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For the current version of the Academic Policies and Guidelines, be sure to check the Graduate Division website: www.einstein.yu.edu/phd

2016-2017 Graduate Division Academic Policies and Guidelines
Graduate Division Forms

The following forms are available through the Graduate Division website (http://www.einstein.yu.edu/education/phd/current-students/graduate-forms.aspx):

**First Year Laboratory Rotations**
- Rotation Registration Form
- Neuroscience Rotation Registration Form
- One Time Rotation Registration Form (for Directly Recruited PhD students)
- Rotation Evaluation Form
- OSHA Form

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

(All Rotation Registration, Laboratory Declaration/Change of Lab Forms must be submitted with a completed OSHA Form)

**Student Advisory Committee (SAC)**
- Student Advisory Committee Summary Report Form

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

**Thesis Defense**
- Thesis Defense Committee Form
- Thesis Defense Committee Report Form

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

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

**Additional Forms**
- Course Withdrawal Form
- Request for Credit for Prior Master’s Degree Form
- Transfer of Credit and/or Course Exemption Form
- Graduate Student / Alumni Publications and Awards
- Request for Approval of Co-Curricular Activity Form
- Update of Current Contact Information
1) Mission of the Graduate Division and Purpose of this Document

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

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

2) Programs and Oversight

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

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

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

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

In general, the policies and guidelines described herein apply to all PhD candidates, including MD-PhD students during the PhD phase of their training.

4) Who’s Who in the Graduate Division

The Associate Dean for Graduate Programs (herein referred to as Associate Dean) oversees all aspects of the Graduate Division and is responsible for implementing policies that promote excellence in graduate education. The Associate Dean should be consulted for questions concerning programs, academic policies, student issues, conflicts in the classroom or laboratory, and any questions regarding professional or ethical behavior. The role of the Associate Dean also includes, but is not limited to, developing new programs, revising and implementing curriculum changes, overseeing the training grant and other initiatives, and responding to all institutional and university guidelines.

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

The PhD and MD-PhD Program Directors are Einstein faculty appointed by the Dean of the Medical School or the Associate Dean. They are responsible for assuring the quality of the academic program, implementing and guiding the development of the academic policies uniformly, and for fair treatment for the students and faculty of the Graduate Division. The Director of the MD-PhD Program appoints the Associate Director of the MD-PhD Program, and chooses the members of the MSTP Steering Committee.

The Associate Director for the PhD Program is appointed by the Dean of the Medical School upon the recommendation of the Associate Dean for Graduate Programs. The Associate Director assists the PhD and MD-PhD Program Directors in all aspects of the programs, including development, with a primary focus on graduate student recruitment, and career and curriculum development, in order to improve the graduate program.

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

The Executive Director for the Graduate Division administers legal documents associated with the Graduate Division, and functions as the Registrar. Specific responsibilities of the Executive Director include, but are not limited to, administrative management, registration, transcripts, oversight and grant submissions, and Graduate Division budgets. Any questions regarding transcripts/academic record, official files, or FERPA, should be directed to the Executive Director.
The Senior Academic Advisor advises graduate students on academic matters, provide feedback to the Academic Affairs Committee regarding academic progress, work with students, mentors, and advisory committees on issues that may arise, and provide input to the Graduate Committee as a liaison between the faculty and the Graduate Division.

Director of Graduate Education and Curriculum collaborates with the Curriculum Committee on creating new courses, revising established courses, and improving the curriculum. The Director also works with faculty on the implementation of new teaching methods.

Other Graduate Division Personnel includes the Assistant Registrar, Director of Graduate Admissions and Enrollment, Graduate Recruitment and Admissions Specialist, Events Coordinator and Special Programs Manager, Finance Manager and Grant Administrator, Analyst for Registrar Systems, Senior Business Systems Analyst, Assistant Administrator, and Program Coordinators.

5) Graduate Division Committees

There are several Graduate Division committees primarily comprised of faculty representatives from the basic science and the PCI departments. The committees serve to make recommendations for improving the programs of the Graduate Division.

The Graduate Executive Committee (GEC) is the executive committee of the Graduate Division and is comprised of faculty representatives from each of the basic science departments and the PCI, the Associate and Executive Directors of the Graduate Division, the MSTP and PhD Program Directors, the Associate Dean for Graduate Programs, who serves as chair, and three student representatives selected by the Graduate Student Council (GSC) and MSTP Student Council (MSC), to further represent the interests of the PhD and MD-PhD student body.

Representatives of the GEC are appointed by department chairs or GSC students and typically serve a term of two to three years. The GEC recommends to the Associate Dean for Graduate Programs additions or changes to policies of the Graduate Division, and approves changes or additions to the Graduate Curriculum, and Qualifying Examination and Thesis Guidelines. Its members provide direct representation and feedback to and from the departments. All members are voting members and a majority “yea” vote is required for approving recommendations to the GEC. At least six departments must be represented by voting members to establish a quorum. The Program Director(s) and Associate Director(s) may represent his or her own department for the purpose of filling quorum, if the designated department representative is absent.

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

Sub-Committees

The Graduate Admissions Committee is comprised of faculty representatives from each of the basic science departments, the PCI, as well as a diversity representative. Members serve terms of two to three years. The Graduate Admissions Committee evaluates the acceptability of applicants for matriculation into the Graduate Division. The Associate Dean appoints the chair of this committee.

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

The Graduate Curriculum Committee is responsible for the development, implementation and review of the graduate curriculum. The Graduate Curriculum Committee includes a faculty representative from each of the basic science departments and the PCI, the Director of Graduate Education and Curriculum, the Associate Dean, and three-to-four student (PhD and MD-PhD) representatives elected by the Graduate Student Council. Faculty representatives on the Graduate Curriculum Committee do not have to be course leaders. Individual faculty and
student members may not serve concurrently on the Graduate Executive Committee and the Graduate Curriculum Committee.

The Graduate Curriculum Committee is responsible for developing curriculum policy, reviewing course offerings, and recommending new graduate courses for approval by the Graduate Executive Committee. New graduate courses must receive final approval by the GEC prior to the start of the semester in which the courses are being offered.

**The Academic Affairs Committee (AAC)** includes a single representative from each of the basic science departments, the PCI, as well as the faculty member who is the Senior Academic Advisor for the Graduate Division, the MSTP Director and the Associate Dean for Graduate Programs. An additional faculty member serves as the chair, who is appointed by the Associate Dean. The AAC oversees the academic progress of all students as they progress towards obtaining the PhD degree. The AAC meets multiple times throughout the year, including during the summer semester. Any student who does not maintain good academic standing, fails a course, receives a grade of Needs Improvement or Unsatisfactory in Laboratory Research (Laboratory Rotation or Thesis Research), fails the Qualifying Exam, receives an unsatisfactory Advisory Committee report, or is recommended for review by any faculty at any time, may be evaluated by this committee. The AAC also reviews the progress of all students who have been in the program for five years or longer and requests an Exit Strategy from these students. Additionally, issues of ethics and professional misconduct as they relate to students in the program may also be referred to the AAC.

**The Qualifying Examination Steering Committee** is comprised of faculty representatives from each of the basic science departments and the PCI as well as the faculty member who is the Senior Academic Advisor for the Graduate Division, the MSTP Director and the Associate Dean for Graduate Programs. This committee serves to organize the Qualifying Examination and make recommendations regarding the exam guidelines and format. The Qualifying Exam is for the advancement to candidacy for the PhD degree. All students in the PhD and MD-PhD programs must successfully complete the Qualifying Exam en route to the PhD degree.

**The Graduate Student Council (GSC)** is chartered as the representative organization of the graduate students to the faculty and administration. The GSC gives students a formal voice in the operations of the graduate program. This group also plans social events and community service activities, maintains an active student listserv, and manages the Big Brother/Big Sister program in which each entering student is paired with an older student who serves as a guide and confidante during the first year.

Additional information regarding the GSC is available at: http://www.einstein.yu.edu/education/phd/current-students/graduate-student-council/, or contact the current GSC Chair. (Contact information is available through the Graduate Division office.)

**The MSTP Student Council (MSC)** represents the interests of MD-PhD students enrolled in the Medical Scientist Training Program (MSTP). This group was formed to facilitate communication among MD-PhD students, faculty, and Einstein administration; participate in organizing recruitment events for MSTP applicants; provide academic, professional, and social support to MD-PhD students; and organize social and academic events relating to the Medical Scientist Training Program.

Additional information regarding the MSC is available at: http://mstp.einstein.yu.edu/, or contact the current MSC Chair. (Contact information is available through the Graduate Division office.)
6) Accreditation

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

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<th>HEGIS CODE</th>
<th>PROGRAM CODE</th>
<th>DEPARTMENT NAME</th>
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<td>0409</td>
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<td>Anatomy and Structural Biology</td>
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<td>0414</td>
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<td>0417</td>
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<td>0417</td>
<td>11044</td>
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<td>15259</td>
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<tr>
<td>0499</td>
<td>27706</td>
<td>PhD in Clinical Investigation</td>
</tr>
<tr>
<td>0499</td>
<td>33271</td>
<td>Systems and Computational Biology</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, religion, color, creed, age, national origin or ancestry, citizenship status, gender, marital status, physical or mental disability, sexual orientation, or gender identity within the meaning of applicable law.

1) Requirements for Admission

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

All applications to the PhD program must be submitted directly online. Details of the application procedure are described on the Prospective Students page of the Graduate Division website, www.einstein.yu.edu/phd.

The Graduate Division admits applicants with diverse undergraduate training. It is generally expected that applicants will have successfully completed undergraduate courses in biology, general chemistry, organic chemistry, mathematics (including calculus), and physics, with advanced courses and laboratory work in biology, chemistry and physics or have successfully completed an undergraduate engineering curriculum. A course in biochemistry is strongly recommended. Successful candidates for admission will generally have had significant bench research experience.

Letters of Recommendation

Three letters of recommendation are required, preferably from individuals with direct knowledge of the applicant's qualification for graduate study.

Graduate Record Examination

Applicants must submit official scores for the Graduate Record Examination (GRE), taken within the past three years from the admissions deadline (School Code 2997). Exceptions to this rule must be approved by the Program Director. If the student has also applied to the MSTP program, the MCAT scores can be used in place of the GRE, with the approval of the Chair of the Graduate Admissions Committee.

Inquiries about the GRE should be addressed directly to the Educational Testing Service, Princeton, New Jersey, 08540

Transcript

A transcript or academic record is required from each college or university attended and listed in the Education Section of the application. Applicants who have attended international institutions, whose transcripts are in a language other than English, must also provide the certified English translation of the transcript.

International Applicants

Test of English as a Foreign Language (TOEFL)

The TOEFL is required for applicants who are not native English speakers and for applicants whose degree(s) was earned at a non-English speaking institution—in addition to the GRE. Inquiries about these examinations should be addressed directly to the Educational Testing Service, Princeton, New Jersey, 08540.

International Transcripts

All transcripts from international institutions will be subjected to independent verification from an outside agency prior to matriculation into the PhD program. The cost of this evaluation will be borne by the Graduate Division.
2) Pathways to Enter the Program

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

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

Second: a small number of students may apply to and be accepted directly into a laboratory and a department (the "direct pathway"). These students will participate in at least one laboratory rotation during the first year in the program, agreed upon with their 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 for admissions 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 Graduate Admissions Committee. A student can only be accepted into the program via the direct pathway if the prospective mentor can confirm a commitment of two years of stipend support commencing at matriculation.

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

Fourth: students enrolled in the Medical Degree (MD) Program of the College of Medicine may enter the Graduate Division through the "alternate pathway" of the MSTP. The academic policies related to the MD program for the latter two pathways are available from the MSTP Director.

3) How to Apply

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

In addition to the online application, applicants must submit GRE scores (school code 2997), three letters of recommendation (online only), official transcripts (uploaded to online application) and TOEFL scores (for international applicants).
It is the student’s responsibility to ensure that the Graduate Division office receives all required materials by the deadline date.

Admission to the Graduate Program is contingent on completion of the undergraduate degree. Students who are admitted to the Graduate Division will matriculate the following August for the fall semester and the final undergraduate transcript showing that the Bachelor’s degree has been conferred is due before matriculation. The official transcript must be mailed to:

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

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

For application to the MD-PhD program, visit the MSTP homepage at http://mstp.einstein.yu.edu/. Applications to the PhD program via the MSTP Alternate Pathway are accepted in the Graduate Division office during the spring semester. (Information is available in the Graduate Division office.)

Inquiries regarding the application process for the PhD and MD-PhD programs can be sent to:

PhD application and program queries: phd@einstein.yu.edu
MSTP application and program queries: mstp@einstein.yu.edu
Section III: What to Expect: A Five Year Plan to the PhD

1) A General Guideline to the Einstein PhD (Years One through Five)

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

Year One: Courses and Laboratory Rotations

Graduate Courses:
There are three course blocks during the academic year: Block I and Block II of the fall semester, and Block III of the spring semester. During the first year, the Associate Dean and Senior Academic Advisor will advise students on which courses to take during which course block. (MD-PhD students are advised by the MSTP Director).

