Albert Einstein College of Medicine
of Yeshiva University

Graduate Programs in the Biomedical Sciences

Sue Golding Graduate Division

Academic Policies and Guidelines
2006-2007

Revised: November 6, 2006
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Additional Documents and Forms

The following documents are available from the Graduate Office:

1. Charter of the Graduate Student Council
2. AECOM Policies on Equal Opportunity, Affirmative Action and Sexual Harassment
3. AECOM Policy on Scientific Misconduct
4. AECOM Patent Policy
5. AECOM Conflict of Interest Policy
6. AECOM Guidelines for Use of the College Name

The following forms are available at the Graduate Division Registrar's Homepage:

Graduate Student Rotation Evaluation Form
Graduate Student Laboratory Declaration Form
Graduate Student Change of Laboratory Form
Graduate Student Qualifying Examination Form
Graduate Student Thesis Advisory Committee Report
Graduate Student Thesis Defense Committee Form
Graduate Student Thesis Defense Committee Report
Graduate Student Course Withdrawal Form
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 cumulating 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 Office.
2) Programs and Supervising Staff

The AECOM Graduate Division administers the Programs in the Biomedical Sciences, and is currently comprised of three distinct Programs: The PhD Program, the MD/PhD Program (often referred to as the Medical Scientist Training Program, or MSTP), and the Summer Undergraduate Research Program (SURP). Each Program is administered through the Office of the Assistant Dean for Graduate Studies in Belfer 201.

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 Director.

The names and contact information for the current administrative staff of the Graduate Division are:

<table>
<thead>
<tr>
<th>Name</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Allen M. Spiegel</td>
<td>x2801 <a href="mailto:spiegel@aecom.yu.edu">spiegel@aecom.yu.edu</a></td>
</tr>
<tr>
<td>Dean, Albert Einstein College of Medicine</td>
<td></td>
</tr>
<tr>
<td>Todd Evans</td>
<td>x3506 <a href="mailto:tevans@aecom.yu.edu">tevans@aecom.yu.edu</a></td>
</tr>
<tr>
<td>Assistant Dean for Graduate Studies</td>
<td></td>
</tr>
<tr>
<td>Director, PhD Program</td>
<td></td>
</tr>
<tr>
<td>Victoria Freedman</td>
<td>x2872 <a href="mailto:vfreedma@aecom.yu.edu">vfreedma@aecom.yu.edu</a></td>
</tr>
<tr>
<td>Associate Director, Graduate Division</td>
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</tr>
<tr>
<td>Chair, PhD Admissions Committee</td>
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</tr>
<tr>
<td>Director, Summer Undergraduate Research Program</td>
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</tr>
<tr>
<td>Sheila Cleton</td>
<td>x2345 <a href="mailto:cleton@aecom.yu.edu">cleton@aecom.yu.edu</a></td>
</tr>
<tr>
<td>Assistant Director, Graduate Division</td>
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</tr>
<tr>
<td>Registrar</td>
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</tr>
<tr>
<td>Myles Akabas</td>
<td>x3360 <a href="mailto:akabas@aecom.yu.edu">akabas@aecom.yu.edu</a></td>
</tr>
<tr>
<td>Director, Medical Scientist Training Program</td>
<td></td>
</tr>
<tr>
<td>John Chan</td>
<td>x2678 <a href="mailto:chan@aecom.yu.edu">chan@aecom.yu.edu</a></td>
</tr>
<tr>
<td>Associate Director, Medical Scientist Training Program</td>
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3) Composition of the Graduate Division

The Graduate Division is comprised primarily of the ten Basic Science 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 Division offers a PhD in Clinical Investigation, for which faculty mentors are designated and may have appointments in the clinical Departments. The PhD in Clinical Investigation was designed primarily for students in the MSTP Program, but may be appropriate for students in the PhD Program, if approved by the Assistant Dean and also the Director of the MSTP. A faculty member who does not hold a primary or secondary appointment in one of the Basic Science Departments, and is not designated as a faculty for the PhD in Medicine, may not sponsor a PhD, MSTP, or SURP student.

The Department confers the PhD degree, and each Department, subject to the academic policies of the Graduate Division, designates the specific course requirements for the PhD degree. Students are responsible for acquainting themselves with the academic policies of the specific Department in which they will conduct their Thesis research. The academic policies of the Graduate Division are outlined in this guide. A summary of additional Department guidelines is found in Appendix I. Complete descriptions of Department guidelines may be requested from Department offices.

In general, the policies and guidelines described in this document apply to all PhD candidates including MSTP students during the PhD portion of their training. However, specific policies may be superseded by the applicable policies of the MSTP, for students matriculated in that program. 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 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. Dr. Todd Evans is currently the Assistant Dean, and also serves as Director of the PhD Program.

The PhD and MSTP Program Directors are AECOM 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, “Director” refers to either the PhD or MSTP Director, depending on the Program into which the student is matriculated. Dr. Evans is the Director of the PhD Program. Dr. Myles Akabas is the Director of the MSTP, and should be consulted for questions specific to the MSTP. The Director of the MSTP appoints the Associate Director of the MSTP, who is currently Dr. Chan. The PhD and MSTP Directors are responsible for implementing and guiding the development of the academic policies of the Graduate Division. The Assistant Dean selects the Director of the SURP (currently Dr. Freedman), and the Chairs of the sub-committees of the Graduate Committee. The MSTP Director chooses the members of the MSTP Steering Committee.
The Associate Director is appointed by the Dean, at the recommendation of the Assistant Dean. The Associate Director must have a Ph.D. with postdoctoral training, and is provided an AECOM faculty appointment within an appropriate Department. Dr. Victoria Freedman is currently the Associate Director. 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 Drs. Evans, Akabas, or Freedman with any questions, problems, or suggestions related to their graduate education. It is the responsibility of the Assistant Dean, 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, Ms. Sheila Cleeton 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, three students selected by the Graduate Student Council (GSC), the Associate Director of the Graduate Division, the Director of the MSTP program, and the Director of the PhD program, who serves as Chair. Representatives are appointed by Department Chairs or according to GSC policies and serve typically 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 Policies. 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 6 Departments must be represented by voting Faculty to establish a quorum. The Director and Associate Director may represent his or her own Department for the purpose of filling quorum, if the Department Representative is absent.

