Tutoring**

The Graduate Division provides tutoring to students with insufficient preparation in specific areas of science or to students who are having difficulty with specific courses. Tutoring is arranged through the Assistant Director in the Graduate Division office. Students who receive tutoring should attend all scheduled review sessions for the course in which they are being tutored. Failure to take advantage of the scheduled review sessions could result in the loss of the privilege of being tutored.

## **23) Academic Affairs Committee and Probation**

The Academic Affairs Committee (the AAC) is available to work with Student Advisory and Department Committees (and the MSTP Steering Committee for MSTP students) to ensure that students progress in a timely fashion towards their PhD degree. The 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 is concerned primarily with academic matters, but recommendations for action regarding unethical or unprofessional behavior may also be solicited at the discretion of the Assistant Dean or Program Directors. Matters related to unethical or unprofessional behavior that are not related to academics should be brought to the attention of the Assistant 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.

Composition of the Committee. The Committee consists of representatives from each of the Basic Science Departments and the PCI. Each member typically serves two to three years, at the discretion of the relevant Department Chair. A list of current members of the Committee is available from the Graduate Division office. The Chair of the AAC is chosen by the Assistant Dean of the Graduate Division. The Assistant Dean, Program Directors, Associate Director, and Assistant Director of the Graduate Division are ex-officio, non-voting members of the Committee. Recommendations are decided by majority vote. At least six voting members must be present to constitute a quorum. The Chair of the Committee, with the approval of the Program Director, may invite other members of the faculty of the Graduate Division to participate as non-voting members of the Committee.

Charge of the Committee. The AAC 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 and Thesis Research grades. In addition, the standing of any student is reviewed in the case of a less than satisfactory grade. The AAC informs the student, the student's mentor, and the Department Chair of any academic problems. 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 Assistant Dean. The AAC also reviews the progression of all students through the program, and the academic record of students in the program six 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. The AAC also reviews 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: upon receiving a grade of Fail, upon the failure to complete one or more graduate courses in an academic year, or upon receiving a Needs Improvement or Unsatisfactory grade in Laboratory Rotation or Thesis Research. The AAC will consider all grades including Incompletes and Withdrawals, as well as, grades Needs Improvement, when reviewing a student's standing. First year students are expected to complete at least three graduate courses during their first two semesters unless advised differently by the Program Director or Assistant Director. Students on Academic Probation may enter a thesis laboratory only with the approval of the Program Director. Students on Academic Probation whose performance is not improving may be granted an Academic Leave of Absence or may elect to withdraw completely from the Graduate Program or may be dismissed from the Graduate Division. When the student on Academic Probation has satisfied the written requirements of the AAC, the student will be considered to have regained "good" academic standing, as documented by written letter from the Chair of the AAC.

If a student is placed on Academic Probation, the AAC Chair will send a letter to the student (copied to the student's mentor, Department Chair and Program Director) indicating the steps necessary to regain good academic standing. For students in the second year and beyond, the Committee 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 Committee. When a student is on Academic Probation, the student, mentor and Department Chair (or designate), may be invited to participate in meetings of the Committee at which the student's progress and plan of action will be discussed. 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 Assistant Dean.

Standards of ethical and scholarly conduct. A student may also be placed on probation or suspended prior to further action for participation in actions that are not commensurate with high standards of ethical and scholarly conduct. The Assistant Dean may ask for recommendation from the AAC. 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 Assistant 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. In case there is any concern for the health or safety of any individual, the Assistant Dean may act alone in suspending the student, in consultation with Program Directors and appropriate administrative staff, until further action is warranted (see Suspension).

## **VI: Changes in Status and Special Circumstances**

### **24a) Parental Leave**

The Graduate Division follows the NIH Training Grant Guidelines with respect to Leaves.

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

- Students may receive stipends for up to sixty (60) calendar days (equivalent to eight (8) work weeks; inclusive of Saturday and Sunday) 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. Health insurance benefits will continue during this time and student may remain in housing.
- Individuals requiring periods of time away from their research training experience longer than specified here must seek approval from the Program Director for an *unpaid* Medical or Personal Leave of Absence (see Sections 24b and 24c). At the beginning of a Leave of Absence, the trainee must submit a Leave of Absence form, and upon return from the Leave of Absence, the trainee must formally notify the Registrar and submit a Return from Leave of Absence Form.