PhD students: First year PhD students are required to complete at least six (6) course-credits per course block and a minimum of 21 course-credits overall.

MD-PhD students: First year MD-PhD students are required to complete at least four (4) to six (6) course-credits per block and a minimum of 18 course-credits overall. MD-PhD students are also required to take several MSTP-specific graduate courses in the first year (see Appendix II: MD-PhD Graduate Requirements).

It is expected that students will complete their course requirements in the first year. The graduate curriculum is quite broad and allows for each student to customize his/her own curriculum based on research interests. Students should have a general idea of what basic science department they may be interested in joining and take note of the department-specific course requirements (see Appendix I: Department-specific Course Requirements and Course Recommendations).

All PhD and MD-PhD students must successfully complete the Responsible Conduct of Research course. The National Institutes of Health (NIH) mandates that all pre-doctoral fellows satisfy the requirement for formal training in the responsible conduct of research.

All PhD students must successfully complete the first year course on becoming a scientist, typically in the first year of the program.

Academic progress of all first year students is reviewed by the Academic Affairs Committee. (See Section VII: Academic Standards and Student Academic Progress).

Laboratory Rotations:
Generally, it is expected that three rotations will be performed during the first year. (Any exceptions must be approved by the Associate Dean.) A rotation evaluation (grade) is provided at the end of each rotation by the rotation mentor. Rotation grades are entered on the student's academic record and are reviewed by the Academic Affairs Committee.

PhD students are expected to complete a minimum of two laboratory rotations during the first year during the designated rotation periods as listed on the academic calendar. At the end of the second rotation (third rotation, if applicable), students are expected to declare a thesis mentor/laboratory and department. Any exception requires noted approval from the Associate Dean. Occasionally, students are permitted to
complete a fourth rotation in the summer following the first year, and then declare a lab. All PhD students must declare a lab by the end of the summer semester following their first year in the program. Rotations are not permitted beyond the end of the summer semester of the first year. Students are required to have declared and have been admitted into a thesis laboratory by the start of the fall semester in year two.

Note for PhD students rotating in Neuroscience labs: Neuroscience rotations run concurrently with the corresponding course block.

Directly Recruited PhD students are required to complete a one-time laboratory rotation in the first year of the program during one of the three rotational periods as listed on the academic calendar. This one-time rotation can be completed during any of the three rotation periods of the year. If this requirement is not met, registration for the second year may be blocked, and the student may receive a grade of Unsatisfactory for the laboratory rotation. (Directly-recruited PhD students declare their thesis laboratory and department upon matriculation into the PhD program.)

MD-PhD students are generally expected to perform their laboratory rotations during the first and second summers in the program. MD-PhD students typically declare their thesis mentor/laboratory and department at the end of the second year in the MSTP.

Any Needs Improvement or Unsatisfactory grade in Laboratory Rotation may be cause for review by the Academic Affairs Committee (see Section VII: Academic Standards and Student Academic Progress).

Year Two: Initiate a Hypothesis and Generate Preliminary Data

Graduate Courses:
It is expected that all coursework will be finished by the end of year one. However, if there are any courses that still need to be completed, it is expected that these will be completed by the end of the second year. Students must review their department-specific course requirements (see Appendix I) and complete any necessary courses required of their declared department.

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

Qualifying Examination:
In year two, students will take the Qualifying Examination for the advancement to candidacy for the PhD degree. Any exception to this timeline must be approved by the Associate Dean (or MSTP Director for MD-PhD students). The format and guidelines of the Qualifying Examination will be described further herein, Section VI.

Student Advisory Committee (SAC):
By the end of year two, each student must have chosen an Advisory Committee (see Section VII, Part 3) and arranged an initial meeting to discuss the hypothesis and preliminary data. Starting in year two, each student must meet with their SAC at least once per academic year and more frequently as he/she progresses through the program (i.e. at least once every six months in year four and higher).

Immediately following each SAC meeting, students must submit to the Graduate Division office the Student Advisory Committee Summary Report Form. Students who have not had an Advisory Committee meeting as required will be blocked from registration in the subsequent semester.

Year Three: Develop the Thesis Aims

It is expected that during year three 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. A Student Advisory Committee meeting should be scheduled to evaluate progress thus far. It is expected that manuscript drafts should begin to develop.

**Year Four: Write Manuscripts and Develop Exit Strategy**

This should be a time of strong research productivity. The strongest Aims that will constitute the thesis will solidify and completed manuscripts are expected to be submitted for publication in peer-reviewed journals. At the end of the fourth year, the student should develop an Exit Strategy to be approved by their Advisory Committee. Each student is required to meet with their Advisory Committee at least twice per year (or more) in the fourth year or higher.

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

During the fifth year, the student should 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. The Advisory Committee must grant the student permission to write and defend the thesis. (See Section VIII: Thesis and Defense Guidelines.) Prior to defending, students who wish to write and defend must attend a mandatory Thesis Workshop on plagiarism, held in the fall.

To march in the May graduation commencement ceremony, all defense requirements and appropriate paperwork (including the Dissertation, and additional forms) must be submitted before the end of April—this date will be indicated on the academic calendar. The Graduation Checklist is available on the Graduate Division Forms webpage. **Students must begin planning for the thesis defense at least six to nine months prior to the anticipated date of the defense.**

In some cases, students will continue into the sixth year. Permission to continue thesis research beyond the fifth year may require submission of an Exit Strategy, developed by the student in conjunction with the mentor and the Advisory Committee. This Exit Strategy will be reviewed by the Academic Affairs Committee.

**2) General Information Regarding Co-Curricular Activities and Attendance at Scientific Conferences**

**Request for Co-Curricular Activity**

The Graduate Division recognizes the educational value of certain co-curricular activities, such as tutoring for courses or working with course leaders in the role of Teaching Assistants, or other education-related activities.

Participating in approved co-curricular activities is a privilege and requires that the graduate student be in good academic standing. A student requesting approval to participate in a co-curricular activity must:

- a) not be on academic probation
- b) be making acceptable progress towards completing their thesis research, as documented by Advisory Committee Reports

A student who wishes to participate in co-curricular activities must obtain approval from their mentor(s) and the Associate Dean for Graduate Programs. Mentor(s) reserve the right to prohibit the graduate student(s) in their lab from participating in teaching activities.

Co-curricular activities are expected to not significantly detract from progress in a student’s thesis research and should be limited to a short duration, except in unusual circumstances.

A student may be financially compensated for teaching efforts, in addition to the student stipend.
A student on an F-1 Visa must contact the Office of International Services for permission to participate in co-curricular activities.

*Students must submit a completed Request for Approval of Co-Curricular Activity Form to the Graduate Division office (Belfer 202) prior to starting any co-curricular positions.*

**Request for Funds to Attend a Scientific Conference**

Based on the availability of funds, the Graduate Division will provide shared support for student attendance at regional or national scientific meetings, *If the student is making an oral or poster presentation*. Customarily, support is divided among the student’s laboratory and the Graduate Division, (and often the department) and may be used for any combination of registration fees and travel expenses. The total amount of support provided by the Graduate Division is based on the availability of funds at the time the request is received. **Student travel support is limited to one (1) trip per year, per student.**

*Students must submit a completed Request for Funds to Attend a Scientific Conference Form to the Graduate Division office, prior to attending the conference/meeting. The form is available from the Graduate Division office in Belfer 202.*

**3) Elective Externship**

A student may request approval to participate in an elective externship at a Pharmaceutical/Research company. In order to be eligible the student:

- must be in the second or third year of the PhD program (or PhD phase for an MSTP student)
- must have satisfied all course and course-credit requirements
- must have successfully completed the Qualifying Examination
- must be in good academic standing
- must have full written permission from their thesis mentor (see Elective Externship Form which is available in the Graduate Division office, Belfer 202)

**Externship qualifications:**

- The elective externship must be scientifically related to the student’s thesis lab/project or otherwise justified as pertaining to the student’s development.
- Only one elective externship is permitted per student during their doctoral training.
- Externship must not exceed 4 months.

If the student meets the criteria noted above, he/she must submit the Request for Approval of Elective Externship form to the Graduate Division office at least 3 months prior to the start of the externship. **Student may not begin externship without the expressed written approval of the Associate Dean for Graduate Programs.**

If externship is approved, the student will be registered for the “Elective Externship” course which will result in full-time status. This course will appear on the graduate record/transcript. At the end of the elective externship, an evaluation form must be completed and signed by the externship supervisor. A final grade of Satisfactory (S), Needs Improvement (NI) or Unsatisfactory (U) as provided by the externship supervisor will be recorded permanently on the student’s graduate record/transcript.

If the externship is paid, the student Einstein stipend will be suspended for the period of the externship. However, if the student is on the Einstein Student Health Plan, their health coverage will continue.

*The Graduate Division bears no financial responsibility for an elective externship.*
Section IV: Program Requirements, Registration and Courses

1) Formal Residency Requirements, Full-time Status, and Credit Hours

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

Matriculated students of the Graduate Division are formally defined as students accepted for PhD training who are engaged in formal courses and/or research training, totaling a minimum of twelve (12) credit hours per fall and spring semester and six (6) credit hours during the summer.

All students are required to maintain full-time status. Full-time status is defined as maintaining a registration of six (6) credits or more at all times throughout the academic year. There is no “part-time” status in the Graduate Division. Failure to comply with this policy may lead to dismissal from the Graduate Division.

Credit Hour Definition for Courses: One (1) credit hour is earned for fifteen (15) 1-hour (of 50 minutes each) sessions of lecture or classroom instruction, with the expectation of two (2) additional hours of outside study or reaching for each class session.

Credit Hour Definition for Laboratory Rotation and Full-Time Thesis Research: One (1) credit hour is earned for each forty-five (45) 1-hour session of academic activity. Forty-five hours of academic activity yields one (1) credit hour. Full-time supervised research, including instruction at the laboratory bench and conference with the research advisor, is the most important educational component in the training of a research scientist. A semester of full-time supervised research is considered to be the equivalent of twelve (12) credit hours.

2) Attendance Policy

Regular class attendance is a required condition of receiving credit for courses. Any student who is not in regular attendance for a course may be prohibited from taking the exam and/or receiving a passing grade for that course. If the course leader denies a student permission to take the exam because of failure to attend classes regularly, the student shall receive a grade of “F” (Fail) or “I” (Incomplete) at the discretion of the course leader. Each course leader may supplement this general attendance requirement by announcing a more specific attendance requirement for a particular course. It is expected that a course leader who imposes a more specific attendance policy will do so in writing, setting out the policy and sanctions for its violation, but this is not an absolute requirement.

Students in “active” status must maintain regular attendance in the lab while completing a laboratory rotation or thesis research. A student who is not in regular laboratory attendance may receive a grade of “NI” (Needs Improvement) or “U” (Unsatisfactory) for Thesis Research or Laboratory Rotation.

Regular attendance is essential to maintaining full-time enrollment status. A student who falls out of status may be impacted negatively in terms of federal aid eligibility and/or loan deferment.

Grades of Fail, Incomplete, Needs Improvement or Unsatisfactory will lead to a review of the student’s academic record by the Academic Affairs Committee. Receipt of any one of these grades is grounds for academic probation. Multiple grades of Fail, Incomplete, Needs Improvement and/or Unsatisfactory may lead to dismissal from the program.
3) Graduate Program Course Requirements

Students who entered the program in 2012 or prior:

Students who entered the program in 2012 or prior should adhere to the previously published policies (at least seven graduate courses, [five courses for MD-PhD students], with varying departmental requirements).

A student who entered the program in 2012 or prior, who needs a non-specific foundation course in order to satisfy the program course requirement, should take an 8-week course to satisfy the requirement.

A student who entered the program in 2012 or prior, who needs a specific foundation course in order to satisfy a department-specific course requirement, should take the course equivalent in the new curriculum. For example, Graduate Biochemistry in the old curriculum equals Biochemistry in the new, and Gene Expression in the old curriculum equals Gene Expression: Beyond the Double Helix in the new.

For a student who entered the program in 2012 or prior, a four-week course counts towards satisfying the minimum number of required courses.

Students who entered the program in 2013 and onward:

For students who matriculated in 2013 onward, the following is the course requirement policy:

All PhD and MD-PhD students must successfully complete the Responsible Conduct of Research (RCR) course, typically in the first year of the program. This is a critical course to complete as the National Institutes of Health (NIH) mandates, without exception, that all pre-doctoral fellows satisfy the requirement for formal training in the responsible conduct of research. The PhD degree will not be granted if this course is not successfully completed. Any exceptions to this course requirement must be approved by the Associate Dean.

Course-credit earned from successfully completing the Responsible Conduct of Research course is not counted towards the total number of credits required for the doctoral degree.