The Members of the Graduate Committee change each year. The current composition of the Committee is available from the Graduate Division Office.
Anatomy & Structural Biology Thomas Meier  
Biochemistry Steven Roderick  
Cell Biology Barbara Birshstein  
Developmental & Molecular Biology Ari Melnick  
Microbiology & Immunology Tania Dragic  
Molecular Genetics Jack Lenz  
Molecular Pharmacology TBA  
Neuroscience Pablo Castillo  
Pathology Fernando Macien  
Physiology & Biophysics Linda Jelicks  
Graduate Student Council Todd Haim, Lilly Wu, Grace Jones  

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 and one member at large from the Minority Affairs Committee. Members serve terms of 2-3 years. The Admissions Committee evaluates the acceptability of applicants for matriculation in the Graduate Division. The Associate Director serves as 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 Basic Science Department, and three students elected by the GSC. Faculty representatives to the Curriculum Committee need not 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 ten Basic Science Departments and is responsible for overseeing the academic progress of students towards obtaining their PhD degree. Any student who fails a course, receives an Unsatisfactory grade in Laboratory Research (lab rotation or thesis research), receives an Unsatisfactory grade on the Qualifying Exam, or is recommended for review by any faculty at any time, will be reviewed by the Committee. The current composition of the Committee is available from the Graduate Division Office.
The Minority Affairs Committee is composed of faculty and students and is responsible for providing guidance to the Graduate Committee on minority student recruitment and any issues that may arise. 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 for changes in the exam format. 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: (stanxterm.aecom.yu.edu/gsc/about.htm), or contact the current Chair

The MSTP Student Council represents the interests of the MSTP students.

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 PhD in Medicine is also accredited by the professional agency in this field. The following are the codes registered by the New York State Education Department for the designated Ph.D. degrees granted by Yeshiva University:

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<tr>
<td>0495</td>
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<td>PhD in Clinical Investigation</td>
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Section II: Admission and Matriculation

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

7) 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 apply to (declare), a thesis mentor and a Department. The mentor and Department are under no obligation to accept the student. The Department of matriculation is by default that Basic Science Department for which the mentor holds a primary Basic Science appointment, unless it is the mutual decision of the student and mentor to choose a Basic Science Department for which the mentor holds a secondary appointment. In the case of the PhD in Medicine, the Department is that for which the mentor holds a primary appointment. Students who apply for the rotational pathway are typically interviewed on-site at AECOM (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, and completion of the full Supplementary Application to the MSTP. Instructions are provided on the MSTP homepage: www.aecom.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 checked off the appropriate box on the secondary application. Such applications are then...
considered in their entirety by the Graduate Admissions Committee, including personal interviews as requested by the 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 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 Director of the MSTP program. Applications are available each spring from the Graduate 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.aecom.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 R2997). Exceptions to this rule must be approved by the 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 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 mailed directly to the Graduate Office. Details of the application procedure are described on the Graduate Division web-site.

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 papers 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 Direct Recruit students. For Direct Recruit 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. A course in biochemistry is preferred and 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, complete the necessary courses in the summer preceding their matriculation.

9) How to Apply

Applications for admission to the PhD Program are available online from the Graduate Division web-site (www.aecom.yu.edu/phd) after September 15 for entrance the following August. Applications may be submitted after September 15 and all materials should be received by January 15 to guarantee consideration in a timely fashion. Applications received before December 15 can take advantage of a reduced application fee. Those received after January 15 and before March 15 may be reviewed but admission will be subject to the availability of positions. Applications received after March 15 may be reviewed by the Admissions Committee only at the discretion of the Director. Applications will be held over to subsequent years only at the discretion of the Director.

Supporting materials, including official transcripts of undergraduate and other academic records, standardized test scores and letters of recommendation are to be submitted by the applicant to the Graduate Office. All application materials should be sent to

Graduate Admissions
Sue Golding Graduate Division
Albert Einstein College of Medicine
1300 Morris Park Avenue – Belfer 201
Bronx, NY 10461

It is the student’s responsibility to ensure that the Graduate 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 and students may not enter the program mid-year.**

For application to the MSTP, see the directions on the MSTP homepage (www.aecom.yu.edu/home/mstp). Applications to the PhD Program via the MSTP **Alternate Pathway** are accepted in the Graduate Office during the Spring semester, and information is available in the Graduate Office.
Section III: What to Expect: A Five Year Plan to the PhD

10) A general guideline to the Einstein PhD

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. While every student will have a unique experience, it is expected that on average it will take 5 years to complete the PhD thesis. Some students finish in as few as 3 years, while others take longer than 5 years, in particular to finish work that leads to significant publications. 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 Directors and Associate Director advise students on choosing graduate courses. The bulk of core graduate course work is taken during the first year, typically two courses per semester. All students must complete Graduate Biochemistry, usually in the Fall of the first year. Failure to complete successfully at least three courses in the first year will be cause for consideration 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 Director. Rotations are not permitted beyond the end of the summer session of the first year, and students are required to have declared and been admitted into a laboratory by the start of the Fall semester in Year Two. 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 2nd 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 2nd year may be blocked, and the student may receive a grade of Unsatisfactory for the Laboratory Rotation.

Year Two: Initiate a Hypothesis and Generate Preliminary Data

Graduate Courses. In the Fall semester of the 2nd year, it is expected that the majority of coursework will be finished. It is best to complete as much of the core material as possible during the first three semesters. One core course or an upper level specialty course is often taken in the Spring of year 2.
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 2, most students will take the Qualifying Examination. Approval for exceptions to this policy must be granted by the Director, in consultation 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 this year, the student must have chosen an Advisory Committee and arranged an initial meeting to discuss the hypothesis and preliminary data. 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. Documentation of this meeting (Advisory Committee Report) must be submitted to the Graduate 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 3rd year to finish Department 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 as much as 6 months prior to the actual date. Some students will continue into the 6th year, in particular if experiments are ongoing.
that will lead to significant publications. Permission to continue Thesis research beyond the 5th 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 Director for registration in the 6th year and beyond.
Section 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 12 semester hours per semester and 6 research semester hours during the summer. All students are considered 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 Director and Assistant Dean. Failure to comply with this policy may lead to dismissal. There is no “part-time” status in the Graduate Division. Students may register for up to 15 semester hours with the signed approval of Director. First-year students participate in at least 3 semester hours of laboratory research (the laboratory rotations) during the Spring and Fall semesters unless exempted, in writing, by the Director.

Fifteen hours of lecture, seminar or conference per semester, or 30 hours of laboratory exercises per semester, comprise one semester hour. (i.e., a course given over one semester consisting of 45 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 12 semester hours.

The residence requirement for the PhD degree consists of a minimum of three years of full-time graduate studies and research totaling 90 semester hours. A minimum of two of these three years, totaling 60 semester hours, must be spent in residence at the Albert Einstein College of Medicine. The Graduate Division does not accept students on part-time status.

12) Graduate Course Requirements

Students who entered the program prior to Fall 2006 should adhere to the previous published policies (6 or 7 courses, with varying Departmental requirements; 5 courses for MSTP). For students who matriculated in Fall 2006 or since, the following is the course requirement policy:

1. Ph.D. candidates must pass a minimum of seven graduate courses to be granted the Ph.D. degree upon the successful defense of their thesis. MSTP candidates must pass a minimum of five graduate courses to be granted the Ph.D. degree upon the successful defense of their thesis.

2. For Ph.D. 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. 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.