### **24b) Sick Leave and Medical Leave of Absence**

Students may receive stipends for up to fifteen calendar days (equivalent to two (2) work weeks; inclusive of Saturday and Sunday) of **sick leave** per year. Sick leave may be used for the medical conditions related to pregnancy and childbirth.

The Associate Dean or the Program Directors (PhD or MSTP) may place a student on a temporary 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 is covered by Parental Leave as stated above.) At the beginning of a Medical Leave of Absence, the trainee must submit a Leave of Absence form, and upon return from the Leave of Absence, the trainee must formally notify the Registrar. The appropriate form is available on the Graduate Division website ([www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd)) and must be signed by all required staff.

Extended Medical Leaves of Absence over a longer period, generally six months to a maximum of twelve months, will be granted only with the approval of the Department Chair (if applicable), the Program Director, and the Associate Dean.

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

Typically a medical leave is an *unpaid* Leave of Absence. Students will not receive a stipend. Health insurance benefits will continue for up to six 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 months.

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.

## **24c) Academic or Personal Leave of Absence**

The Associate Dean or Program Director may grant an *unpaid* Academic or Personal Leave of Absence for a period of three months to a maximum of twelve 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. At the beginning of an Academic or Personal Leave of Absence, the trainee must submit a Leave of Absence form, and upon return from the Leave of Absence, the trainee must formally notify the Registrar. The appropriate form is available on the Graduate Division website ([www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd)), and must be signed by all designated staff, including the Associate Dean. 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. 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. The Graduate Division assumes no financial commitment during the Academic or Personal Leave of Absence.

The Academic or Personal Leave of Absence is an *unpaid* leave. Please note that health insurance will be maintained for only thirty days. Students on an academic or personal leave are advised to consult the Benefits Office prior to beginning the leave to insure maintenance of health insurance. Students on an academic or personal leave may remain in housing for up to six months (rent payments must be maintained).

Requests for extension of the Academic or Personal Leave of Absence must be approved by the Program Director and the Associate Dean. The Academic or Personal Leave of Absence cannot be extended beyond twelve months.

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. There are limited exceptions to this, and approval must be granted by the Graduate Division and the ISSO (International Students and Scholars Office) as regulations change frequently. In the event that an already matriculated international student has difficulty in fulfilling visa requirements to re-enter the U.S. and is more than thirty days past the agreed date of return, the ISSO must be contacted immediately.

## **25) Vacation and Holidays**

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

In general, students who have completed at least twelve months in the program may receive stipends during the normal period of vacation and holidays observed by Einstein. The period between the Fall and Spring semesters is considered an active time of research and research training and is not considered to be a vacation or holiday.

## **26) Withdrawal from the PhD 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 Assistant 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](http://www.einstein.yu.edu/phd)). Health insurance benefits will continue for thirty days from the effective date of withdrawal, although it is important for the student to contact the Benefits Office prior or immediately after withdrawing from the program. A student who withdraws from the program must vacate housing within thirty days.

Should the student desire to return to the Graduate Division, he or she may apply for re-admission in the same manner as all other applicants. As all prior academic progress will be reviewed by the 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 Assistant Dean.

## **27) 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 Program Director to complete their thesis research at another institution and still obtain their 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 Assistant Dean.

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 previously; 2) The student must submit the appropriate form with required signatures—which can be found on the Graduate Division website—and a letter from the Department Chair to the Assistant Dean granting permission to complete the thesis research off-campus; 3) The student must confer with the Advisory Committee at least once 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; and 4) The student must register online each semester (Fall, Spring, and Summer), observing all the registration deadlines published in the Academic Calendar. The Graduate

Division assumes no financial obligation for the student completing thesis research at another institution.