PhD Students:

- Must successfully complete the first-year course on becoming a scientist, in addition to RCR.
- Must successfully complete a minimum of 21 graduate course credits, preferably in the first year.
- Can receive “transfer of credit” for a graduate course taken at a prior institution, if that course is deemed equivalent to a current Einstein graduate course as recommended by the current graduate course leader, (see Section IV, Part 4). No more than two graduate courses can be approved for “transfer credit” and no additional credit will be applied if student is afforded the “Master’s credit.” (In this case, only exemptions apply.)
- Can be exempted from a course if he/she has taken a similar graduate course at a prior attended institution. An exempted course is not counted towards the minimum required course credit of 21 and therefore, another course must be taken in its place.
- With approval from the Associate Dean, can transfer into the Einstein graduate program from another graduate program and receive transfer of credit for graduate courses taken at the prior institute, noted as “transfer with advanced standing”.
- If a student enters the program with a Master of Science or Master of Arts (from a relevant discipline), or a Doctor of Medicine degree, he/she may apply for “Master’s credit.” If the request is approved, the student is granted three (3) credits towards the program course credit requirement. The student then has to take 18 course credits in order to satisfy the program course requirements. A student may apply for Master’s credit by completing and submitting to the Graduate Division office the Request for Credit for Prior Master’s Degree Form which is available on the Graduate Division’s forms webpage. Appropriate documentation of conferral of the Master’s or MD degree is required along with submission of the form.
MD-PhD Students:

- Must successfully complete a minimum of 18 graduate course credits, preferably in the first year.
- Must successfully complete the following MSTP-specific graduate courses, in addition to RCR:
  - Biochemistry
  - Histology and Cell Structure
  - Membrane Physiology and Transport
  - MSTP Cardiac Physiology
  - MSTP Mechanisms of Disease
  - MSTP Genomics 101
  - Renal, Respiratory, and Acid-Base Physiology

*Note:* Credit hours earned from completing the Histology and Cell Structure and MSTP Mechanisms of Disease do not count towards satisfying the 18 course credit program requirements.

- Can receive “transfer of credit” for a graduate course taken at a prior institution, if that course is deemed equivalent to a current Einstein graduate course as recommended by the current graduate course leader, (see Section IV, Part 4). No more than two graduate courses can be approved for “transfer credit” and no additional credit will be applied if student is afforded the “Master's credit.” (In this case, only exemptions apply.)
- Can be exempted from a course if a similar graduate course has been taken at a prior attended institution. An exempted course is not counted towards the minimum required course credit of 18 and therefore, another course must be taken in its place.
- If a student enters the program with a Master of Science or Master of Arts from a relevant discipline, he/she may apply for “Master's credit.” If the request is approved, granted three (3) credits towards the program course credit requirement. The student then has to take 15 course credits in order to satisfy the program course requirements. A student may apply for Master’s credit by completing and submitting to the Graduate Division office the Request for Credit for Prior Master's Degree Form which is available on the Graduate Division’s forms webpage. Appropriate documentation of conferral of the Master's degree is required with submission of the form.

Final approval for transfer credit, Master's credit and exemptions is granted by the Associate Dean. Once approved, these credits are reflected on the student's graduate transcript.

In addition to having fulfilled the conditions and requirements of the Graduate Division, as set forth in these guidelines, candidates for the PhD degree must also adhere to their department-specific course requirements outlined further in Appendix I.

**4) Transfer Credit and Exemption**

The Associate Dean or Program Director must approve transfer credit or exemption.

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

Students may receive transfer credit for no more than two graduate courses. However, if a student transfers to the Einstein PhD program from another accredited doctoral program, additional courses may be approved for transfer credit. Transfer credit is not available to students who were previously granted Master's credit. (See Section IV, Part 6: Master’s Credit).
Course Exemption:
Alternatively, the course leader may recommend “exemption” in which case the credits of the exempted course do not count toward the total number of required course credits; no credit is earned for course exemption and another course should be taken in its place. However, an exempted course may fulfill a department-specific course requirement.

5) Department-Specific Course Requirements and Course Recommendations

See Appendix I.

6) Master’s Credit

If a student enters the program with a Master of Science or Master of Arts degree from a relevant discipline, (or a PhD student enters the program with an MD degree) he/she may apply for Master’s credit.

If the request is approved,
• Students who matriculated in 2012 or prior:
  o Are granted credit for two graduate courses. PhD students then need to successfully complete at least five (5) graduate courses instead of the mandated seven (7); MD-PhD students then need to successfully complete three (3) graduate courses instead of the mandated five (5).
• Students who matriculated in 2013 or after:
  o Are granted three (3) course credits. PhD students then need to successfully complete 18 course credits instead of the mandated 21; MD-PhD students then need to successfully complete 15 course credits instead of the mandated 18.

Students should apply for Master’s credit within their first year of matriculation into the program by submitting the Request for Credit for Prior Master's Degree form with appropriate documentation.

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

Note: Being granted Master’s credit does not waive the requirement of six (6) course credits per block. A student who has been granted Master’s credit MUST still register for a minimum of six (6) course credits per course block in order to maintain full-time student status.

7) Registration

The Graduate Division operates on the semester system (fall, spring and summer). The fall semester consists of two (2) course blocks (Blocks I and II) and one (1) rotation period (Rotation Period I). The spring semester consists of one (1) course block (Block III) and two (2) rotation periods (Rotation Periods II and III). Each year, a detailed academic calendar which outlines the specific dates of each course block and each rotation period as well as all registration dates/deadlines is posted on the Graduate Division website: http://www.einstein.yu.edu/education/phd/current-students/calendar.aspx
Every PhD and MD-PhD student must register online during the designated registration periods as indicated on the academic calendar. It is each student’s responsibility to do so. Failure to register may jeopardize the student status.

If a student has completed their course requirements and is doing solely thesis research he/she must register for full-time Thesis Research (12 credits in fall and spring; 6 credits in summer) in order to maintain full-time student status.

If a student has successfully completed the thesis defense, but has not yet submitted all the final required forms for the doctoral degree prior to the start of the subsequent semester, the student must register for Thesis Research during the next registration period.

It is every student’s responsibility to register during the designated registration periods as published on the academic calendar. Students not registered by the published date will be considered as non-matriculated.

First Year Students: Registration for first year students is in accordance with advisory sessions with the Associate Dean, Senior Academic Advisor, Director of Graduate Education, and/or MSTP Director.

Students beyond the first year are expected to seek out advice on course selection from the Associate Dean, Program Directors, Student Advisory Committee, and/or mentor.

It is every student’s responsibility to register during each designated registration period, unless on pre-approved leave of absence. Failure to do so could jeopardize a student status in the program.

8) Auditing a Course

A student may, in the second year or above, audit a course with the permission of the course leader. First year students may not audit a course without permission from the Associate Dean or MSTP Director. Audited courses may not be used for credit; no course-credit is earned for auditing a course. A completed Audit Registration Form is required to audit a graduate course. This form is available in the Graduate Division office.

Non-matriculated individuals may also audit a course; no credit will be earned. (See Part 13: Non-Matriculated Students)

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

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

9) Course Add/Drop and Course Withdrawal

During the add/drop period of each course block, as published on the academic calendar, a student may add or drop any course without penalty or notation on the transcript. Courses may be added or dropped online via MyYU
Self-Service. First year students must have approval of the Program Director or Associate Dean prior to adding or dropping a course.

If a student wishes to withdraw from a course after the add/drop period, the request for withdrawal from a course must be made prior to mid-point of the course. Course withdrawals after the add/drop period requires the completion, with appropriate signatures, of a Course Withdrawal Form. Students who withdraw prior to mid-point of the course are given the grade of W (Withdrew). Withdrawal from a course following mid-point of the course will result in a grade of F (Fail) for the course.

10) Registration in Courses Offered by Other Einstein Programs

A student interested in taking a course in another Einstein degree program may do so with permission (in writing) from the mentor, and Associate Dean or Program Director, as a non-matriculated, non-degree-seeking student of that program. A graduate student is not eligible to matriculate in any other Einstein or Yeshiva University degree or certificate program while enrolled (in active-student status) as a PhD or MD-PhD student in the Graduate Division.

11) Registration and Transfer of Credit for Courses Taken at Another Institution While Currently Enrolled in the Graduate Division

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

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

12) Completion of Thesis Research at Another Institution

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

1) The student must have fulfilled the residency requirement described above;
2) The student must submit the appropriate form with required signatures and a letter from the department chair to the Associate Dean granting permission to complete the thesis research off-campus;
3) The student must confer with their Advisory Committee at least twice every year (either on campus or by telephone/video conference) and submit the necessary Advisory Committee meeting report forms to the department and Graduate Division office.
4) The student must register online during each registration period, observing all the registration deadlines published on the Graduate Division academic calendar.

13) Non-matriculated Students

A non-matriculated student is an individual (affiliated with Einstein) who wishes to register for a graduate course, but is not enrolled in the Graduate Division. A non-matriculated student may register for and receive official credit for graduate courses taken. Medical students, post-doctoral fellows, physicians in post-doctoral or residency training in Einstein affiliated hospitals, students from other colleges of Yeshiva University or colleges with which the Graduate Division or Medical School has established a formal relationship, as well as qualified employees of the College of Medicine may be considered non-matriculated students.

Registration
A completed Non-Matriculated Registration Form must be submitted to the Graduate Division office and requires approval from the course leader and Executive Director of the Graduate Division. The non-matriculated student is responsible for supplying documentation that all prerequisites are met, if such documentation is requested by either the course leader or the Executive Director. Note: Some courses may have size limitations that preclude registration by a non-matriculated student. A non-matriculated student who registers for a graduate course is considered to have equivalent status (within the course) as a graduate student and is responsible for fulfilling all course requirements including examinations, papers, and presentations. A non-matriculated student who fails a course may retake the course once. (Graduate courses may not be repeated more than once.)

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

- Final date to register as a non-matriculated student is the last day of the add/drop period as indicated on the academic calendar. No admittance to the course can be made after this date.
- A non-matriculated student may register for credit or audit only one course per block.
- An Einstein or Montefiore email address and an Einstein or Montefiore ID card are required to register for credit or audit a graduate course.

Course Withdrawal
A non-matriculated student must adhere to all official course deadlines including withdrawal dates as published in the academic calendar. A non-matriculated student who withdraws after the add/drop period and prior to mid-point of the course is given the grade of W (Withdraw). Withdrawing from a course after mid-point will result in a grade of F (Fail) for the course. The results of a graduate course will be recorded on an official transcript by the Graduate Division, whether the course grade is Honors, Pass, Fail, Withdraw, or Incomplete.

For guidelines on withdrawing from a course see “Course Withdrawal” (Part 9 of this Section).

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

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

- Final date to register for audit is the last day of the add/drop period as indicated on the Graduate Division’s academic calendar. No admittance to the course can be made after the final add/drop date.
- Change of status from “registered for credit” to “audit” or vice versa, can only be made during the add/drop period.
- No credit or grade will be granted for auditing a graduate course.
- Only one course per block may be audited, or taken for credit.
- Audited courses cannot be used to fulfill departmental course requirements.
- A course may not be audited in which a grade of Fail was received in a prior semester/block.
- A failed graduate course may not be repeated more than once, whether as for audit or for credit.

14) 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 Educational Rights and Privacy Act of 1974 (see Appendix VII). The policies of Yeshiva University are consistent with FERPA and apply to all students. A student may review their academic record and unofficial transcript online (using the BANNER/MyYU system) at any time. Students who wish to obtain an official copy of their transcript may do so by submitting a Transcript Request Form to the Registrar of the Graduate Division.

In addition to all courses and grades, the following are also recorded on the transcript:
- Leave of Absence
- Official Withdrawal
- Academic Dismissal
- University Dismissal
Section V: Choosing a Thesis Laboratory

1) Laboratory Rotations

All graduate students participate in laboratory rotations within the first year in the program. 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 of each Rotation Period are published annually on the Graduate Division academic calendar. Each student is expected to fully participate in the research activities of the laboratories in which they rotate and to seriously apply themselves to the laboratory work.

Research laboratories generally sponsor only one PhD or MD-PhD student for any given rotation period. However, there are times when sponsoring two students is unavoidable due to scheduling constraints, and this may be allowed if approved by the Program Director. A student may not conduct two rotations in the same laboratory. Rotation mentors must have an appointment in a basic science department or be a designated member of the PhD in Clinical Investigation (PCI).

PhD Students

Within the first few weeks of matriculation into the program, students meet with prospective laboratory mentors and choose one for the first rotation. A student may also make provisional plans for subsequent rotations. It is the responsibility of the student to confirm or retract any provisional commitments to a laboratory rotation, at the earliest possible time.

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

PhD Students (Directly Recruited)

Students who enter the program via the “direct pathway” (see Section II, Part 2) are required to participate in at least one laboratory rotation outside of their 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 designated rotation periods. The one-time rotation laboratory is chosen in consultation with the thesis mentor, and will often allow specialized relevant training outside of the thesis laboratory.

MD-PhD Students

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

Rotation Registration

Each student must formally register for each rotation via completion and submission of the Rotation Registration form. PhD student rotations must be approved by the Associate Dean for Graduate Programs. MD-PhD student rotations must be approved by the MSTP Director.