3. With the written approval of the Assistant Dean for Graduate Studies, students who matriculate into the PhD program holding a Masters of Science Degree must pass a minimum of five courses (Ph.D. program) or three graduate courses (MSTP) to be
granted the Ph.D. degree upon the successful defense of their thesis. For PhD students, two of these courses must be Foundation Courses. For students in the MSTP, 1-2 should be Foundation courses at the recommendation of the Program Director.

**Definition of “Foundation courses”:** Currently, the approved “Foundation courses” are listed below, subject to changes recommended by the Curriculum Committee, upon approval by the Graduate Committee:

- Biochemistry of Metabolic Regulation
- Biophysical Chemistry of Macromolecules
- Developmental Neuroscience
- Gene Expression
- Graduate Biochemistry
- Systems Neuroscience
- Molecular Cell Biology
- Molecular and Cellular Neuroscience
- Molecular Genetics
- Physiology

The list of Foundation Courses is established by the Curriculum Committee and is subject to change based on a periodical evaluation.

Departments may require additional courses, 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. A student wishing to receive credit for graduate courses taken at another Institution must receive the written approval of the Director (see below, Transfer Credit). **In addition, every PhD and MSTP student must complete successfully (usually in the first year) the 1 semester hour course “Responsible Conduct of Research”, offered each Spring semester.** Any exceptions to these requirements must be approved by the Director.

**13) Registration**

The Graduate Division operates on the semester system. A detailed Academic Calendar is posted each year on the Graduate Division website [www.aecom.yu.edu/phd](http://www.aecom.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 - 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 Registrar’s homepage. 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 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 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, 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**

In the first two weeks of the semester a student may withdraw from any one course without penalty or notation on the transcript, with the approval of the Director or Associate Director. Withdrawal within the first two weeks is carried out by the student, using the on-line system. If the student withdraws within the first two weeks, neither the course nor a grade appears on the transcript. After this, 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). Students may withdraw from a course after mid-semester only at the discretion of the Director. Withdrawal from a course following mid-semester without permission from the Director 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.

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 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 Director must approve Transfer Credit or Exemption. Transfer Credit is not given to MSTP students, who each must complete 5 graduate courses.

16) Auditing a Course

Qualified students may audit a course with the permission of the instructor or course leader. However, no record of the audit will appear on a student’s transcript. Credit can only be given to a student if the student is officially registered for the course. Audited courses may not be used for credit.

17) Non-matriculated Students

Non-matriculated students and other individuals who are not candidates for a degree in the Graduate Division, may wish to 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 AECOM affiliated hospitals, students from other colleges of Yeshiva University and 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 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. The results of a graduate course will be recorded on an official transcript by the Graduate Office, whether the grade is Honors, Pass, Fail, Withdrawn, or Incomplete.

18) Registration in Courses Offered at Other Institutions

Students who wish to take courses which are not offered at the College of Medicine 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/she is aware that the student will be enrolled at a course in 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 1 course per semester outside the College. Requests of financial support for tuition at outside institutions will be reviewed by the 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 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. This policy is consistent with policies of Yeshiva University and applies to all students. Copies of the Student Record Policy are available in the Graduate Office. 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 Assistant Director (the Registrar) of the Graduate Division.
Section 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 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 for credit and attending the entire course, will receive a grade of Honors (H), Pass (P), or Fail (F). When course requirements have not, in the judgment of the instructor, been fulfilled for reasons beyond control of the student, the instructor may assign an Incomplete (I). In this instance, all course requirements must be met no later than the end of the following semester in which the course is offered, for the student to be given a grade of Honors or Pass. In the event that this requirement is not met, the Incomplete will be converted to a grade of Fail. Instructors or course leaders are to submit a grade for each student to the Graduate Office within two weeks after the termination of the course. Students will also be given a grade each term for either Laboratory Rotation (First Year rotation students) 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 either (S) Satisfactory, (NI) Needs Improvement, or (U) Unsatisfactory. 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 or Research Evaluation

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.
Research Evaluation. Thesis Research and Laboratory Rotation Research grades will be designated as S (Satisfactory) or NI (Needs Improvement) or U (Unsatisfactory). No other grade designations will be entered into the transcript for Thesis Research. Upon receipt of a grade of Unsatisfactory a student will be asked by the Academic Affairs Committee to meet with his/her Advisory Committee and mentor and then present a plan to the Academic Affairs Committee by which the unacceptable academic performance will be corrected. A similar plan may be required if the student receives the grade of NI. 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 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 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, Dean's Office, Safety, etc. should be consulted.

Composition of the Committee. The Committee consists of 10 voting members, representing each of the Basic Science Departments. Each member typically serves 2-3 years, at the discretion of the relevant Department Chair. A list of current members of the Committee is available from the Graduate Office. The Chair of the AAC is chosen by the Assistant Dean of the Graduate Division. The Assistant Dean, Director, Associate Director, Assistant Director of the Graduate Division and the Director of the MSTP Program 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 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 and rotation evaluations
for all first year students. 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 Committee also reviews the progress of any student placed previously on academic probation, until that status is relieved.

**Academic Probation.** A student may be placed on "academic probation" by the AAC for any of the following reasons: upon receiving a Failing grade, or upon the failure to complete one or more graduate courses in an academic year, or upon an Unsatisfactory Thesis Research grade or Unsatisfactory laboratory rotation grade. First year students are expected to complete at least three graduate courses during their first two semesters unless advised differently by the Director or Associate Director. The Academic Affairs Committee will consider all grades including Incompletes and Withdrawals, as well as Needs Improvement grades, when reviewing a student’s standing. Students on academic probation may enter a thesis laboratory only with the approval of the Director, upon recommendation of the AAC. Students on academic probation whose performance is not improving may be granted an academic leave of absence 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 mentor and Chair) 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 Chair. The student’s progress will continue to be monitored by the Committee. When a student is on Academic Probation, the student, student's 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 AECOM Committee on Promotions and Professional Standards in cases it perceives would benefit from objective review. If asked, the AECOM Committee on Promotions and Professional Standards will review the case and present recommendations to the AAC, which may then act either 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 Directors and appropriate administrative staff, until further action is warranted (see Suspension).
Section VI: Changes in Status and Special Circumstances

24) Academic Leave of Absence

The Director may grant an academic leave of absence for a period of 3-12 months. This may be considered appropriate if the student is experiencing academic problems in courses or laboratory research based on personal issues, conflicts, or the need for counseling beyond normal tutoring. The student should try to initiate the leave at the end of a term if at all possible, in order to avoid a grade of Incomplete. The appropriate form is available on the Registrar's homepage, and must be signed by all designated Staff, including the Assistant Dean. If the student wishes to return (re-matriculate) from the academic leave of absence, approval must be obtained from the Assistant Dean, following complete review of the student's academic record and a plan for improvement. If the student does not re-matriculate when the leave of absence expires, then the student will be dismissed from the Graduate Division. The Graduate Division assumes no financial commitment during the Academic Leave of Absence.