## **28) Visiting Student Status**

Visiting students are students who are matriculated in good standing in a program at another accredited institution. This may occur, for example, if a faculty member from another institution relocates to Einstein. Individuals who wish to be considered by the Assistant Dean for visiting student status must submit an official letter from the student Dean of their home institution and a letter from their faculty host to the Assistant Dean. This letter must include the anticipated time period for which Visiting Student status is requested. The student and faculty host will receive written notice of the granting of Visiting Student status and the dates of its commencement and expected termination. The Graduate Division makes no financial commitment to visiting students. The faculty host is required to provide funds for the student's health insurance if the home institution does not provide appropriate coverage. Housing in the student residences during the term of Visiting Student status must be negotiated with the Housing Manager and is provided subject to availability. Visiting Students are not candidates for a degree in the Einstein Graduate Division but can receive official credit for courses taken as a non-matriculated student. Visiting Students wishing to matriculate into the Einstein PhD program must apply in the same manner as all other applicants to the Graduate Division.

## **29) Change in Status after Thesis Defense – see Section 44.**

## **30) Change of Laboratory, or Dismissal from a Laboratory or 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 Program Director (PhD or MSTP). 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 all parties wish to waive this trial period, this should be documented to the Program Director.

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 Program Director indicating if a change in laboratory or dismissal from the Department is warranted.

In the case of a change of laboratory, student must receive approval from the Assistant Dean. Once approved, a Change of Laboratory form must be completed with all the required signatures. This form can be found on the Graduate Division website ([www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd)). A grade of Transfer (T) will be automatically assigned for Thesis Research for the student who changes laboratories during the semester.

In the case of a dismissal from the laboratory, the student may appeal to the Assistant Dean or the Program Director for a short Academic Leave of Absence. If approved, the student, on this Academic Leave of Absence, will be allowed a limited period of time (up to three months) to identify another mentor for transfer. Whether or not the student takes a Leave of Absence, the student must declare a new laboratory within three months. The Graduate Division makes no financial commitment to the student for time on an Academic or Personal Leave of Absence. The Assistant 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.

### **31) Suspension or Dismissal from the PhD 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 Assistant 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.** Grounds for considering dismissal from the Graduate Division include: 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) An Unsatisfactory grade in Thesis Research or Laboratory Research Rotation; 6) Failure of a Thesis Defense Examination; 7) Failure to re-matriculate following expiration of a Leave of Absence; or 8) Participation in actions that are not commensurate with high standards of ethical or professional scholarly conduct. The Academic Affairs Committee, Program Directors, and Assistant 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 submitted by a Department Chair or the Academic Affairs Committee, but only the Assistant 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 the Medical School for further consideration.

A student may appeal in writing a decision of the Assistant 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 Assistant 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 Assistant Dean to the student.

## **VII: Choosing a Laboratory and an Advisory Committee**

### **32) Laboratory Rotations**

All graduate students participate in laboratory rotations. Students entering the graduate program by the "rotational pathway" are expected to participate in a series of three laboratory rotations within the first year. 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.

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 the mentor 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. At the end of the rotation period, faculty mentors will submit a written evaluation of a student's rotation to the Graduate Division office and a grade for the rotation will appear on the student's transcript. It is expected that student and mentor will discuss this evaluation; both student and mentor's signatures are required on the evaluation. 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 Program Director. The choice of each laboratory rotation must be approved by the Program Director or Associate Director.

Students entering the graduate program by the "direct pathway" are required to participate in at least one rotation in a laboratory other than the previously 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 advisor, and will often allow specialized relevant training outside of the thesis laboratory. This rotation must be carried out during the first year and is not optional. If this requirement is not met, the student will receive a grade of U (Unsatisfactory) for Laboratory Rotation.



Students will receive a Rotation Evaluation following each Laboratory Rotation. The Rotation Evaluation form can be found at on the Graduate Division website [www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd).

Students entering the program by the MSTP pathway typically choose two to three rotations that are performed during the summer months of the first and second year. The purpose and requirements of these rotations are the same, and the choices must be approved by the MSTP Director. Students who enter the program by the MSTP alternate pathway may constitute the sole exception to the rotation requirement, since they will have identified a faculty mentor through independent research carried out while engaged in Medical School studies.

Research laboratories should generally sponsor only one rotational pathway 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.