Rotation Evaluation

At the end of each laboratory rotation, the rotation mentor completes a Rotation Evaluation form and provides a summary grade of Satisfactory (S), Needs Improvement (NI) or Unsatisfactory (U). This summary grade will be
recorded permanently on the student’s graduate transcript. It is expected that student and rotation mentor will discuss this evaluation; signatures of both the student and rotation mentor are required on the Rotation Evaluation form. This evaluation may be reviewed by the Academic Affairs Committee.

A grade of Needs Improvement or Unsatisfactory in Laboratory Rotation is grounds for academic probation.

2) Declaration of the Thesis Laboratory

Students are expected to declare a thesis laboratory at the end of the spring semester of their first year in the program (end of second year for MD-PhD students). Each student must submit a Thesis Laboratory and Department Declaration form to the Graduate Division office with all the necessary approval signatures. Under exceptional circumstances, and only with the prior permission of the Associate Dean or MSTP Director, a student may rotate in an additional laboratory (a fourth rotation) during the summer prior to entering the second year of the program (third year for an MD-PhD student). The student is then expected to declare a thesis laboratory immediately following the fourth/summer rotation. Failure to declare a thesis laboratory may result in dismissal from the program.

The declared primary thesis mentor must hold an appointment, at the level of Assistant Professor or above, in one of the basic science departments, or be a designated mentor in the PhD in Clinical Investigation (PCI). If the mentor has both primary and secondary appointments in basic science departments, the student is expected by default to enter the department of the primary appointment, but may choose to enter the department of secondary appointment due to the nature of the thesis topic upon recommendation of the mentor, and approval of the Associate Dean or MSTP Director.

Adjunct faculty members are not eligible to serve as thesis mentors to graduate students.

Once a thesis laboratory is declared, the student must register each semester for Thesis Research with their mentor. At the end of each semester, the mentor submits a Thesis Research grade of Satisfactory (S), Needs Improvement (NI), or Unsatisfactory (U). A grade of Needs Improvement or Unsatisfactory in Thesis Research is grounds for academic probation. Receiving multiple grades of NI or U in Thesis Research is grounds for dismissal from the program.

Co-mentorship

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

- The student must designate one mentor as the “primary” mentor and the other mentor as the “co-mentor.” The co-mentor should also have an appointment as an Assistant Professor or higher in a basic science department or the PCI. The student will be considered to have declared in the department of the primary mentor.
- Neither mentor can participate as part of the examining committee for either the student’s Qualifying Exam or Thesis Defense.
- The student’s Advisory Committee must include other faculty (typically two to four) in addition to the co-mentors.
- Project development responsibility will be assumed by both mentors.
- Regular meetings between the student and co-mentors are strongly recommended.
- Both mentors must sign the student’s thesis dissertation upon time of defense and graduation.
**Associate (Contingent) Mentor**

There may be instances where a student's primary mentor goes on sabbatical or is physically no longer located at Einstein. In such instances, the student and the primary mentor should designate another basic science faculty member to serve as an associate mentor to the student while the primary mentor is away. The associate mentor is expected to give the student hands-on advice in matters relating to the student's laboratory research. The primary mentor is expected to periodically check in with the associate mentor to discuss the student's progress in the lab. The student's Thesis Research grade will be submitted by the primary mentor.
Section VI: The Qualifying Examination

For the Advancement to Candidacy for the PhD Degree

Candidates for the PhD degree must satisfactorily complete a Qualifying Examination, the purpose of which is to ensure that students have a general understanding of the biomedical sciences and sufficient knowledge of their chosen area of thesis research to proceed towards the PhD degree in a timely manner. The Graduate Division administers the Qualifying Examination in the fall/spring of each year. The examination is usually taken in the second year of the PhD program (or in the third year of the MD-PhD program). Under extenuating circumstances, a student may defer the examination with permission of the Associate Dean for Graduate Programs, based on gaps in his/her academic training, illness, a change in laboratory, or other extenuating circumstances.

It is expected that students will have completed most of their program-specific and department-specific course requirements prior to taking the Qualifying Examination. Successful completion of the examination marks a student's transition to the independent research phase of his/her graduate training.

1) The Mission of the Qualifying Examination

Advancement to candidacy by passage of the Qualifying Examination reflects the judgment of the Graduate Division faculty that a student is adequately prepared to embark upon focused thesis research. That is, the student has demonstrated that s/he has the fundamental knowledge in a chosen discipline and the creativity, discipline, and dedication to complete the PhD degree in a timely manner. Conversely, failure of the examination indicates faculty concern regarding the student's likelihood of success at conducting PhD-level independent research.

2) The Responsibilities of the Candidate

A student who seeks to advance to candidacy for the PhD degree must take full responsibility for preparation for the examination. The student is expected to be scientifically conversant in their chosen discipline, to demonstrate creative and critical thinking about their proposed studies and to adhere to the highest standards of intellectual and professional integrity. Each student must use the course of thesis research planned with his or her mentor and advisors as the starting point for Qualifying Examination preparation. During the exam, the student must demonstrate an understanding of the underlying principles and context of the proposed work; the recitation of experimental details is of less importance and will not lead to successful completion of the Qualifying Examination. A demonstration of scientific depth and breadth of understanding will give the examiners confidence that the student is ready to embark on his/her academic journey toward the doctoral degree.

3) The Responsibilities of the Mentor

The mentor is the most important person in a graduate student's training. By choosing a faculty member as their thesis mentor, a student signals embrace of the mentor's scientific vision. Therefore, the mentor:

- will work with the student to help the student develop an understanding of the field and relevant literature,
- will work with the student to articulate mutually agreeable (scientific) specific aims and provide guidance and recommendations on the development of the experimental approach,
- must read the student's written proposal, and
- may provide feedback on the written proposal, but should not write any part of the proposal.
Mentors must remember that the student is responsible for the crafting of a document that speaks in her or his voice. Mentors must understand that it is not their ideas that are being examined, but the student's understanding of these scientific ideas and the student's potential to conduct the proposed studies. Mentors who actively engage with their students from the onset of training will provide them with the best preparation for passage of the qualifying examination.

4) The Qualifying Examination Committee

The Responsibilities of the Qualifying Examination Committee

It is the responsibility of each specific Qualifying Examination Committee to decide whether it is in the best interests of the student, the laboratory, and the PhD program for the student to embark upon a course of thesis study. The successful completion of a PhD dissertation requires substantial commitment, time and resources on the part of the student as well as the mentor, faculty and institution. The examining faculty must balance the following criteria in rendering judgment on whether the examinee will be admitted to candidacy:

i) A student is expected to be conversant in their chosen area of scholarship including, but not limited to, their thesis project. The student may be examined on their understanding of topics covered in the graduate coursework, aspects of their specific field of study, as well as the principles and practice of techniques included in the Qualifying Examination proposal.

ii) The examiners must judge the extent to which the written document is the student's work and weigh their evaluation of it accordingly.

iii) The key responsibility of the examination committee is to judge whether the student’s written Qualifying Examination proposal and the oral defense of it demonstrate critical thinking and creative approaches to the proposed studies.

In summary, the examination committee must decide whether to welcome the student through the gateway to the PhD, hold the student for reconsideration by failing them on the first examination or close the door and direct them to another professional endeavor by failing them on the second examination.

Composition of the Examination Committee

A Qualifying Examination Steering Committee organizes each year’s Qualifying Examinations. This committee is composed of faculty representatives from the Basic Science Departments and the Institute for Clinical and Translational Research (ICTR) and is chaired by a committee member appointed by the Associate Dean for Graduate Programs. The number of department representatives to the committee is at least two to avoid student/mentor conflict of interest; the total number varies with the number of students taking the examination in a given year.

At an announced date (see Timeline), each eligible student, in consultation with the mentor(s), submits a list of four to eight faculty members whose expertise and interests the student feels would be appropriate to their area of study. The Steering Committee will use the student's list as much as possible to assemble the Examination Committee. The student’s Qualifying Examination Committee includes:

- Four faculty from the above referenced departments. A fifth faculty member may be designated to serve as an alternate in case an examiner is unable to attend the oral examination.
- A department representative from the Steering Committee who serves as the Examination Committee Chairperson. The Chairperson will approve the proposed Examination Committee membership.
- Examining Committees typically include at least two members of the student's home department. Appropriate faculty from related programmatic areas may substitute for a departmental representative.
- Mentors, co-mentors and/or associate mentors may not serve on their student's examination committee nor are they present during the oral examination. If a student has formed a Student Advisory Committee (SAC) prior to the examination, faculty may not serve both committees.
5) Scheduling and Preparation for the Qualifying Examination

Scheduling of the Examination

Each student is responsible for scheduling the date, time and location for their Qualifying Examination. The examination will be scheduled within the designated 4-6 week period following the deadline for written proposal submission (see Timeline). Examinations may not be scheduled during official program holidays as indicated on the Graduate Division Academic Calendar.

The student must submit to the Graduate Division office the form stating the scheduled date/time/location of their oral exam. The Graduate Division office must be notified of any subsequent changes to the date, time, and/or location of the oral exam.

If a student has a meeting with their Student Advisory Committee (SAC) prior to the examination, this meeting must be held no less than one month prior to the scheduled date of the oral examination. Four examiners must be present at the oral examination. If a member is absent, the committee chairperson will contact an alternate. If more than one examiner is absent, the examination will be rescheduled.

Special circumstances may justify delaying the date of the Qualifying Examination. A student may request a delay from the Associate Dean for Graduate Programs at the onset of the scheduling process. Alternatively, if a committee chairperson concludes that completion of a graduate course is essential to the student’s preparation for the examination, the chairperson may request a delay from the Associate Dean, until the student completes the course.

Preparation for the Qualifying Examination

Each student’s preparation for the Qualifying Examination can be roughly divided into three parts.

- First is achieving an understanding of the chosen area of thesis study through review of their completed course work, reading contemporary literature and discussion with faculty and peers. During the examination, the student may be asked to provide a five-minute critical summary of the last paper he/she has read in their field or the most recent paper from their laboratory.
- Second is preparing a clear and compelling written proposal that will provide the examination committee with a springboard for their exploration of the student’s understanding of the chosen area of thesis research.
- Third is becoming adept at “thinking on one’s feet” in preparation for the questioning of the oral examination. As discussed in more detail below, examiners are more interested in a student’s understanding of the concepts, assumptions and limitations of their proposal than in the granular detail of routine experimental techniques.

Each student is responsible for the first part of his or her preparation. The Graduate Division has developed workshops, resources and guidelines to direct students through the second and third parts of their preparation. The workshops are summarized below.

Workshops

i) Introduction to the Qualifying Examination – An overview of the Qualifying Examination process and requirements.

ii) End Note and Proper Reference Citation: How to Avoid Plagiarism and Other Questionable Writing Practices – Proper citation is an essential part of the responsible conduct and reporting of research. Attendance and registration at this workshop is therefore mandatory.

iii) Preparing the Qualifying Exam Proposal – This is a “nuts and bolts” course that focuses on crafting a written proposal. Topics to be covered include: determining the scope of the proposal, presenting the necessary background and significance, drafting specific aims and presenting a compelling
research plan. All students are required to take the course and are therefore pre-registered for this course. Students must attend all sessions of the course. A complete schedule of the course and course guidelines will be distributed separately.

iv) Qualifying Examination Oral Format and Sample Questions – This workshop focuses on the oral defense of the written proposal. Tips are provided on how to prepare for and answer the topic-specific and general questions asked by the examiners.

“Mock” Qualifying Examinations
Students are advised to participate in mock examinations, particularly with senior students and post-doctoral researchers with expertise within and outside their area of thesis study. Mentors, co-mentors and examiners may not participate in mock examinations. Mock examinations are self-organized by students.

6) The Qualifying Examination Proposal

Writing the Proposal

A clear and compelling written proposal has a very positive impact on the oral examination; students are reminded that they will be evaluated primarily on their defense of the proposal, not on the proposal itself. Each student submits a written proposal based on their developing dissertation project. The proposal format is based on the format of an NIH NRSA fellowship application (Form PHS 416-1; OMB # 0925-0001). The format of the Qualifying Examination is presented in detail below. Basing the examination on the NRSA format is intended to give students a head start in preparing an application for extramural support.

The written proposal must be the work of the student. Mentors are encouraged to provide feedback about the aims, concepts and experiments included in the proposal but are prohibited from writing text for the student. It is expected that the student will seek editorial assistance from others. A student may not copy or adopt any unpublished writings by their mentor(s), particularly grant proposals. Discussion with mentors should certainly occur before writing starts and is permitted throughout preparation of the written proposal. Mentors are expected to conduct themselves in accord with the guidelines outlined in the mission statement at the beginning of this document. Students are encouraged to seek input and advice from other sources including fellow students, post-doctoral researchers, faculty members not affiliated with their examination and scholars outside of the Einstein community.