International Students. As a condition of maintaining student status, all international students must pursue a “full course of study.” There are limited exceptions to this, and approval must be granted by the Graduate Division and the ISSO 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 30 days past the agreed date of return, the ISSO must be contacted immediately.

Typically the academic leave of absence is an unpaid leave. Please note that health insurance will be maintained for only 30 days. Students on an academic leave are advised to consult the Benefits Office prior to beginning the leave to insure maintenance of health insurance. Students on an academic leave may remain in housing for up to 6 months.

Requests for extension of the academic leave of absence must be approved by the Director of the program and the Assistant Dean.

25) Medical Leave of Absence

The Assistant Dean or the Director may place a student on a temporary medical leave of absence in case of illness or other medical emergency. This leave may also be appropriate in the case of pregnancy or chronic physical or mental illness. The appropriate form is available on the Registrar’s homepage and must be signed by all required staff.

Extended medical leaves of absence over a longer period, generally 6 - 12 months, will be granted only with the approval of the Department Chair (if applicable), the Director, and the Assistant 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. Health insurance benefits will continue for up to 6 months, although it is important for the student to contact the benefits office prior or immediately after taking the leave. A student on a medical leave of absence may remain in student housing for up to 6 months.
Requests for extension of the academic leave of absence must be approved by the Director of the program and the Assistant Dean.

26) Withdrawal from the PhD Program

A student in good standing who is unable to return at the beginning of any semester or who finds it necessary to discontinue graduate work for any reason during the academic year, may be granted withdrawal from the Graduate Division by the Assistant Dean. Should the student desire to return to the Graduate Division, he or she may apply for re-admission in the same manner as other applicants. Admission to advanced standing may be granted following review by the Academic Affairs Committee, upon recommendation to the Assistant Dean.

27) Completion of Thesis Research at Another Institution

Under extraordinary circumstances, it may be necessary for a student to complete the thesis research at another institution. This may occur for example if an AECOM faculty member relocates. Only students who have passed the Qualifying Examination may request permission of the 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 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 above; 2) The student must submit a letter from the Department Chair to the Director, granting permission to complete the thesis research off-campus; 3) The student must confer with the Advisory Committee at least once every semester (either on campus or by a telephone conference call) and submit an Advisory Committee report of the conference to the Department and Graduate Office; and 4) The student must register on-line each semester (Fall, Spring, 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 graduate program at another accredited institution. This may occur for example if a faculty member from another institution relocates to AECOM. 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 Director. 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 Graduate Division but can receive official credit for courses taken. Visiting Students wishing to matriculate must apply in the same manner as other applicants to the Graduate Division.

29) Change in Status after Thesis Defense – see section 44.

30) Change of Laboratory, or Dismissal from a Department

If a student wants to change laboratory, or a mentor seeks to dismiss a student, the student or mentor seeking a change in status must contact the Chair of the Department and the Director of the PhD or MSTP Program. The Chair will confirm that both the student and mentor are aware of pending action.

The Chair will arrange for the Department Graduate Committee (or designate) to meet with the student and mentor to help determine potential solutions to the conflict (for example, specific expectations on both sides that must be attained) and a timetable for any trial period (recommended 1-3 months) during which time the situation can be monitored by the Department Graduate Committee. A written description of the details of the trial period, signed by both mentor and student, must be submitted to the Director, prior to the start of the trial period. If all parties wish to waive this trial period, the reasons should be documented in a co-signed letter to the Director.

At the end of the trial period, the student and PI will meet with the Department Chair to report on the success or failure of the trial. The Chair will provide a written recommendation to the Director indicating if a change in laboratory or dismissal from the Department is warranted. In the case of a dismissal, the student may appeal to the Director for a short academic leave of absence. If approved, the student on this academic leave of absence will be allowed up to 3 months to identify another Department for transfer. The Graduate Division makes no financial commitment to the student for this time. The Assistant Dean must approve any change of laboratory but is under no obligation to do so.

31) Suspension or Dismissal from the PhD Program

Suspension. 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.

Dismissal. Grounds for considering dismissal from the Graduate Division include: 1) Failure of one or more graduate courses; 2) Failure of a required Department course, subject to the recommendation of the appropriate Department Chair; 3) failure of the Qualifying Examination; 4) an Unsatisfactory grade in thesis research or laboratory research rotation; 5) failure of a Thesis Defense Examination; 6) failure to re-matriculate following expiration of a leave of absence; or 7) participation in actions that are not commensurate with high
standards of ethical or professional scholarly conduct. However, it is stressed that the Academic Affairs Committee, Directors, and Assistant Dean will consider all aspects of a student’s performance in evaluating his/her continued matriculation in the Graduate Division. A student may be dismissed for cause from a Department by the appropriate Chair. Recommendation for dismissal from the Program can be submitted by a Chair or the Academic Affairs Committee, but only the Assistant Dean may dismiss a student from the 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 of the Assistant Dean to the student.
Section 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 Medicine. 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 participate fully 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, during 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 provisionary 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 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’s and mentor’s signatures are required on the evaluation. This evaluation may be reviewed by the Academic Affairs Committee. Under exceptional circumstances the requirement for one or more laboratory rotations may be waived with the approval of the Director. The choice of each laboratory rotation must be approved by the 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 the Laboratory Rotation.

Students entering the program by the MSTP pathway typically choose 2-3 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 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 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 Director, students may rotate in an additional laboratory during the summer (“4th rotation”) prior to entering a thesis laboratory. In any event, all graduate students must enter a laboratory prior to the beginning of their second year. Failure to do so may result in dismissal from the Program.

A student and his/her mentor must inform the appropriate Department Chair, the Director, the Asst. Director, and the Assistant Dean, of the student’s acceptance into a thesis laboratory, using the Laboratory Declaration Form, available on the Registrar’s homepage. The thesis advisor must hold an appointment in one of the Basic Science Departments, or be a designated mentor in the PhD in Medicine Program.

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 Director.

34) The Student Advisory Committee

Composition of the Advisory Committee. The Student Advisory Committee consists of several (typically 2-4) 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 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 “smart” scientists who 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 year, starting in the 2nd 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 Director and Associate Director. Anytime during the second year, once a student declares a Thesis Laboratory, the Advisory Committee is formed in consultation with the mentor, and in accordance with appropriate Department policies. Departments may organize the formation and timing of Student Advisory Committee Meetings, according to specific Department policy. 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. The Graduate Office should be informed of the change.

**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 2nd 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. 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. 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 in the Fall. 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

**Advice to the student.** The student is expected to run the Advisory Committee meeting and should therefore be well prepared with an agenda and efficient in the presentation and discussion. The student is expected to take an active (NOT passive) role in the meeting. 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 30-40 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 6 months, rather than one long meeting each year, but this will obviously depend on your needs.

There are two 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.