### **33) Declaration of the Thesis Laboratory**

Students are expected to request entry into a thesis laboratory at the end of the Spring semester of their first year. Under exceptional circumstances, and only with the prior permission of the Assistant Dean or Program Director, students may rotate in an additional laboratory during the summer (“4<sup>th</sup> 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. Failure to do so may result in dismissal from the program.

A student and his/her mentor must inform the appropriate Department Chair, the Program Director, the Assistant Director, and the Assistant Dean, of the student’s declaration of a thesis laboratory, using the Laboratory Declaration Form, available on the Graduate Division website ([www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd)). The thesis advisor 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).

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 Program Director.

**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 student will be considered to have declared in the Department of the primary mentor.

Both mentors must sign the student's Thesis.

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 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.

### **34) The Student Advisory Committee**

Composition of the Advisory Committee. The Student Advisory Committee consists of several (typically two to four) faculty members, in addition to the 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. It is not essential that all members be expert in the field, but it helps to find at least one, and each member should be capable of providing cogent, timely, and relevant feedback. Students should choose members whom they can trust to provide honest advice and critiques. Ideally, the Advisory committee will 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. Students are strongly encouraged to get to know the Advisory Committee members. They can provide useful letters of recommendation, but only if they are truly familiar with the student and the work. 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 (Fall, Spring), starting in the second year, and as frequently as needed by the student to obtain direction. A subset of the Advisory Committee typically comprises at least a part of the Thesis Defense Committee.

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. All first year students are advised by the Assistant Dean, Program Director and Associate Director. Anytime during the second academic year, once a student declares a thesis laboratory, the Advisory Committee is formed in consultation with the mentor, and in accordance with these guidelines. The Advisory Committee will recommend courses, review academic progress, advise on the research plan and monitor progress of the thesis research. The student in consultation with the mentor may change the composition of the Advisory Committee at any time.

Purpose of the Advisory Committee. The purpose of the Advisory Committee is to make recommendations for course work, to provide critical feedback on the research plan, to assess experimental progress, and to advise the student when to write/defend the Thesis Dissertation. While it is expected that every student will take the Qualifying Exam in the Spring of the second year, the Advisory Committee may make a recommendation on whether the student should take the Qualifying Exam at that time. The Advisory Committee is

charged to aid 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. Starting in the second year and every year thereafter, it is required that each student meet at least once per academic year with the Advisory Committee. (i.e. it is essential that each student meet with their Advisory Committee at least once every twelve months.) Although each Department may set additional meeting requirements or schedules, the Graduate Division requires at least one completed meeting form submitted each academic year prior to registration. The Advisory Committee Summary Report form is available on the Graduate Division website. Students who have not had an Advisory Committee meeting in the previous academic year will be blocked from online registration in the succeeding Fall. Release of this block and continuation in the PhD program requires approval of the Assistant Dean.

### **35) A Typical Advisory Committee Meeting: 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.

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, you should not wait for "good data" before scheduling a meeting. While it is true that your Committee will comment on your progress, your goal is not to gain a high mark in this regard, but rather to **confirm (or not) the significance of your goals, achieve focus on your**

**approaches, develop consensus on your Aims, and obtain new perspectives, for example, on caveats that you might not have 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.).

**Typical Advisory Committee Meeting.** 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 Committee, the student, 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 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 you should anticipate that most faculty will not need to be presented with very basic background material. Attempt to move as efficiently as possible to your Aims.

The rest of the meeting should be spent discussing your specific plans for each Aim, indicating your proposed approach(es), possible caveats, and alternative approaches that you might need to consider. The main focus should be on defining priorities. At the end of each Aim, ask for advice if needed. Your goal is not to educate your Committee or to get them to understand your point of view, but rather to expose potential flaws in your logic, feasibility, experimental approaches, or time-frame. The end of your presentation should present a clearly defined time-frame for completion of your Aims. This will be extremely premature at your first meeting, but it is good practice and provides a starting point as you progress through your thesis research.

Typical questions that you might hope to resolve based on your Advisory Committee include:

- 1) Is this Aim feasible based on my preliminary data, or is it too risky?
- 2) Is there an alternative approach I can use that I have not considered?