Qualifying Exam Proposal Format

Please read the following section carefully before crafting your proposal, as the format for the examination proposal is based on, but not identical to, the NIH NRSA fellowship application. Proposals that do not adhere to the specifications listed below will be returned without review.

• **Length, Paper Size and Title Page:** The proposal will be 18 pages excluding a title page and the Literature Cited, using standard 8.5” x 11” paper with 1-inch margins. The title page lists the proposal title and the student’s name, mentor and department.

• **Font and Line Spacing:** Use an Arial, Helvetica, Palatino Linotype, Times New Roman or Georgia typeface, a black font color, and a font size of 11 or 12 points. A Symbol font may be used to insert Greek letters or special characters. The proposal must be double-spaced except indented quotations, footnotes, tables, figures, legends and the literature cited are to be single-spaced. Quotations of more than three lines will be single-spaced, set off from the text in a separate paragraph and indented four spaces. Opening and closing quotation marks are omitted. Quotations of three lines or less are enclosed in quotation marks and are run into the text. Consult the library guide [http://libguides.einstein.yu.edu/thesis](http://libguides.einstein.yu.edu/thesis).
Tables and Figures are to be embedded in the document with each group numbered consecutively using Arabic numerals. Figure and table legends should be placed immediately under the embedded graphic. Be sure that tables and figures are sufficiently large to be easily read by the examiners.

Citations: Carefully and correctly reference your proposal! References should be numbered sequentially within the text. The full reference is cited in numerical order in the Literature Cited at the end of the proposal. Each reference will include the title, names of all authors, book or journal, volume number, page numbers, and year of publication. The reference list should be limited to the literature relevant to your proposal. Consult the library guide http://libguides.einstein.yu.edu/thesis or ask the reference librarians for help http://library.einstein.yu.edu/index.php with questions about proper citation.

Scientific Content of the Proposal

The proposal will describe your proposed thesis project in which specific hypotheses are tested through Specific Aims. Spell and grammar check your proposal, as a poorly proofed document will make your examiners irritable! Note that the Qualifying Examination does not include either a personal statement or an explicit preliminary results section. Administrative sections of the NRSA application are also excluded from the Qualifying Examination. Below are the sections of the proposal that are included within the 18-page limit.

- 6-page, double-spaced section on Scientific Background and Significance
- 2-page, double-spaced Specific Aims section
- 10-page, double-spaced section on Research Design and Methods (and Preliminary Data, if available)

1. Background & Significance: “Briefly sketch the background leading to the present proposal, critically evaluate existing knowledge, and specifically identify the gaps that the project is intended to fill. State concisely the importance and relevance of the research described in this application by relating the specific aims to broad, long-term objectives.” [Form PHS 416-1] This section should be a review of the field and demonstrate the student’s knowledge of the field and relevant literature.

Note regarding preliminary results: Preliminary data from the student’s work should not be included in the Background section and are not required for the Qualifying Exam Proposal. However, if necessary, a concise summary of unpublished results from the laboratory relevant to establishing the significance of the proposed work may be included here.

2. Specific Aims: “List the broad, long-term objectives and the goal of the specific research proposed, e.g., to test a stated hypothesis, create a novel design, solve a specific problem, challenge an existing paradigm, address a critical barrier to progress in the field, or develop new technology.” [Form PHS 416-1] The Qualifying Examination will typically have two and not more than three specific aims. Students should discuss with their mentor the nature of their proposed aims, the overarching hypotheses and the likely directions and outcomes of the proposed thesis research. While specific aims can be interrelated, it is critically important that one aim not be entirely dependent upon another. The specific aims should be no longer than two pages, double-spaced.

The “Independent” (Third) Specific Aim is developed independently of the mentor or any PI. The mentor will likely comment on this aim, but it should not be something presented to the student directly by the mentor.

This aim should still test the hypothesis and will be critiqued for originality and creativity. It is expected that there will be variability in quality and feasibility of the aim, but the point is for the student to incorporate some ideas from outside the scope of his/her immediate laboratory.

This independent specific aim must be indicated by an asterisk (*) in the proposal.

Only the specific departments listed below require the inclusion of the third, independent aim in the proposal:
- Anatomy & Structural Biology,
- Cell Biology, and
- Developmental & Molecular Biology.
• **Research Design & Methods:** “Describe the research design conceptual framework, procedures, and analyses to be used to accomplish the specific aims of the project. Include how the data will be collected, analyzed, and interpreted. Describe any new methodology and its advantage over existing methodologies. Describe any novel concepts, approaches, tools, or technologies for the proposed studies. Discuss the potential difficulties and limitations of the proposed procedures and alternative approaches to achieve the aims. As part of this section, provide a tentative sequence or timetable for the project.” [Form PHS 416-1] This is the heart of the ‘Qual’; the examining faculty will expect students to be able to elaborate orally on what they have written. Helpful hint: a student should have a paragraph of additional explanation in mind for each written sentence. It is also important to remember that it is concepts not protocols that the examiners are hoping to hear about! (If including unpublished results, students should remember that the examiners are interested in their ability to elaborate on the ideas expressed in the proposal, not in counting how many gels they have run!)

**Submitting the Proposal**

Each student is responsible for submitting their proposal on time to each examiner on their Qualifying Exam Committee. Students may submit their proposal via email (PDF) or hand delivery of a hard copy. Check with your examiners to see which they prefer. Please be sure that your proposal is legible regardless of its delivery method! A PDF of the proposal (with title page) also must be emailed to the Graduate Division office on or before the designated due date for submission (see Timeline). The examining committee is prohibited from accepting a revised proposal after the submission due date. Each student will have the opportunity to present late-breaking thoughts or results during their 15-minute presentation at the beginning of the oral examination (see below).

**7) The Oral Examination**

Audio and/or video recording of the oral examination is expressly prohibited. Any recording will be viewed as a breach of responsible conduct of research and the matter referred to the Academic Affairs Committee.

A student may not approach their own Qualifying Examination Committee members for advice prior to the oral examination.

Prior to actually beginning of the oral exam, the committee chairperson will ask the student to leave the room so that the examiners can briefly discuss the written proposal and the student’s academic performance to date. The student will then be invited to return to the room. At the beginning of the exam, the student has 15 uninterrupted minutes to summarize the proposal. A PowerPoint presentation is appropriate (but not required) for this presentation and can be used to remind the examiners of essential concepts, important questions, graphics or preliminary results. If s/he wishes, the committee chairperson may ask the student to ‘close the laptop’ and conduct the remainder of the examination as a ‘chalk talk’.

The oral examination itself focuses on determining whether the student has incorporated the fundamental knowledge needed to progress into full-time thesis research. The written proposal describing a student’s “budding” thesis project is the scaffold for the oral examination. However, each student is expected to be able to demonstrate a broad understanding of the basic concepts in biology, chemistry, physics or mathematics that underlie the questions posed in the proposal. In addition to knowledge obtained from graduate coursework and the relevant scientific literature, students will also be tested for knowledge of the primary and alternative experimental strategies and the ability to think on their feet about the strengths and weaknesses of different approaches. The primary focus of the oral examination will not be preliminary data. Rather the oral examination will focus on the background, experimental approaches, aims, and how all this fits in the “big picture.” A list of representative “mock” questions is available that illustrate the types of questions and level of depth that might be expected.

The examination itself is free-flowing in form at the discretion of the committee. Typically the examiners go around the room for a first round of questions. Students should strive to clearly and concisely answer the questions that are posed. It is equally important to be able to say ‘I don’t know’. Examinations typically run
continuously from one to two hours. However, the committee chairperson can call for a short break if appropriate.

8) Grading of the Examination

At the end of the oral questioning, the committee chairperson will ask the student to leave the room so that the examiners can discuss and grade the student’s performance. Each examiner may vote Honors (outstanding, i.e. in the top 10%), Pass (clear advancement to candidacy), Postponed Decision (revision of the written proposal only within one month) or Fail. A preliminary anonymous vote is followed by discussion and then a final vote. The chairperson will summarize the discussion on the Chair’s Summary Evaluation form. A copy of the Summary Evaluation form will be provided to the student and the mentor along with the comments from each examiner. The original reports will be provided to the Graduate Division office and a copy forwarded to the Academic Affairs Committee.

The committee decision will be as follows:

- A majority vote of 3-1 is required for Honors, Pass, Postponed Decision or Fail;
- A 2-2 vote with two examiners voting Honors and two voting Pass is a grade of Pass;
- A 2-2 vote with two examiners voting Fail and two voting Honors, Pass or Postponed Decision is a grade of Fail;
- A 2-2 vote with two examiners voting Postponed Decision is a Postponed Decision

After reaching a decision the committee will ask the student to return and will inform the student of the committee’s decision. The grade Postponed Decision is to be used to obtain revision of the written proposal only. The revised proposal must be distributed to all the members of the examination committee within one month of the oral exam date. After submission of a revised proposal, the committee has seven calendar days to submit a final grade (Pass or Fail) to the Graduate Division office. If the oral examination is unsatisfactory, even if the written document is acceptable, the grade will be Fail.

Outcome of the Qualifying Examination

A student who passes or receives honors following their oral examination will be awarded the Master of Science degree and will advance to candidacy for the PhD degree.

A student who fails the oral examination will be placed on academic probation by the Academic Affairs Committee. The Academic Affairs Committee will review the Qualifying Examination Committee reports, all grades received for graduate courses, and laboratory productivity as indicated by the mentor. (Eligibility to retake the exam is based upon review of the student’s entire academic record.) The AAC will either recommend a “retake” of the examination in the next Qualifying Exam period (i.e. within six months) or in some circumstances, recommend dismissal from the program. The examination “retake” is not a “rebuttal” of the failed examination but rather is a fresh independent opportunity to demonstrate the knowledge and insight required for advancement to candidacy.

A student is allowed only one retake of the Qualifying Exam.

A student who fails the retake will be dismissed from the program.

Appeal of Qualifying Committee’s Decision

Students may appeal a decision by the Qualifying Examination Committee to the parent Steering Committee, by making this request in writing to the Associate Dean for Graduate Programs. The Associate Dean will review the request and may deny it or may refer to the Steering Committee for review. The Steering Committee may deny the appeal, in which case the original grade will stand, or may recommend that the student be allowed to repeat the examination with a new Exam Committee.
Section VII: Academic Standards and Student Academic Progress

1) Academic Standards

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

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

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

2) Grades

Students who matriculated into the program in 2013 or prior should adhere to the previously published policies regarding final grades.

For students who matriculated into the program in 2014 and onwards, below is the policy regarding final grades:

All final grades become part of the students' permanent academic record and will appear on the transcript. If a course is repeated, both grades for the course will appear on the transcript.

Grades for Graduate Courses:
A student enrolled in graduate courses for credit will receive a grade of Honors (H), Pass (P), Incomplete (I) or Fail (F). Course grades are submitted by the course leader.

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

Note: All final grades are permanently recorded on the students’ transcript/academic record.

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

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

Exams should be graded by course leader(s) and/or by faculty participating in the teaching of the course and not by a graduate student(s) or Postdoc(s) serving as Teaching Assistant.

Special Accommodations:
A student who requires special accommodations for exams or other required work must present appropriate documentation to the Office of Academic Support and Counseling (OASC). The documents will be reviewed and, if approved, notification will be sent to the Graduate Division office. The student and course leader(s) will then be notified by the Graduate Division office.

Failure of a Graduate Course:
No credit is granted for courses with a grade of Fail (F). Failed courses may not be used to fulfill department-specific course requirement or Graduate Division course credit requirements. A student who fails a course will be placed on academic probation by the Academic Affairs Committee. After a course failure, a student may repeat the course a single time. Graduate courses may not be repeated more than once. Note: Grades of Fail are permanently recorded on the transcript/academic record.

Appeal of a Grade:
Any appeal regarding a grade must be made by the student to the course leader within one month of the end of the course. All grade appeals must be submitted in duplicate to the course leader and the Graduate Division office. If there is a discrepancy after the meeting between the student and course leader, the student should present the issue to the Associate Dean. The Associate Dean will ensure that due diligence was done by the course leader and that, in fact, no error was made.

If the student wishes to pursue a grade appeal, the Associate Dean will bring the matter before the Academic Affairs Committee. The AAC will discuss the student’s appeal and make a decision. The decision made by the AAC is final.

The student should recognize that, following the appeals process, his/her grade may be amended in a direction that is not desired.

In all cases of grades changes following the appeals process, the student’s record and official school transcript will be amended to reflect the grade change.

Grades for Thesis Research and Laboratory Rotation:

Laboratory Rotation: All first year students are required to register for and complete laboratory rotations. Lab rotation grades are tendered by the faculty (rotation mentor) under which a student is completing a laboratory rotation. This grade is provided on a Rotation Evaluation form which must be completed at the end of each lab rotation and signed by the rotation mentor and the student.

Thesis Research: Once a student declares a thesis laboratory, he/she must register each semester for Thesis Research with their primary mentor. Thesis Research grades and assessment are submitted by the student’s mentor at the end of each semester (fall, spring and summer).