**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 20 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, than you failed in your obligation to run a successful meeting. During later meetings it is important to firmly establish likely time-lines, 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 Department Office and to the Graduate 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 meeting report form is available on the Registrar’s homepage.
Section VIII: The Qualifying Examination

36) Purpose of the Examination

Each candidate for the Ph.D. 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 Ph.D. 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) A program-wide uniform qualifying exam is held toward the end of the 2nd year Spring term (3rd year in the Program for MSTP students). On recommendation of the Department Chair, a student may defer for one year, but this should be an exception, based on academic problems, illness, change in laboratory or department, etc. It is expected that students should have fulfilled the bulk of core graduate courses and Department requirements by the end of the 2nd year.

2) During the first part of the Spring semester, all 2nd year students take part in a workshop to discuss how to build a proposal, and all students will then write a proposal based on their developing PhD project. The writing phase will be limited to 4 weeks.

3) Students submit the written document in NIH grant application format, based on their proposed thesis project. The written document will be up to 12 pages with figures, double-spaced, 1 inch margins, 12 pt. font, plus bibliography. The project should define a specific hypothesis that is tested by three or more Aims. It is expected that availability of preliminary data will be variable. If desired, the availability of specific reagents (purified proteins, antibodies, mutants, etc.) may be “assumed” for the purpose of pursuing an Aim, although a realistic understanding of potential pitfalls is also expected. The written document must be entirely the independent work of the student, although it is assumed that the student and the mentor have worked together on the Specific Aims except for the Independent Specific Aim (see below). Mentors will sign off to affirm that they have not assisted directly with the written document.

4) The “budding” thesis project provides a scaffold for the exam, but the exam itself will focus on determining whether the student has incorporated the fundamental knowledge needed for proceeding towards thesis research. In other words, exam questions will target scientific knowledge rather than critique the Aims, which are assumed to be highly influenced by the mentor, and are better critiqued in the context of an advisory committee meeting. In addition to knowledge obtained from the coursework and relevant literature, students will also be tested for knowledge of experimental strategies, the ability to think on their feet and across the “pitfalls” (controls, alternative approaches, etc.). Critique of the Aims (approach,
strategies, etc.) will be a welcome benefit of the exercise, but will not be taken into account in terms of grading the exam. This is an examination of the student’s scientific knowledge, not a thesis defense.

5) At least one Aim must be developed entirely independent of the mentor, or any other PI or student. This Aim will be critiqued for originality and creativity and students will be encouraged to think “out of the box”. Whether or not this Aim is actually incorporated into the thesis research can be discussed at subsequent Advisory Committee meetings.

6) A parent Qualifying Exam Committee, consisting of representatives from all the Departments and chaired by the Assistant Dean for Graduate Studies, will organize the exam, with assistance from the Graduate Office and Department administrative staff.

7) Each student will submit a list of 4-8 faculty who he/she feels would be appropriate examination committee members, based on the thesis topic. Each student’s examination committee, selected by the Parent Committee, will be comprised of at least 2 faculty from this list, a Department representative from the Parent Committee who will act as the Chair of the Qualifying Examination, and a fourth member chosen by the Parent Qualifying Examination Committee from throughout the Einstein graduate faculty. A typical exam Committee will include at least two members of the Department, but in some cases it will be more appropriate to include faculty from related “working groups”. The mentor is not a member of the Committee, nor is the mentor present at the qualifying examination.

8) An extensive list of representative “mock” questions will be distributed to students and faculty in order to illustrate the types of questions and level of depth that might be expected during an actual exam.

9) At the beginning of the Qualifying Examination, the student will make an uninterrupted 10 minute oral presentation describing the proposal, to be followed by the exam, which is free-flowing and at the discretion of the exam Committee, expected to run approximately 90 minutes. Powerpoint presentations may be used, at the discretion of the particular examination chair, but a white board is also appropriate for the presentation.

10) Following the exam, the Committee will vote: Honors, Pass, Conditional Pass (typically requiring revision of the written document), or Fail. A scale will be developed by the Parent Committee that will allow evaluation of several defined areas of the exam (written document, background, etc.). The Chair will take notes, and at the end of the meeting, will draft a paragraph summary of the comments provided by the Committee Members, which will be provided to the student and the mentor, and forwarded to the Academic Affairs Committee.

11) A comprehensive and objective review of each student’s progress will take place in the summer following the 2nd year (3rd year for MSTP) by the Academic Affairs Committee, taking into account grades received for coursework, the qualifying exam, laboratory productivity as indicated by the mentor, and other elements considered applicable by the Academic Affairs Committee. This review could lead to a recommendation to the Department Chair that a student leave the program with or without a Masters Degree. Students who failed the Qualifying Examination may at this time receive approval to retake the exam the following year.
(12) Students may receive a grade of 'Honors', '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. Students are to be informed of their grade immediately following the examination.

(13) A report on the examination will be prepared by the Examining Committee and provide an evaluation of the strengths and weaknesses of the student, as well as any additional work that may be required. When the examination is complete, the chair of the Examining Committee should return the completed report to the Graduate Office. A copy of this report should also be sent to the student, the appropriate Departmental Chair and to the mentor. 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 Examining 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 Examining Committee, the grade of 'Conditional Pass' will be changed to 'Fail'.

14) The student and their mentor will be notified in writing of the award of the Masters of Science degree by the Director of the Graduate Division. The successful completion of the examination (pass or pass with distinction) will be noted on the transcript, and the grade of "pass with distinction" will be noted on the Masters diploma.

15) In the event that a student fails the qualifying examination, s/he may re-take the examination one additional time solely at the discretion of the Academic Affairs Committee. Failure of the qualifying examination is sufficient grounds for dismissal from a department and, following review by the Academic Affairs Committee, may result in dismissal from the Graduate Program (Sections 7 and 8). Students in good academic standing who have passed or failed their qualifying examination are eligible to receive a terminal Masters of Science degree on the recommendation of the appropriate Departmental Chairperson and with the approval of the Academic Affairs Committee of the Graduate Division. This terminal Masters degree will be considered the end of the PhD program for that student and the student will be removed from the Graduate Division roster.
Section IX: The Thesis Dissertation

The graduate thesis, or dissertation, is the all-encompassing document describing original research carried out by the graduate student in the laboratory. In general, the research has been structured to answer a question or group of questions, or to explore particular hypotheses, and has resulted in a body of novel data. The historical background, the scientific context of the experiments, and the data are presented and discussed extensively in the dissertation. It is expected that the research carried out to generate the thesis dissertation will also result in published papers in recognized scientific journals, for which the student is the first author. The Graduate Division does not set a requirement for a specific number of published manuscripts, and some of this work may be published following the thesis defense. However, it is not unusual for the thesis dissertation research to comprise 2-3 publications in which the student is the leading author. If there are no first author publications at the time of Thesis submission, a manuscript written by the student must be appended in place of reprint(s), serving as a draft for a future first author publication, even if this draft ultimately requires additional experimental results. All collaborative work that contributes to the Thesis Dissertation must be clearly indicated in the text.