- 3) What is needed before this study could be submitted for publication?
- 4) What is the minimal preliminary data I should obtain before deciding whether to continue or abandon an Aim?
- 5) Is the effort needed for this approach justified by the significance?
- 6) Is this a good time to continue on this risky path or should I refocus my efforts?
- 7) Am I ready to start writing my Dissertation?

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

At the end of the meeting you should have a better idea of how to proceed than when you came into the meeting. If you only experienced head-shakes, then you failed in your 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 you are working on will not be finished upon completion of your PhD. Only you can determine when your thesis research is finished, but it is your duty to convince your Advisory Committee that you are correct.

Reports of Advisory Committee meetings must be delivered to the student's Departmental office and to the Graduate Division office immediately following the Committee meeting. The Academic Affairs Committee may review the Advisory Committee reports every academic year. If the student is currently supported by a training grant, an additional copy of the report must go to the Training Grant director. The Advisory Committee Summary Report form is available on the Graduate Division website at [www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd).

## **VIII: The Qualifying Examination**

### **36) 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 to pursue the PhD degree. The examination is usually taken during the second year of study but, depending upon a student's preparation, may be delayed until the third year. If a student has not successfully completed their Qualifying Examination by the end of their third year, he or she must meet with their Advisory Committee and present to the Academic Affairs Committee a plan for the timely completion of this requirement in order to remain in good academic standing.

### **37) Examination Guidelines**

**Key Features** of the uniform Qualifying Exam:

1) **The Qualifying Exam.** A program-wide uniform qualifying exam is held for all students at the end of the 2<sup>nd</sup> year Spring term (3<sup>rd</sup> year in the Program for MSTP students).

- Course requirements: It is expected that students taking the exam have fulfilled the bulk of (but not necessarily all) core graduate courses and Department requirements.
- Deferral: On recommendation of the Director of the Program, a student may defer for one year, as an exception, based on academic gaps, illness, change in laboratory, etc.

2) **Objective of the Qualifying Exam.** The “budding” thesis project (described in the Qual proposal) 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. 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.). A 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.

3) **Parent Qualifying Exam Steering Committee.** The exam is organized by a Parent Qualifying Exam Steering Committee, consisting of representatives from all the Departments and chaired by the Director 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.

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

The student's **Qualifying Exam Committee** includes:

- A Department representative from the Parent 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."
- Role of the Mentor: The mentor is *not* a member of the Exam Committee, nor is the mentor present at the exam.

5) **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 mid-June) [see timeline]. Exams should not be held during official school holidays. 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 students must submit a form with the scheduled exam date/time/location to the Graduate Office at a specific earlier date (to be announced).
- Delaying the Qual 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 2<sup>nd</sup> year Spring semester course). If a delay is approved by the Committee Chair, the exam should be completed before the end of July.
- 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.

6) **Workshop.** An optional “Nuts and Bolts” workshop will be provided that is focused around the proposal format, tips in proposal writing, and advice on preparation for the examination.

7) **Qualifying Exam Proposal.** Each student will submit a clear well-written 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 three experimental Specific Aims.

The written proposal must be the independent work of the student. Mentors should not write or provide specific editorial assistance for any part of the document, but 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.

The proposal represents a typical NIH student fellowship (NRSA) style, consisting of:

- **3 Specific Aims**
  - **2 Specific Aims:** Developed after discussions with the mentor about the overarching hypotheses, and the likely directions and outcomes of the proposed thesis research.
  - **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.
- **Background and Significance**
- **Preliminary Data** (if applicable); it is expected that the availability of preliminary data will be variable, and therefore, no significant preliminary data is required.
- **Research (Experimental) Design and Methods**
- **Bibliography or Reference List:** The Bibliography is not included in the 12-page count; it should be comprehensive, but concise.

**References cited:** Any references used within the text of the proposal should be cited as (author and author, or author et al., year) and listed alphabetically 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.

#### **Format of the proposal**

- 12 pages in length, including figures. (The Bibliography is not included in the 12-page count.)
- Double-spaced, 1-inch margins
- Font: Times New Roman or Arial 11-12 pt.



**Submitting the proposal:** Each student submits the written proposal to his/her Committee members on or before the designated submission date. In the rare instance in which the exam date is delayed, the submission date may also be delayed, upon recommendation of the Exam Committee Chair.