Grade options for Laboratory Rotation and Thesis Research are: Satisfactory (S), Needs Improvement (NI), or Unsatisfactory (U). A student who changes thesis laboratories mid-semester will receive a grade of Transfer (T), indicating the change in laboratory.
Unsatisfactory/Needs Improvement Grade in Laboratory Rotation or Thesis Research
Upon receipt of a grade of Needs Improvement (NI) or Unsatisfactory (U), the student’s academic record will be reviewed by the Academic Affairs Committee. The Academic Affairs Committee may then request that the student meet with his or her Advisory Committee and mentor to develop a plan to carry out at the very least satisfactory lab research. A grade of Needs Improvement or Unsatisfactory in a Laboratory Rotation or Thesis Research constitutes grounds for academic probation. Receiving multiple grades of NI/U in Thesis Research is grounds for dismissal from the program.

3) The Student Advisory Committee (SAC) and Required Meetings

Purpose of the Student Advisory Committee

The purpose of the Student Advisory Committee (SAC) is to provide critical feedback on the research plan, to assess experimental progress, and to advise the student when to write/defend the Thesis. The SAC is charged with aiding the student in moving efficiently towards the PhD degree, while at the same time maximizing the significance and impact of the thesis research.

The progress of modern science is measured by the quality and quantity of peer-reviewed scientific publications. These publications are frequently used to distinguish between the holders of “minimal” and “competitive” PhD degrees in the postgraduate job market. Because of this, the SAC meeting should focus on the factors that are limiting the student’s progress toward publishing high quality peer-reviewed scientific results.

Composition of the SAC

The Student Advisory Committee (SAC) is chosen by the student and the mentor and consists of:

- Several faculty members—typically two to four—in addition to the mentor (and/or co-mentor). The committee members may be from any department and, if relevant, may include one member from an outside institution.
- At least one member of the SAC must be a senior faculty member (Associate Professor or Professor), who has successfully mentored one or more graduate students to successful completion of the Thesis.
- One member must be designated as the chair of the SAC, who will serve in this capacity throughout the student’s graduate training. The mentor or co-mentor must not be the chair of their own student’s SAC.
- A Postdoctoral Fellow or Instructor may not serve on the advisory committee of a graduate student.

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

The student, in consultation with the mentor, may change the composition of the SAC at any time. However, barring an unusual circumstance, the chair is to remain the same. The composition of the SAC is meant to be dynamic and may go through several changes during the time a student progresses to the Dissertation.

Each student is strongly encouraged to get to know their SAC members. If the members are truly familiar with the student and their work, they may also be able to provide useful letters of recommendation.

Frequency of SAC Meetings

The student is required to meet with their SAC at least once during their second and third years and at least twice (every six months) during the fourth year and above. The student, the mentor, the SAC or the Academic Affairs Committee may require the student to meet with the SAC at more frequent intervals. The span of time between
SAC meetings is referred to below as a “project period.”

The student should schedule a SAC meeting when it is due and should not postpone a meeting on the basis of anticipated scientific results. Students who do not meet their SAC meeting requirement(s) will be blocked from online registration in the succeeding semester. Release of this registrar’s hold and continuation in the program requires approval of the Associate Dean for Graduate Programs.

Scheduling an Advisory Committee Meeting

The following recommendations may be helpful.

- **Setting a date**
  Scheduling a meeting involves finding a time that is a suitable fit with everyone’s schedule. Start to schedule the meeting early – at least one month before the target date. Remember that two meeting per year are called for during the fourth year of the student’s residence in the graduate program and thereafter. To facilitate scheduling, students may elect to take advantage of websites that support online appointment scheduling.

- **Committee attendance**
  Occasionally, it may be difficult to schedule a time when every one of the SAC members can attend. The student should still go ahead with the meeting on schedule if a majority of the committee members are present. It is permissible to have a committee member participate via Skype or other electronic means.

- **Reserving a room and equipment**
  Remember to schedule a conference room for an appropriate length of time. Also remember to schedule the use of any audiovisual equipment that you will need for the meeting.

- **Reminding the participants**
  Remind the Committee members of the time and place of the meeting several days in advance.

The Student Advisory Committee Progress Report (Progress Report)

It is required that a student submit a goal-based Progress Report to all members of the Student Advisory Committee at least one week before the meeting. The length of this report should be one to three (1-3) pages, single-spaced, and may include figures. The Progress Report should allow the SAC to assess the student’s progress toward a set of previously stated goals, to identify barriers to the submission of the student’s next scientific manuscript and to help the student to develop a set of new goals for the next project period.

In the absence of any directives to the contrary issued by the SAC, the Progress Report should be written in four sections as described below. It may also include figures to document the student’s scientific progress.

a. **Current Goals and Rationales**
   The goals and their scientific rationales for the current project period are listed exactly as they were specified at the previous SAC meeting.

b. **Progress Toward the Current Goals**
   For each goal, the student should provide a description of the progress made toward that goal. For goals that have not been met completely, a discussion of the difficulties that arose should be provided. Members of the SAC will understand that many factors may affect the student’s progress toward a goal, including its technical feasibility, the time required to meet alternate goals and the effect of any changes made to the direction of the student’s project.

c. **Additional Progress (optional)**
The student may provide a description of any additional scientific progress made during the current project period. The progress described in this section would ordinarily not be directly associated with a Current Goal but could form the basis of a New Goal.

d. Proposed New Goals and Rationales
The student should create a list of several Proposed New Goals to be achieved during the next project period. These Proposed New Goals should address the question of what barriers must be overcome next for the student to submit a peer-reviewed manuscript for publication. These proposed goals will be refined through discussion of the Progress Report by the student and the SAC (see below). For each Proposed New Goal a short Rationale (one or two sentences) should be provided to indicate why this Proposed New Goal is scientifically necessary.

The student should retain copies of all Progress Reports. The SAC may ask the student to provide a copy of the Progress Report from the previous project period. In addition, the description of research progress provided in these reports may help the student to write the initial draft of a scientific manuscript or a chapter of the thesis dissertation.

A Typical Advisory Committee Meeting
The emphasis of the Student Advisory Committee meeting should be placed on the student's progress toward a set of previously specified goals, the identification of current difficulties, potential solutions to these difficulties and the specification of a set of new goals for the next project period. Progress toward these goals should bring the student closer to submitting a peer-reviewed manuscript and to completion of the requirements for the PhD degree. The SAC should also be available to support any efforts made by the student to acquire external financial support.

The length of time and the agenda of a Student Advisory Committee meeting will vary, depending on the needs of the student and the members of the SAC. However, a typical SAC meeting is described below.

- Distribution of Forms
  The student should distribute copies of the Student Advisory Committee Member Report Form to all members of the SAC and a single copy of the Student Advisory Committee Summary Report Form to the chair of the SAC. Both forms are available under the “Student Advisory Committee Summary Report Form” link on the Graduate Division website: http://www.einstein.yu.edu/education/phd/current-students/graduate-forms.aspx.

- Review of the Student's Progress
  The student is asked to leave the room for the SAC's initial discussion of the student's overall progress toward the PhD degree, the quality of the student's Progress Report and any issues that the mentor wishes to raise. The SAC will then direct the mentor to leave the room to allow the student to discuss progress or issues with members of the SAC.

- Scientific Background, Results and Plans
  The student then provides a description of any necessary scientific background, experimental results and future plans as part of a PowerPoint presentation. The SAC may decide, particularly after several meetings, that a scientific background review is not necessary or may decide to limit the time devoted to this review. This presentation should include specific references to the current goals and should conclude with the student's proposed new goals for the next project period.

- Discussion of Scientific Results and Plans
  A discussion by the student and the SAC of the student's scientific results and plans in terms of the current goals and proposed new goals may occur during the PowerPoint presentation or after it has been completed.

- Specification of New Goals and Rationales
  Toward the end of the SAC meeting, the student and members of the SAC should produce several new goals and rationales for the next project period. These new goals should direct focus toward the barriers
that stand in the way of the student's submission of a peer-reviewed scientific publication. The scope of these new goals should be appropriate for the time span of the next project period, if all goes well. The new goals will usually specify experimental work but may also refer to the submission of written work, including a scientific manuscript, the Thesis or an application for extramural funding. The student should provide members of the SAC with a copy of these new goals and rationales soon after the conclusion of the SAC meeting. These new goals will become the current goals of the next project period’s Progress Report.

- **SAC Forms**
  At the end of the meeting, after the student and mentor leaves, the SAC will discuss the items on the Summary Report Form (including the SAC Consensus Opinions section of the form). The chair will complete and sign the Summary Report Form. Each member of the SAC is also to complete the Member Report Form and hand these filled forms to the chair of the SAC.

  The student is then responsible for immediately collecting the original SAC Meeting Report Forms (Summary Report and Member Report forms) from their SAC chair and submitting the forms to the Graduate Division office. The student is also to submit copies of these forms to all members of the SAC, the mentor and their departmental office.

*Note:* A student who fails to progress in Thesis Research or are, in the opinion of mentor and/or SAC, performing poorly, may be recommended by the mentor or SAC, for review by the Academic Affairs Committee (AAC). This may involve appearance of both the student and mentor at an AAC meeting to discuss lack of progress and the development of an academic plan. Failure to progress in Thesis Research is grounds for academic probation or dismissal from the Graduate Division.

**Permission to Write the Thesis Dissertation**

The student will ordinarily have discussed with the mentor whether it may soon be appropriate to begin writing the Thesis. However, before doing so, the student must obtain permission from their Student Advisory Committee. Permission to write and defend must be documented on the SAC Summary Report. Although the student may have met the minimum requirements for course work, the Qualifying Exam, and the requirement for the submission of a suitable scientific publication, the SAC need not issue permission to begin writing the Thesis if it believes that the student's overall progress or scientific maturity are insufficient for the defense of the Thesis.

**4) The Academic Affairs Committee and Academic Probation**

**Composition of the Committee**

The Academic Affairs Committee (AAC) consists of a representative from each of the basic science departments and the PCI, the Senior Academic Advisor for the Graduate Division, the Associate Dean for Graduate Programs, and the Director of the Medical Scientist Training Program (MSTP). Each department representative typically serves two to three years, at the discretion of the relative department chair. An additional faculty member serving as the chair of the AAC is appointed by the Associate Dean for Graduate Programs. The Associate Dean, MSTP Director, and Executive Director of the Graduate Division are ex-officio, non-voting members of the AAC. Recommendations are decided by majority vote. At least six voting members must be present to constitute a quorum. The chair of the AAC, with the approval of the Associate Dean, may invite other members of the faculty of the Graduate Division to participate as non-voting members of the AAC.

**Charge of the Committee**

The Academic Affairs Committee monitors the academic progress of all graduate students with active status in the program, including first year PhD students, first year MD-PhD students, and MD-PhD students in the PhD phase of their training. The AAC reviews the full academic record including course grades, rotation evaluations, Thesis
Research/Laboratory Rotation grades, Qualifying Exam and Thesis Defense grades and comments. The AAC informs the student, the student's mentor, and the department chair of any academic problems and is available to work with the Student Advisory and Department Committees (and the MSTP Steering Committee for MD-PhD students) to ensure that each student progresses in a timely fashion towards the PhD degree. A student who is having academic problems may be temporarily blocked ("registrar’s hold") from registration the following semester.

A student who fails to progress in Thesis Research or are, in the opinion of mentor and/or SAC, performing poorly, may be recommended by the mentor or SAC, for review by the Academic Affairs Committee (AAC). This may involve appearance of both the student and mentor at an AAC meeting to discuss lack of progress and the development of an academic plan. Failure to progress in Thesis Research is grounds for academic probation or dismissal from the Graduate Division.

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

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

The Academic Affairs Committee may elect to place a student on academic probation for various reasons relating to the student’s academic progress. The AAC will continue to monitor the progress of any student on academic probation, until that status is relieved.

**Academic Probation**

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

- Upon receiving a grade of Fail in a graduate course,
- Upon receiving an Incomplete in one or more graduate courses in an academic year,
- Upon receiving Incomplete twice in the Responsible Conduct of Research course,
- Upon receiving a Needs Improvement or Unsatisfactory grade in Laboratory Rotation or Thesis Research,
- Failure of the Qualifying Exam,
- Failure to have regular Advisory Committee meetings as stipulated by the Advisory Committee Guidelines and/or as recommended by the Academic Affairs Committee,
- Failure of the Thesis Defense,
- Plagiarism,
- Failure to comply with registration or other programmatic requirements,
- Failure to progress in the thesis research
- For participation in actions that are not commensurate with high standards of ethical and professional scholarly conduct (see below, Standards of Ethical and Scholarly Conduct).

**What Happens When a Student is placed on Academic Probation?**

If a student is placed on academic probation, he/she will be notified of their probationary status via a letter from the chair of the Academic Affairs Committee. The letter will be copied to the student’s mentor(s), department chair, the Associate Dean for Graduate Programs, and, if applicable, the MSTP Director.