38) The Thesis Defense Committee

Every candidate for the Ph.D. 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 their mentor. The Thesis Defense Committee must include at least four faculty members from the departments that comprise the Graduate Division, one of whom must be a present or past (within three years) representative of the Graduate Committee and two of whom must be members of the student's department. 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 faculty. Students are encouraged to designate a sixth faculty member as an alternate in the event that an examiner can not attend the Thesis Defense. The name of any member who served as co-mentor or collaborator with the student must be indicated by asterisk on the submitted Committee Form.

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 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. 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 examinations are 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 Ph.D. degree to the Assistant Dean.
All changes in Committees that have been reviewed and approved 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 manuscript written by the student must be appended in place of reprint(s), serving as a draft for a future first author publication, 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.

The following general instructions apply to both dissertation formats.

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) Paper: The final copies of the dissertation are to be printed on 8 1/2" x 11" high quality paper that is not punched or perforated in any way. Copies of the draft of the dissertation that are submitted to the Committee prior to the Thesis Defense may be duplicated on standard photocopy paper and may be secured using either a three-hole binder or a spring binder.
iv) 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.

v) 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.

vi) Spelling: The spelling given in any standard dictionary may be used. However, whatever forms are adopted should be adhered to consistently throughout the text of the dissertation.

vii) Quotations: Quotations of more than three lines should be single-spaced, set off from the text in a separate paragraph and indented four spaces, with double-spacing between 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.

viii) Tables, Figures, Reproduction: The recommendations of the style manual are to be followed in preparing tables, figures and other graphic materials. Reproduction processes that lack permanence are not acceptable. Tables and Figures should be imbedded into the document.

Tables are numbered consecutively throughout the thesis. The word TABLE, followed by the appropriate Arabic numeral, is placed above the caption; the table caption is also written in full capital letters. 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. Figure legends should appear on the page facing the Figure. Alternatively, if it fits without crowding on the same page, the legend may be printed beneath the Figure.

ix) 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). Footnotes are to be placed at the foot of the page and numbered consecutively for each chapter. Every reference listed must appear in the bibliography (see below).

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 72 letters and spaces.

A sample page is shown at the end of this section that illustrates the capitalization and 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 whom 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) Introduction: The 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.

vi) 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.

vii) 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, volume number and 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.
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 and departmental representatives the dissertation format acceptable to their department.

FORMAT A

i) 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.

ii) Results and Discussions: 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.

FORMAT B

i) 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 a Discussion. The candidate must be the first author of these manuscripts and must be responsible for their preparation. A footnote to the introduction should give bibliographic information for manuscript constituting the chapter. This information should include the full names of the authors, the journal and the status of the manuscript (i.e., submitted, published or in press).

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.

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. This material would then be available through the College library or University Microfilms.
AN EVOLUTIONARY VIEW OF THE MYC NETWORK IN GROWTH CONTROL AND DIFFERENTIATION

by

Nicole Schreiber Agus

Candidate:__________________________________ Thesis Advisor:__________________________________

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. A Committee member may request a pre-defense meeting of the Committee if, in the opinion of the Committee member, the dissertation is not defensible. All expenses related to the defense and the thesis are the responsibility of the student's Department, although funds may be requested from the Graduate Office to support travel for an outside reader, pending availability.

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/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 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 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 is a current or recent (within three years) member of the Graduate 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 should ensure that the Thesis Defense Form has been brought to the defense. The form is available on the Registrar's page 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.

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/her research.

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 may be present during the defense but cannot ask questions and is 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 and does not proceed to exhaustion. A typical exam period is 1 to 2 hours.

After the Chair has determined that the defense is at an end, the student is 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 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.


A Thesis Defense form is available on the Registrar's homepage. When the examination is complete, the Chair of the Thesis Defense Committee should 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
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'.

If 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.

**More paperwork absolutely required for the degree.** Following successful completion of the Thesis Defense, the student and mentor will be notified in writing of the award of the Ph.D. degree by the Assistant Dean.

**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 to provide an online, 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 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 3 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. 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. 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 5 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 3 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. 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.” Please note that student housing terminates 30 days from the date of completion of all requirements for the PhD. If the student is to remain at the Institution, the student’s status must be changed to that of post-doctoral fellow.
Change in status for international students. International students who are completing graduate studies 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.
Section X: Graduate Division Policies on Conduct

45) Policy on Scientific Conduct

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 "misconduct in science" from the College's Policy on Scientific Misconduct, will be used to evaluate whether a student's research activities constitute scientific misconduct.

"Scientific misconduct includes fabrication, falsification, plagiarism or other practices that seriously deviate from those commonly accepted within the scientific community for proposing, conducting or reporting research. It does not include honest differences in interpretation or judgments of data."

Instances of suspected scientific misconduct involving laboratory research by students will be considered in accord with the Policy on Scientific Misconduct of the Albert Einstein College of Medicine (see Appendix IV).

Instances of professional misconduct by students that do not fall within the guidelines of scientific 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.

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, Departmental Chair, Assistant Dean, the 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. References are available in the Graduate Office and in the library to help students evaluate the ethical implications of their actions.
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.

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 1. Specific Departmental Requirements.

Below are listed 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, and other departmental activities such as journal clubs, advisory committee meetings, and composition of the thesis and the thesis defense committee. Additional departmental information may be obtained directly by contacting the relevant Graduate Committee representative.

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 (ie 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 Developmental & Molecular Biology
V. Department of Microbiology & Immunology
VI. Department of Molecular Genetics
VII. Department of Molecular Pharmacology
VIII. Department of Neuroscience
IX. Department of Pathology
X. Department of Physiology & Biophysics
I. Anatomy and Structural Biology

A Courses

The Department requires that students take Biochemistry, Molecular Cell Biology, and 4 electives chosen in consultation with the student’s advisor and advisory committee. Students are expected to participate in the ongoing Departmental Seminars, retreats and laboratory forums. 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 coursework before proceeding to the qualifying examination.

B Advisory Committee

The role of the Advisory committee is to help in the choice of courses to be taken and to oversee that academic and research progress is satisfactory. The Advisory Committee consists of four to five faculty members, at least one from within the department (primary or secondary) in addition to the mentor and the other members from outside the department. The composition of the Advisory committee can be changed as appropriate and must be approved by the thesis advisor and the Anatomy and Structural Biology Graduate Committee.

The Advisory committee has meetings with the student and her/his thesis advisor during the months of March/April but may meet more often if necessary. The student is required to prepare a one-page progress summary for the yearly meeting. This summary should be handed out to each committee member one week prior to the meeting. The committee must forward a report of the student's progress to the chairperson of the Anatomy and Structural Biology Graduate Committee. Continued enrollment in the program is predicated on satisfactory progress, as recommended by the Advisory committee and endorsed by the Graduate Committee of the Department on a year-by-year basis.

The Thesis defense. The Thesis committee must contain three faculty members from the Department of Anatomy and Structural Biology, two faculty members from outside of the department, a representative from the Sue Golding Graduate Division, and one member from an outside university (6 minimum).