8) **“Mock” Qualifying Exams.** Students are advised to participate in one or more “mock” examinations, particularly with senior students and postdocs.

- Students are encouraged to seek input and advice from any other source including students, postdocs, and faculty not affiliated with their examination, and outside sources.
- Mentors or members of the student’s Committee should not participate.
- Students may not approach their own Committee members for advice or comment prior to the examination.

9) **Oral Presentation.** 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 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.

#### 10) **Guidelines for the Chair of the Qualifying Examination Committee**

A. Upon receipt of the written proposal, the Chair will check that it is an acceptable document; 3 Specific Aims must be included in the proposal.

B. 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.

C. 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 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 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 Committee Chair should make notes on the Exam Committee guide sheet.

D. 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 anonymous vote is taken

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.

E. Committee Decision:

- A majority vote of 3-1 is needed for PASS or for HONORS.
- 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.

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

G. Appeal of Examining Committee Decision: If a student wishes to appeal the decision of the Committee, it will be considered by the Parent Qualifying Exam Steering Committee. This request must be made in writing to the Director of the Graduate Division who will schedule a meeting of the Committee. The appeal will either be denied or the student will be allowed to repeat the examination with a new Exam Committee.

H. For students who previously failed the Qual 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.

11) **Academic Affairs Committee Review.** A comprehensive and objective review of each student’s progress takes place in the summer following the second year (third year for MSTP) by the Academic Affairs Committee, taking into account grades received for coursework, the Qualifying Examination, and laboratory productivity as indicated by the mentor. Students who fail the Qualifying Examination may at this time receive approval to retake the exam the following Spring.

## **IX: The Thesis Dissertation**

For the most up-to-date Thesis guidelines, visit

[http://www.einstein.yu.edu/uploadedFiles/PHD/Thesis\\_Guidelines.pdf](http://www.einstein.yu.edu/uploadedFiles/PHD/Thesis_Guidelines.pdf)

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. It is not unusual for the Thesis Dissertation research to comprise two to three publications in which the student is the leading 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 who entered the PhD program in Fall 2003 or prior to Fall 2003 (Summer 2002 for MSTP), are required to submit at least one first-author paper. If this has not yet been accomplished, then a draft of a proposed manuscript in the style of the intended journal must be appended to the Thesis. The manuscript should be indicated as In press, or Submitted, or In revision, or In preparation for submission, (noting the journal) etc.

Students who entered the PhD program in Fall 2004 (Summer 2003 for MSTP) or after, 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.

### **38) 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 (Thesis Defense) by a Thesis Defense Committee (Committee) that consists of a minimum of five members chosen by the student and the mentor. The Thesis Defense Committee must include five faculty members from the departments that comprise the

Graduate Division, one of whom must be designated the Committee Chair and two of whom must be members of the student's department. The Chair of the Thesis Defense Committee should be selected by the student and mentor. It is strongly recommended that the Chair be a more senior member of the faculty (Professor or Associate Professor). The student's mentor cannot serve on the Committee although the mentor is present at the Thesis Defense. 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. Students are encouraged to designate a sixth faculty member as an alternate in the event that an examiner cannot attend the Thesis Defense. Members of the Committee from Einstein must be Graduate Division faculty (Assistant Professor or above, Basic Science or PCI faculty). The name of any member who served as co-mentor or collaborator with the student must be indicated by asterisk on the submitted Thesis Defense Committee Form, which is available on the Graduate Division website at [www.einstein.yu.edu/phd](http://www.einstein.yu.edu/phd).

### **39) Approval of the Thesis Defense Committee**

The Assistant Dean 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. This form states the title of the Dissertation, the members of the Thesis Defense Committee, the date at which the required public seminar will be held, the signatures of the appropriate Department Chair and the mentor, the abstract of the Dissertation, and a list of publications. The designated Chair of the Thesis Defense Committee must also sign the form, indicating that he or she agrees to act as Chair. International students on a student visa must have their Thesis Defense Committee form approved by the International Students and Scholars Office (ISSO) at the institution. A draft copy of the Thesis Defense Seminar announcement must accompany this form. The Assistant 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 Assistant Dean, the Thesis Defense Committee has full authority to recommend the award of the PhD degree to the Assistant Dean.