The AAC may request a specific plan of action from the student, mentor, and department chair to rectify the probationary status. The student’s progress will continuously be monitored by the AAC. The student on probation, along with the mentor or department chair (or designate), may be invited to participate in AAC meeting(s) at which the student’s progress and plan of action will be discussed.
A student on academic probation may be blocked (“Registrar’s hold”) from registration. In this event, the student is required to meet with the Associate Dean or Senior Academic Advisor, (or MSTP Director, if applicable).

A student on academic probation whose performance is not improving may be granted an academic leave of absence, may elect to withdraw completely from the program, or may be dismissed from the Graduate Division.

**Removal from Academic Probation:**
When the student on academic probation has satisfied the written requirements of the Academic Affairs Committee, the student will be considered to have regained “good” academic standing, as documented by a written letter from the chair of the AAC following a review of the student’s progress.

**Standards of Ethical and Scholarly Conduct**

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

**5) Change of Laboratory, or Dismissal from a Laboratory/Department**

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

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

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

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

**Suspension**

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

**Dismissal**

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

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

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

**Appeal of Dismissal:**

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

7) Withdrawal from the Program

A student who chooses to discontinue graduate work for any reason during the academic year may be granted withdrawal from the Graduate Division by the Associate Dean for Graduate Programs. The student must submit a Withdrawal Form to the Graduate Division office. The appropriate form is available on the Graduate Division website (www.einstein.yu.edu/phd).

**Health Benefits following a Program Withdrawal**

Health insurance benefits will terminate on the last day of the month in which the withdrawal occurs. A student who has withdrawn from the program has the option to continue their health coverage by prepaying for the insurance at full cost. For detail, please contact the Benefits Office prior to withdrawing from the program.
Housing following a Program Withdrawal
A student who withdraws from the program must vacate housing within thirty (30) days. Any other arrangements must be made directly with the Einstein Housing Office.

Email Access following a Program Withdrawal
Access to the student email address will terminate 30 days from the withdrawal date. It is important for the student to copy or download any material that he or she wishes to save as these materials will not be available when the email account terminates.

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

1) The Thesis Dissertation

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

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

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

More guidelines for preparing the Dissertation can be found in the section titled, “Instructions for Preparing the Dissertation.”

2) The Thesis Defense Committee

Composition of the Thesis Defense Committee


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

- Consist of a minimum of five members.
  - At least four of the five members must be from the departments that comprise the Graduate Division.
  - One member must be designated as the Committee Chair who must be a senior member of the faculty (Professor or Associate Professor) and has had experience serving of a Thesis Defense Committee. The Chair does not have to be a member of the student's home department.
  - At least two members must hold a primary or secondary appointment in the student's home department.
  - Inclusion of an examiner from outside the institution with expertise in the area of the student's research is desirable, although the fifth member of the Committee may be an additional member of the basic science (or PCI) faculty. The outside examiner may also be associated with a company/corporation as long as he/she has held an academic appointment in the past.
For students in the PCI department:
- At least one faculty member must have a primary or secondary appointment in a basic science department (other than PCI),
- At least one of the members on the defense committee must have had prior experience serving on a Thesis Defense Committee

- Each student is strongly encouraged to designate a sixth faculty member as an alternate in the event that an examiner cannot attend the Thesis Defense. **There must be five members present at the Thesis Defense.**
- No more than one faculty on the research professor track (ranked at Research Assistant Professor or higher) may serve on the student's Thesis Defense Committee.
- The name of any Thesis Defense Committee member who was a collaborator with the student must be indicated by the check box on the submitted Thesis Defense Committee Form. A collaborator may not serve as Chair of the Thesis Defense Committee.
- The student’s mentor and/or co-mentor cannot serve on the Thesis Defense Committee although the mentor and/or co-mentor are present at the Thesis Defense.
- If the student has an associate (contingent) mentor, this mentor cannot serve on the Thesis Defense Committee. An associate mentor is a basic science faculty member designated by the student and primary mentor to oversee the student’s laboratory research while the primary mentor is physically no longer at Einstein or away on sabbatical.
- An Instructor may not serve on a student's Thesis Defense Committee.

**Approval of the Thesis Defense Committee**

The Associate Dean for Graduate Programs must approve all Thesis Defense Committees. **At least two months prior to the scheduled defense date, a completed Thesis Defense Committee Form must be submitted to the Graduate Division office with a Curriculum Vitae (CV) and a copy of the Thesis Seminar Announcement.** The Thesis Defense Committee Form is available on the Forms page of the Graduate Division website, and requires signatures from the student’s Thesis Defense Committee Chair, Mentor, Department Chair and Department Administrator. International students on a student visa must have their Thesis Defense Committee Form approved by the Einstein Office of International Services (OIS).

Once the Thesis Defense Committee has been approved by the Associate Dean, the student, mentor(s) and Defense Committee Chair will be sent an email confirmation from the Graduate Division office.

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

Note:
- Students must successfully complete all required coursework and the Qualifying Examination prior to submission of the Thesis Defense Committee Form.
- All defending students must attend the Thesis Defense Workshop on plagiarism and proper reference citation offered in September or October of each year.

**Scheduling of the Thesis Defense**

The Thesis Defense and Seminar are scheduled by the student, who is responsible for finding the rooms and confirming that all members of the Thesis Defense Committee can attend. The Thesis Seminar is usually scheduled immediately before the actual defense. The student's Department Administrator can assist with room reservations.
and drafting the Thesis Seminar Announcement. A copy of the Thesis Seminar Announcement must be submitted to the Graduate Division office with the Thesis Defense Committee Form.

All expenses related to the Thesis and Defense are the responsibility of the student’s department. An honorarium is not appropriate and will not be provided by the Graduate Division.

*Note: No Thesis Seminar or Defense is to be scheduled on official program holidays* as indicated on the Graduate Division academic calendar ([http://www.einstein.yu.edu/education/phd/current-students/calendar.aspx](http://www.einstein.yu.edu/education/phd/current-students/calendar.aspx)) and Department of Human Resources holiday calendar ([http://yu.edu/hr/holidays/](http://yu.edu/hr/holidays/)).

### 3) Submission of the Thesis to the Committee

The Thesis must be submitted to all members of the Thesis Defense Committee at least three weeks before the scheduled date of defense. A member of the Thesis Defense Committee may require a postponement of the Thesis Defense if this requirement is not met. Once the Thesis is received, within one week (i.e. two weeks prior to the defense) any Thesis Defense Committee member may request a pre-defense meeting of the Committee if, in the opinion of the Committee member, the Dissertation is not defensible.

### 4) 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 oral Defense.

**Presentation of a public seminar**

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

The Chair of the Defense Committee should be selected by the student and mentor, and must be a senior member of the faculty (see “Composition of the Thesis Defense Committee”). The Chair will have received the Thesis Defense Committee Report Form from the Graduate Division office and will bring this form to the defense. (The Defense Report Form is also available on the Graduate Division Forms webpage.) The Chair will identify to the group any members of the Defense Committee who have acted as a collaborator during the course of the student’s research, and will confirm that the manuscript submission requirement has been met.

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

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

If any of the examiners expresses a serious concern with the content of the Thesis, a strategy should be developed whereby the questioning can address these concerns in a constructive manner.
The student will then be asked to return and the exam can commence. If a Thesis Seminar was not given immediately prior to the defense, the student should give a short (~10 minutes) synopsis of the major findings of his or her research.

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

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

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

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


A Thesis Defense Report Form is available on the Graduate Division website (www.einstein.yu.edu/phd). When the examination is complete, the members of the Thesis Defense Committee will assign a grade and sign the report form. By majority vote of the Committee, student can receive a grade of Pass, Conditional Pass or Fail for the examination. The Chair of the Committee, or the defending student, must return the completed original Thesis Defense Report Form to the Graduate Division office (Belfer 202) immediately following the oral defense.

Pass
The student has a maximum of three months from the date of defense to satisfy all additional requirements for PhD program completion. See section below on “Completion of All Requirements after the Thesis Defense.”

Note: the three months following a successful Thesis Defense is for the purpose of making final revisions to the Thesis.

Conditional Pass
A grade of Conditional Pass will require the student to complete extensive revisions of the Thesis as set forth by the Thesis Defense Committee. In addition to the Thesis Defense Report Form, the Chair must also submit a written summary outlining what revisions are necessary to the Thesis and recommendations for rectifying deficiencies in the Thesis.

In the event of a grade of Conditional Pass, the student has a maximum of five (5) weeks to revise the Thesis and submit it to the Thesis Defense Committee. The Committee then has three (3) weeks to review the revised Thesis and submit a final grade of Pass or Fail to the Graduate Division office. All Thesis deficiencies must be corrected and a final thesis defense grade provided within a maximum of two months from the date of defense.

If the student receives a final grade of Pass for the revised Thesis, the student must now submit the necessary paperwork for program completion as outlined below in the “Completion of All Requirements after the Thesis Defense” section of these guidelines. Note: The student has a maximum of three (3) months from the date of defense to satisfy all requirements for program completion following a grade of Conditional Pass.
Fail
In the event of a grade of Fail, re-examination is at the discretion of the student's department. Should the student be allowed to re-defend, the department and the Student Advisory Committee, working together with the student and mentor, must submit to the Associate Dean for Graduate Programs a written plan for re-defense and completion of all requirements for the PhD degree. The grade of Fail for the defense will lead to review by the Academic Affairs Committee and, in some cases, may lead to dismissal from the PhD program. No PhD degree will be awarded in the event of dismissal.

6) Completion of All Requirements after Successful Thesis Defense

Absolutely Required for the PhD Degree

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

- **Five copies of the final Thesis**
  The diploma will not be granted if five copies of the final Thesis are not submitted. The five copies are to be printed on high quality 8.5"x11" paper (24 lb.) that is not punched or perforated in any way. **Five original, signed title pages** (with the signatures of the student and his/her thesis mentor, and co-mentor, if applicable) must also be submitted. The department will send out four copies of the final Thesis to be bound, which will eventually be distributed as follows: a bound copy to the student's thesis advisor; a bound copy for the student's home department; a bound copy to the student; and a bound copy for the D. Samuel Gottesman Library. One (unbound) copy of the Thesis will be used for microfilming (this copy will be returned to the student after microfilming).

- **Two copies of the Dissertation abstract** are required (for ProQuest purposes) for the microfilming copy of the Thesis.

- A signed and completed **ProQuest Publishing Agreement Form**. This agreement form is for microfilming and copyrighting of the Thesis.

- **Written permission from the copyright holders** if copyright material by the student (e.g. publications) or other authors, (e.g., tables, charts, pictures, etc.) are included in the Dissertation. Students must obtain permission to use previously copyrighted materials.

The following must be submitted to the Graduate Division office:

- A copy of the **signed Thesis Title page**. (Student and mentor(s) signatures required.)

- A printed copy of the **Survey of Earned Doctorates Certificate of Completion**. The survey is to be completed online at [https://sed-ncses.org/GradDateRouter.aspx](https://sed-ncses.org/GradDateRouter.aspx).

- The **PhD Diploma Form** indicating the student's legal name as it should appear on the PhD diploma.

- The **PhD Alumni Survey Form** providing a forwarding address and new contact information.

The following must be submitted online to the Office of Student Affairs:

- **Graduation Application Form** (to be completed online closer to the date of the commencement ceremony. Graduates will be notified via email when it is time to complete this required online form.)

An MD-PhD student who is moving on to the Wards after the defense must submit the necessary documents to their home department (as listed above) within 3 months of their date of defense. Also due within 3 months of the defense is the copy of the signed Thesis Title page to the Graduate Division office.
The remaining Graduate Division paperwork and the Graduation Application for the Office of Student Activities are due closer to the MD-PhD student’s time of graduation. The student will be sent notices regarding their specific due dates in preparation for commencement.

**Change in Status after the Thesis Defense**

A student who has successfully defended the Thesis may remain enrolled in the Graduate Programs as an “active student” for up to a maximum period of three months from the date of defense (to make final revisions to the Thesis) if funding is available and the student and mentor agree to this arrangement, and if the student remains in the lab.

A student has a maximum of three months from the date of defense to submit all required paperwork for program completion.

A student who has successfully defended the Thesis and has submitted all required paperwork for program completion and the PhD degree will no longer be an “active student” effective on the date all final paperwork is submitted. If the student is to remain at the institution, the student’s status must be changed to that of “Postdoctoral Fellow.”

**Note:**
- The student must inform the Graduate Division Registrar’s Office (sgregistrar@einstein.yu.edu) of:
  1) any changes in address or contact information,
  2) plans to leave Einstein prior to submission of all required paperwork, or
  3) plans to change status to Postdoc.
  *Failure to inform the Graduate Office may jeopardize the student’s degree completion status.*
- No student should leave the institution without notifying the Graduate Division Registrar’s Office in advance.

In the event that a student leaves the institution (i.e. no longer on Einstein payroll) prior to completing all program requirements for the PhD degree, the student must apply for an *unpaid* Thesis Leave of Absence by submitting the Leave of Absence Form to the Graduate Division office (Belfer 202) prior to leaving the institution.