C Other Requirements

There are formal and informal seminar series at which attendance is required. There is a student/postdoc run work in progress seminar series in which all students participate. In addition, individual laboratories and interest groups run journal clubs and informal presentations that the students are required to attend. Once a year the students and postdocs arrange seminars by distinguished outside lecturers. Students are encouraged to participate in biannual department retreats.
II. Biochemistry

A. Courses

Candidates for the Ph.D. in Biochemistry are required to take Graduate Biochemistry, Biochemistry of Metabolic Regulation, and 4 additional courses (9 credits minimum) or their equivalent. The additional courses are chosen in consultation with the Student's 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, 3 graduate courses (7 credits minimum) are required in addition to Graduate Biochemistry and Metabolic Regulation.

B. Other Requirements

Each semester, Biochemistry students present and analyze a recent journal article, selected and analyzed with the advice of a faculty member. The first two presentations are graded (pass/fail) by the Chairperson of the Student's Advisory Committee and the Faculty Advisor for the Journal Club. The presentation is given a passing grade if both faculty evaluations are "pass". In addition to attending and presenting at Journal Club, students are expected to attend all Biochemistry Departmental Seminars, given at noon on alternate Tuesdays, or at other announced times.
III. Cell Biology

A. Courses

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 5 courses, including the Graduate Biochemistry course, is required. Students are encouraged to take Molecular Genetics, Gene Expression, and Molecular Cell Biology.

B. Other Requirements

Graduate students participate in a variety of departmental activities. These include a bi-weekly Cell Biology Seminar program of invited outside speakers. Additionally, the department meets weekly, for a “work-in-progress” meeting in which post-docs and students describe the progress of their current research. There is also a student-organized evening series of "pizza meetings" in which students present original articles. About twice each year, the students invite a distinguished outside lecturer for a seminar and intensive discussions.

It should be noted that each student is required to present a formal seminar of their thesis research. This is generally accomplished as part of the departmental seminar series. Participation in the Graduate Student Symposium is encouraged.

Each student is required to have an advisory committee, consisting of the mentor and two additional faculty members. This committee is to meet with the student at least once a year to review progress toward the Ph.D. degree, including evaluation of academic accomplishment and thesis research.
IV. Developmental and Molecular Biology

A. Courses

All students must complete Graduate Biochemistry (Fall Semester), Molecular Genetics, Molecular Cell Biology, and Gene Expression as a “core.” In addition, students must take three other graduate courses acceptable to their advisory committee. DMB highly recommends that Metabolic Regulation be added to the “core”.

B. Other Requirements

All DMB students are required to attend bi-monthly departmental seminars, to present in and attend weekly departmental work-in-progress seminars and to present in and attend a weekly journal club, in addition to any clubs originating in the laboratory in which they are working. Within six months following successful completion of the qualifying exam, each student will formally present to the Department the proposed research project. One DMB faculty member, besides the advisor, must be on the student advisory committee, which will meet with the student at least once per year to discuss research progress. Additional information on the Advisory Committee is available from the DMB office. For the thesis defense, one examiner from another institution is recommended.
V. Microbiology & Immunology

A. Courses

Candidates for the Ph.D. Degree in Microbiology & Immunology will be expected to acquire a formal background in the biological sciences, which usually requires 4 semesters of course work. The primary aim of the initial graduate training period is to establish a broad base of knowledge in contemporary biological sciences, as well as acquire those skills fundamental to productive laboratory research. The course requirements are: Graduate Biochemistry (Fall semester) and six other graduate courses, which usually include Microbial Pathogenesis, Molecular Genetics and Gene Expression. Such a core should be supplemented by courses in the area of a student's interest (e.g. Virology, Immunology, Molecular Cell Biology). A special advisory committee will work with the individual candidate to select courses and to advise a student on the formulation of an appropriate program.

B. Other Requirements

There is a weekly departmental student research presentation of work-in-progress. Students are expected to present yearly.

An advisory committee will meet individually with each student at least once a year. This committee will review the progress toward the goals of choosing and completing courses, defending a research proposal as part of the qualifying exam, completing research for the Ph.D. writing a thesis and defending it before a faculty committee. The composition of the advisory committee (at least 3 faculty not including the mentor) will be decided by the student and mentor and need not be identical to that of the final defense committee. A formal report for each meeting should be filed in the Microbiology & Immunology office as well as the graduate office. For the thesis defense, an outside examiner is recommended but not required.
VI. Molecular Genetics

A. Courses

Students in Molecular Genetics are required to pass a total of 6 courses. These must include Graduate Biochemistry (SGGD 1001) and Molecular Genetics (SGGD 1005). They are also expected to include Gene Expression (SGGD 1006) and Molecular Cell Biology (SGGD 1004). Two additional upper-level courses are to be selected in consultation with the student’s advisor and advisory committee.

B. Advisory Committee

Each student has an advisory committee, to be formed during their second year after they have chosen their thesis laboratory. The advisory committee consists of the student’s thesis advisor and 2 or 3 additional faculty, chosen by the student in consultation with her or his advisor, who will be helpful in guiding the student’s thesis research. The advisory committee is required to meet at a minimum of once a year to discuss the student’s progress. A meeting form should be completed and filed with the departmental office and the Graduate Office as a record of these meetings.

C. Other Requirements

Students participate in a departmental work-in-progress seminar series. In addition, students are required to attend our noon seminar series of outside speakers.
VII. Molecular Pharmacology

A. Courses

All students in Molecular Pharmacology must complete Graduate Biochemistry, Molecular Approaches to Drug Action and Design, and Hormone Action and Signal Transduction. In addition, the student must complete successfully three additional graduate courses acceptable to his/her advisory committee. The following courses are recommended: Molecular Cell Biology, Gene Expression, Molecular Genetics.

B. Other Requirements

Seminars and journal clubs in which the students are expected to participate are as follows:

Bi-weekly departmental seminar to which outstanding scientists are invited to present their latest research.

Weekly informal research-in-progress meeting and journal club for students and postdocs.

Weekly journal and research lab meetings.