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

### **40) 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. 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.

## 41) 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.

- i) *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.
- ii) *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.
- iii) *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 (20 lb.) photocopy paper,
    - 2.) printed double sided and,
    - 3.) secured using either a three-hole binder or a spring binder.

- v.) *Pagination:* Every paper 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.
- Legends should be placed on the facing page to facilitate the reading of the Thesis.
- 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 below).

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 work 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, student's full name and signature, the full name and title of the Thesis advisor and, at the bottom, the statement: "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)." The title of the Dissertation must not exceed seventy-two letters and spaces.

A sample page is shown at the end of this section which illustrates the format. The date given is not when the Dissertation is submitted, but when the degree is expected to be granted (January, June or September of the appropriate year).

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.

viii.) Appendix: The appendix may include but is not limited to:

- Published papers – reprints
- Submitted manuscripts
- 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:

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Signature

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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, 1994

## **42) Submission of the Thesis**

Presentation 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. A member of the Thesis Committee may require a postponement of the Thesis Defense if this requirement is not met. However, this requirement may be waived upon the consent of all of the members of the Committee. It is the responsibility of the student to determine suitability of providing less time for review. Within one week after the Thesis is delivered (two weeks prior to the defense) any Committee member may request a pre-defense meeting of the Committee if, in the opinion of the Committee member, the Dissertation is not defensible. Once this deadline passes, the defense must proceed except at the student's request. All expenses related to the defense and the Thesis are the responsibility of the student's Department, although funds may be requested from the Graduate Division office to support travel for an outside reader, pending availability. An honorarium is not appropriate and will not be provided by the Graduate Division.

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 should be presented within three months of the date of the examination, but 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.

## **43) 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. (See previous: Composition of the Thesis Defense Committee). At this member's discretion, a different Chair may be chosen to run the defense, with the original Chair remaining as an examiner. The Chair will have been sent the Thesis Defense Report Form and will bring this to the defense. The form is also available on the Graduate Division website. The Chair will identify to the group any members of the Defense Committee who have acted as co-mentors or collaborators during the course of the student's research, and will confirm that the manuscript submission requirement has been sent.

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.

It is inappropriate for food or beverages to be provided by the student during the defense, although the Department may offer lunch if timing requires it.

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).

#### **44) Evaluation of the Dissertation and the Thesis Defense; Conferring of the Degree**

A Thesis Defense Report form is available on the Graduate Division website at [www.einstein.yu.edu/phd](http://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 Office for the Director of the Graduate Division who will provide a copy to the appropriate Departmental Chairperson. 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 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 three months of the date of the examination. If the deficiencies are not corrected to the satisfaction of the Committee (or the designated sub-committee), 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 Assistant Dean for completion of the Degree. In some cases, the grade of Fail for the defense may lead to review by the Academic Affairs Committee and possible dismissal from the PhD program.

Following successful completion of the Thesis Defense, the student and mentor will be notified in writing of the award of the PhD degree by the Assistant Dean.

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

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 major advisor on the title page), as well as authorization for funds to cover microfilming and binding of the Thesis, are submitted by the student's home Department. Copies of the Thesis must be distributed as follows: a bound copy to the student's advisor; a bound copy to the student's home Department; a bound copy to the student; a bound copy for the Samuel Gottesman library; an unbound copy to the student's home department for microfilming (this copy will be returned to the student after microfilming).

The following documents must be submitted to the student's home Department:

- 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 University Microfilms International Agreement form. This agreement provides for 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. All thesis requirements must be fulfilled before a candidate can be recommended for a PhD degree.

The following documents are to be submitted to the Graduate Division office:

- The PhD Diploma Form indicating the student's full name as it should appear on the final document.
- A copy of the signed title page of the student's Thesis. All signatures must be present.
- A signed and completed Survey of Earned Doctorates form.
- An internal data sheet providing a forwarding address and a description of the student's next professional position.

Completion of all requirements. All corrected 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 Assistant Dean. In the absence of such approval, the student may be placed on *unpaid* Academic Leave. All requirements must be fulfilled within one year of the Thesis Defense.