All students are required to give a formal seminar during their final year.
VIII. Neuroscience

A. Courses

All graduate students are required to take Molecular and Cellular Neuroscience, Developmental Neuroscience, Integrative Systems, Neuroanatomy: Basic and Applied, and Biochemistry. In addition, each student must take a minimum of three additional elective credits. The Department of Neuroscience Graduate Education Committee recommends that incoming students interested in Neuroscience should complete their course requirements by pursuing one of the following two tracks (or a suitable variation of one of these tracks):

**Track A**

<table>
<thead>
<tr>
<th>Year 1</th>
<th></th>
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<tbody>
<tr>
<td>Fall Semester:</td>
<td>Molecular and Cellular Neuroscience</td>
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<tr>
<td></td>
<td>and Biochemistry</td>
</tr>
<tr>
<td>Spring Semester:</td>
<td>Neuroanatomy: Basic and Applied</td>
</tr>
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<td></td>
<td>and Integrative Systems</td>
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<table>
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<tr>
<th>Year 2</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall Semester:</td>
<td>Developmental Neuroscience</td>
</tr>
<tr>
<td>Spring Semester:</td>
<td>Three semester hours of an Elective(s)</td>
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</tbody>
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**Track B**

<table>
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<tr>
<th>Year 1</th>
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<tbody>
<tr>
<td>Fall Semester:</td>
<td>Developmental Neuroscience</td>
</tr>
<tr>
<td></td>
<td>and Biochemistry</td>
</tr>
<tr>
<td>Spring Semester:</td>
<td>Three semester hours of an Elective(s)</td>
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<table>
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<tr>
<th>Year 2</th>
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<tbody>
<tr>
<td>Fall Semester:</td>
<td>Molecular and Cellular Neuroscience</td>
</tr>
<tr>
<td>Spring Semester:</td>
<td>Neuroanatomy: Basic and Applied and</td>
</tr>
<tr>
<td></td>
<td>Integrative Systems</td>
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</table>

B. Thesis Format

The Neuroscience Department requires that the Thesis should be according to Format B, as described in the Graduate Division Academic Policy and Guidelines. Briefly, this requires that 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. Each manuscript will constitute a Chapter of the Thesis.

C. Other Requirements

Students are expected to attend departmental seminars and journal clubs.

The Department of Neuroscience, while not requiring an outside reader for the thesis defense committee, often brings one or two in to serve as examiners in the field in which the student has done his/her research. Students are required to give a Departmental seminar, open to the academic community, upon completion of their thesis research.
X. Pathology

A. Courses

Candidates for the Ph.D. 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 either Molecular Genetics or Gene Expression.

Additional courses will be selected depending upon individual interests and needs, and with the advice of the student's advisory committee. At least two courses per semester should be taken during the first two years. All students in the Ph.D. program will graduate with a minimum of seven courses. The Pathology department faculty is offering courses for its students (not for credit) addressing grant writing, methodology and critical reading that will prepare students for the qualifying exam.

B. Other Requirements

The departmental Ph.D. Committee will constitute the Advisory Committee until the student chooses a Thesis Problem. A thesis advisory committee will then be established and will follow the Graduate Division requirements.

The departmental Journal Club/Works-in-Progress meets once a week. Seminars are held every Tuesday at noon during the academic year. Attendance at these activities is required. Additional seminars in specific areas, e.g. Neuropathology, are organized on a biweekly basis.

For the Thesis Defense Committee, one outside reviewer from another institution must be included.
X. Physiology and Biophysics

A. Courses

Graduate students are required to take the following two courses: Graduate Biochemistry and Biophysical Chemistry of Macromolecules.

Four additional graduate courses must be taken and are selected in consultation with the students' faculty advisory committee (FAC). This committee is established as soon as the student elects a thesis mentor, and is composed of the mentor and two other faculty in the Graduate Division. By the end of the first year the student will have met with the FAC and have selected the four optional courses.

B. Journal Club

Oral presentations of scientific papers outside the thesis work (and chosen by each student and his/her sponsor) are presented. Students are required to describe the scientific work presented in the paper, to analyze critically the methods, results and conclusions, and to relate the paper to the thesis work to be performed. A passing grade for two journal club presentations is required.

C. Other Requirements

The department strongly encourages an outside reader for the thesis defense committee.
Appendix II

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 policies of the Albert Einstein College of Medicine (AECOM) and the Sue Golding Graduate Division of Medical Sciences (SGGD) respecting 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 of the school in which they are enrolled (AECOM or SGGD).

A. Definitions of terms used in the act

1. "Student" includes any individual with respect to whom an educational record is maintained. Whenever 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. "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.

3. "Parent" includes a parent, a guardian, or an individual acting as a parent or guardian.

"Personally identifiable" means that the information includes the name of a student, the student's parent or other family member, the student's address, a personal identifier such as the student's social security number or other information which would make the student's identity easily traceable.

5. "Record" means any information on the student recorded in any medium.

B. Type and Location of Records kept at AECOM and SGGD

1. The primary ("official") record of AECOM students is the record kept in the Office of Education under supervision of its Registrar. The primary ("official") record of graduate students is kept in the office of the SGGD 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 AECOM and SGGD students by course leaders, individual instructors, individual subdivisions of the Office of Education, advisors, clerkship leaders and individual basic science and clinical departments. Inquiries concerning these records should be made in writing to the appropriate person, individual, department or administrative office.

3. Records pertaining to student finances, in addition to those maintained in the official educational records, may be kept in the Student Finance Office and are in the charge of the Student Finance Officer and the Associate Dean for Students. Inquiries from AECOM
students concerning those records should be made in writing to the Associate Dean for Students, with copies to the Registrar and the Student Finance Officer.

4. Records of examination scores in the basic sciences are kept in the Office of Instructional Support Services (Room 607-BECHS) and the Office of the Associate Dean for Students. Inquiries concerning these records should be made in writing to the Associate Dean for Students.

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. That person will comply as soon as possible. Under the current law this must be done within 45 days of the written request.

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 Students has waived the right to see them;
   c. financial records and statements of their parents;
   d. those documents classified by the Privacy Rights law as non-educational records including:
      (1) Records of instructional, supervisory and administrative personnel and educational personnel which are in the sole possession of the makers of the records.
      (2) Records created or maintained by a physician, psychiatrist or psychologist acting in a professional capacity.

3. If, after inspecting and reviewing their records, students have any question 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 Yeshiva University.

D. Correction of Records

1. If, after inspecting and reviewing their records, students believe that any information contained in them is inaccurate or 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 students, 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 students 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, except as provided below.

2. With the prior approval of the Associate Dean for Students (for medical students) or the Director of the SGGD (for graduate students) the primary record of students may be disclosed without their written consent to faculty members, school officers and student advisors within the College of Medicine or the SGGD who have a legitimate educational interest in the information. This includes mentors, potential mentors identified by the student, training grant directors, qualifying 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 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 to their parents, if they are dependents of the parents as defined in Section 152 of the Internal Revenue Code of 1954, and the parents to certify.

8. The records of students will be disclosed without their written consent as required to comply with a judicial order or subpoena.

9. 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.

10. The following information related to students is considered "directory information": name, address, telephone number, date and place of birth, participation in officially recognized activities, dates of attendance, degrees and awards received and similar information. Legally this information can be disclosed without a student's permission, however it is AECOM policy not to release "directory information" except with the student's written consent.

F. Records of Disclosures

1. The Office of the Registrar and the Office of the SGGD will, for each request, excepting those from members of the Office of Education, and for each disclosure of personally identifiable information from the education records of a student to outside institutions or agencies, maintain a record which indicates the parties who have requested or obtained information and the legitimate interests of these parties. The records of disclosures may be inspected by the student.

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
600 Independence Ave., SW I
Washington, D.C. 20202-4605