Granting of the PhD degree. All academic requirements must be fulfilled and communicated to the Assistant Dean on or before April 30<sup>th</sup>. 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 Assistant 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 the last days of September and January and the date of the College of Medicine Commencement exercises conducted at the beginning of June. All financial obligations to the College of Medicine must be met prior to the release of the diploma.

Participation in the June Commencement Ceremony. In order to participate in the Commencement Ceremony, all academic requirements must be fulfilled and communicated to the Assistant Dean on or before April 30<sup>th</sup>. 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 Assistant 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 that students on an F1 visa are not eligible for an Academic Leave of Absence. All requirements must be fulfilled within one year of the Thesis Defense.

A student, who has successfully defended the thesis and completed all requirements for the PhD, 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 Institution on a student visa and intend to remain in the U.S. for further training must apply for “practical training” at least 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 at the institution well in advance of any anticipated change in status.



## **X: Graduate Division Policies on Conduct**

### **45) Policy on Research Misconduct**

The 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](http://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 Assistant 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.

Every student registered in the Graduate Division is required to complete the 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.

### **46) 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, Assistant 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 normally result in dismissal from the Graduate Division.

In cases of plagiarism or cheating in academic courses the course leader will attempt to resolve an incident, and the course leader has the role of deciding if the student should retake the material, Fail the course, or be recommended for further sanctions including dismissal. The course leader should provide the Assistant Dean with a complete report of the incident and its resolution. Incidents of professional misconduct that do not involve academic courses may be resolved by consultation with the appropriate informed individuals including, for example, a student's mentor, appropriate departmental committee, Department Chair, and/or the Assistant Dean. A complete report of the incident and its resolution should be provided to the Assistant Dean by the appropriate Department Chair.

In the case of serious concern for the health or safety of a student or any other person or College facility, the Assistant 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.

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 Assistant Dean, who will consult with appropriate and informed individuals and staff.

1. Allegations of professional misconduct are to be submitted in writing to the Assistant 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 Assistant 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 Assistant 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 Assistant 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 Assistant 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 it determines to be appropriate 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 Assistant 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 Assistant Dean may be made to the Dean of the Medical School.

## **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.

In all cases, Departmental course requirements must fulfill Graduate Division course requirements (i.e. total 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 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 2 and 3, and Epidemiology 2 and 3.

## **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 six other graduate courses. (MSTP students are required to take five courses).

Recommended courses: Graduate Microbial Pathogenesis, Immunology, Virology, Molecular Cell Biology, Molecular Genetics, Gene Expression, and Hormone Action/Signal Transduction

## **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

## **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**

### **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.

For students who entered the MSTP during and after the Summer 2006 semester, 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 Assistant Dean for Graduate Studies, 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.

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 Assistant 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 Assistant 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 Assistant 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).



**In addition, every MSTP student must complete successfully (usually in the first year) the one-semester hour course “Responsible Conduct of Research”, offered each Spring semester.** Any exceptions to these requirements must be approved by the Program Director or Assistant Dean.

### **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. 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 MSTP with the same deadlines and requirements as all students in the Graduate Division.

## **Appendix III. Student Records and Privacy Rights of Students**

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," we take this opportunity to inform you of the Einstein policies with regards to the educational records of our students. These policies have recently been examined to assure compliance with the Privacy Act, and are made available to you in accordance with its provisions.

Students may obtain copies of this statement upon request from the Registrar.

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") record of graduate students is the record kept in the Graduate 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). Individual student password is required for access.
- 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 folder open to them, for a fee determined by the College.

### D. Correction of Records

- 1 If, after inspecting and reviewing their records, the student believes that any information contained in them is inaccurate, misleading or violates their privacy or other rights, they 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 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 from that record to anyone other than the individual students themselves without the written consent of the student, unless consent is not required by law.
- 2 With the prior approval of the Assistant Dean or Program Director the primary record of graduate students may be disclosed without their written consent to faculty

members, school officers and student advisors 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 student 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. 20202-5920

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](http://www.einstein.yu.edu/phd/index.asp?current-students), for the most updated version of the Academic Policies and Guidelines.