**Note:**
- A student on an unpaid Thesis Leave of Absence is no longer in active, full-time status and therefore no longer eligible for loan deferment.
- Medical benefits for a student on an unpaid Thesis Leave of Absence will terminate on the last day of the month in which the student is terminated from payroll.
- The Thesis Leave of Absence is allotted for a maximum of three (3) months from the date of defense.
- As a condition of maintaining student status, all international students must pursue a “full course of study.”
  The Thesis Leave of Absence is therefore not available to international students.

**Benefits:**
If a student is enrolled in the Einstein Student Health Plan, the plan will terminate on the last day of the month in which the student terminates from payroll. A student who has completed the program has the option to continue their health coverage by prepaying for the insurance at full cost. For details, contact the Benefits Office.

**Housing:**
A student who resides in Einstein Housing must vacate housing within 30 days from the date all paperwork is submitted for program completion. Any other arrangements must be made directly with the Housing Manager.

**Change in Status for International Students**
An international student on a student visa, who intends to remain in the United States for further training after completing the PhD, must apply for Optional Practical Training (OPT) at least three (3) months prior to the date of the Thesis Defense. Students are strongly advised to consult the Office of International Services (OIS) at Einstein well in advance of any anticipated change in status. Visa restrictions and requirements change frequently.
Granting of the PhD Degree

There are three (3) official PhD degree granting dates: the end of September, the end of January, and May (or June)—the date of the commencement ceremony. These dates are listed for each year on the Graduate Division academic calendar.

All academic requirements must be fulfilled on or before the deadline date for each of the official degree-granting dates as indicated on the academic calendar. This includes completion of all coursework and other departmental requirements, successful defense of the Thesis (Conditional Pass is not sufficient), completion of all revisions, deposit of five copies of the Thesis in the department office, and completion of all required paperwork.

Upon satisfaction of all requirements for the PhD degree, certification of receipt of the PhD degree may be made by the Registrar at any time during the year. Formal award of the PhD diploma will be made at the subsequent Albert Einstein College of Medicine Commencement Exercises. All financial obligations to the College of Medicine must be met prior to the release of the diploma. Students must clear their accounts with the Housing Office, the Library, and the Office of Student Finance in order to receive the PhD diploma.

Participation in the Annual Commencement Ceremony

September and January Graduates:
Students with a PhD degree date in September or January will be sent email notices from the Graduate Division Registrar's Office and/or the Office of Student Activities regarding participation in the formal Commencement Ceremony held in May. These graduates will have a deadline (typically in January) to complete the required online Graduation Application form.

May Graduates:
All academic requirements must be fulfilled on or before the April deadline as published on the academic calendar in order to receive the May PhD degree-granting date and also participate in the Commencement Ceremony. This includes completion of all coursework and other departmental requirements, successful defense of the Thesis (Conditional Pass is not sufficient), completion of all revisions, deposit of five copies of the Thesis in the department office, and completion of all required paperwork, including the online Graduation Application. There will be no exceptions to this April deadline for a May PhD degree.

7) Instructions for Preparing the Dissertation

Two Dissertation formats are generally accepted by the Departments within the Graduate Division. Students must consult with the appropriate faculty in their Department to insure that their Dissertation format is acceptable by their Department. 'Format A' is the traditional organization of a Dissertation. 'Format B' is organized with each chapter corresponding to a published (or in preparation) journal article. However, it is emphasized that a collection of published papers cannot be submitted in place of a Dissertation. An improperly prepared Dissertation may be returned to the student by the Committee without review.

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

ii) Manual of Style: On points of style (including capitalization and punctuation) not covered by the above, follow the recommendations of your Department. The style selected should be adhered to strictly and consistently. If no style is preferred by the Department, the Manual for Writers of Dissertations by Kate L. Turabian, University of Chicago Press, should be used.

iii) Line Spacing: The text of the Dissertation is to be double-spaced except for indented quotations, footnotes, figures, legends and bibliography, which are to be single-spaced.

iv) Required font for text: Arial 11 pt.
iv.) Paper: The final copies of the Dissertation are to be printed on 8 ½" x 11" high quality paper (24 lb.) that is not punched or perforated in any way.

(a.) Copies submitted to the Thesis Defense Committee may be:

1) duplicated on standard photocopy paper,
2) printed double sided and,
3) secured using either a three-hole binder or a spring binder.

v.) Pagination: Every paper in a Thesis is assigned a number typed on it. There are two series of page numbers. The first, in small Roman numerals, begins with the title page and ends with the last page preceding Chapter I. The second series, in Arabic numerals, begins with the first page of Chapter I and continues throughout the Dissertation, including graphs, illustrations, tables, bibliography and appendices.

vi.) Margins: The margins at the top, bottom and right are to be 1.0 inch; the left-hand margin is to be 1.5 inches. All tables, charts and illustrations are to have left-hand margins of no less than 1.5 inches because of binding requirements. Any over-size material may be folded in from the right, top and bottom in such a way as to leave a 1.5 inch margin on the left side.

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

viii.) Quotations: Quotations of more than three lines should be single-spaced, set off from the text in a separate paragraph and indented four spaces, with double-spacing between paragraphs. Opening and closing quotation marks are omitted. Quotations of three lines or less are enclosed in quotation marks and are run into the text.

ix.) Tables, Figures, Reproductions: The recommendations of the style manual are to be followed in preparing tables, figures and other graphic materials. Tables and Figures and all legends should be embedded into the document.

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

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

x.) Digital media or jpeg for high resolution images may be submitted on an accompanying CD-ROM.

xi.) References and Footnotes: References to published articles should be cited by author and year (i.e. Student and Mentor, 1995, or Student et al., 1995). Every reference listed must appear in the bibliography (see below for "Bibliography").

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

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

i.) *Introduction:* The comprehensive Dissertation begins with a scholarly introduction (Chapter I). This section should include a historical review of the student’s area of research followed by a critical evaluation of the current status of the field. The student should then present working hypotheses and give an introduction to the system and the thesis research. The student should consult with his or her mentor in order to agree upon how extensive a historical review is appropriate to the Dissertation.

ii.) *Methods and Materials:* The protocols and procedures used in the Dissertation studies should be presented in sufficient detail to allow reproduction of the experiments (Chapter II). A Dissertation provides an appropriate vehicle for experimental details that might be omitted from journal articles due to space limitations.

iii.) *Results and Discussion:* Chapters III …n of the Dissertation should present the results of the conducted studies followed by a discussion of their significance. The format for these chapters should follow that in the suggested manual of style or of a highly respected scientific journal, mutually agreed upon by the student and the mentor.

iv.) *Conclusions:* A Dissertation should end with a general discussion of the studies that have been conducted including an assessment of the significance of the research, arguments of interpretation, evaluation of material included in appendices, and a plan for the experimental resolution of unanswered questions.

**FORMAT B**

i.) *Introduction:* The comprehensive Dissertation begins with a scholarly introduction (Chapter I). This section should include a historical review of the student’s area of research followed by a critical evaluation of the current status of the field. The student should then present working hypotheses and give an introduction to the system and the thesis research. The student should consult with his or her mentor in order to agree upon how extensive a historical review is appropriate to the Dissertation.

ii.) *Manuscripts:* The body of the Thesis should be in the form of manuscripts that have been or are ready to be submitted for publication in a scholarly journal. Note that the format and style requirements described above must be adhered to for each and every chapter of the Dissertation. Each manuscript will constitute a chapter and will include a brief Introduction, Methods and Materials, Results, and Discussion. The candidate must be the first author of these manuscripts and must be responsible for their preparation. A footnote to the introduction must give bibliographic information for manuscript constituting the chapter. This information should include the full names of the authors, institutional affiliations, the journal and the status of the manuscript (i.e., submitted, published or in press)

iii.) *Separate Chapter for Unpublished Data:* If the student is not first author: One of several options may be appropriate in cases in which the student is not first author of a manuscript that is to be presented in the Dissertation as a chapter: 1) The student may extract his or her own work from the manuscript for presentation in the Dissertation; 2) The manuscript may be included as an appendix to the Dissertation; 3) The manuscript may be included as a chapter if the student was responsible for the preparation of a significant portion of the manuscript. For all multi-authored manuscripts, the exact contribution of the student should be stated in an introductory statement or footnote preceding each chapter or in the appendix. If figures from a multi-author manuscript are used, it is imperative to indicate which figures are the student’s works and which represent the work of other authors. In all cases in which figures are used, appropriate acknowledgement must be given. In addition, any contributions of co-authors must also be specified in the acknowledgment section.

Wherever pertinent, coworkers and helpers and other contributors should be acknowledged in the body of the text.

iv.) *Conclusions:* A Dissertation should end with a general discussion of the studies that have been conducted including an assessment of the significance of the research, arguments of interpretation, evaluation of material included in appendices, and a plan for the experimental resolution of unanswered questions.
The following sections of the Dissertation are common to both formats:

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

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

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

ii.) **Abstract:** The abstract of the Dissertation is to include: a hypothesis, the procedures followed, the significant results and the general conclusions. The abstract is to be presented on a separate page headed with the word ABSTRACT in capital letters centered on the page. On the next line is the title of the Dissertation. The following line is the full name of the student. The length of the abstract must not exceed 600 words. (Please note the separate instructions for the 350 word microfilm copy abstract described in the first section of this manual.)

iii.) **Acknowledgments:** This feature is not required, but offers a convenient opportunity to express the writer's appreciation to persons who have been especially helpful or to the publishers of materials from which data have been drawn and to whomever else acknowledgment should be given. The appropriate training or research grants should also be acknowledged in the Dissertation.

iv.) **Table of Contents:** The table of contents should list the chapters or other division headings of the Dissertation, using the same words that appear in the body of the report. The numbers of the pages on which these items appear should also be given. The table of contents is to be followed by separate page listings for tables and for figures and illustrations.

v.) **Bibliography:** The format for the references included in the bibliography should follow that in the suggested manual of style or a highly respected scientific journal. At a minimum, each reference must include the names of all authors, the title of the article, the name of the journal, the volume number and the pages of the article. Titles of articles must be included. The bibliographies of the Dissertation may be compiled for each chapter separately or together at the end of the Dissertation, at the discretion of the mentor and the student.

vi.) **Supplementary Materials and Methods:** It may be appropriate for a more extensive presentation of Materials and Methods to be given in an appendix where it may be helpful to other investigators who wish to utilize procedures developed by the candidate. The candidate may also wish to include as appendix material more detailed presentations of data than appropriate for a scholarly journal or thesis.

vii.) **List of Abbreviations:** A full and complete list of all abbreviations used in the text must be included.

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

- Published papers – reprints, and/or submitted manuscripts. Published articles and/or submitted manuscripts must be included in the Thesis Appendix; printed PDFs are sufficient. The Appendix pages may be separately numbered, if desired. The page numbering in the Appendix does not continue from the Thesis page numbering.
- Drafts of manuscripts expected to be submitted shortly
- Surveys of patient or other data
- High resolution figures
- Computer programs
8) Including Published Work in the Thesis

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

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

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

Copyright Permissions

Students must obtain permission to use previously copyrighted materials. For further copyright guidelines, go to http://www.einstein.yu.edu/education/phd/current-students/thesis.aspx.

Plagiarism

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

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

by

Nicole Schreiber Agus

Candidate: 

Thesis Advisor:

__________________________  __________________________
Signature  
Signature

Nicole Schreiber Agus  Ronald A. DePinho, M.D.
Name  Name

Associate Professor of Microbiology and Immunology
Title

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

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

2016-2017 Graduate Division Academic Policies and Guidelines
Section IX: Vacation and Leaves of Absence

1) Vacation and Holidays

First year students may take vacation only during the winter and spring holidays as posted on the Graduate Division Academic Calendar. Students may not schedule time off during class or exam periods.

Students who have completed at least twelve (12) months in the program may receive stipends during the normal period of vacation and holidays observed by the Einstein College of Medicine. (Visit the Human Resources website for a list of Einstein holidays: www.einstein.yu.edu/hr/working-at-einstein/). It is anticipated that students will take two (2) weeks’ vacation time each year, exclusive of the winter and spring holidays as posted on the Graduate Division Academic Calendar (http://www.einstein.yu.edu/education/phd/current-students/calendar.aspx). All time off should be scheduled in consultation with the mentor.

2) Leaves of Absence

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

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

A student who absents him/herself from the Graduate Division without notice may be subject to disciplinary actions, including dismissal from the program.

Note: Failure to re-matriculate following the expiration of a Leave of Absence is ground for dismissal from the Graduate Division.

a) Parental Leave

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

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

Extension of Parental Leave (Unpaid)
A student requiring periods of time away from their research training experience longer than sixty (60) calendar days must seek approval from the Associate Dean for an unpaid leave of absence. The student must submit an amended Leave of Absence Form with a doctor’s note. (The extended leave is an unpaid medical leave of absence.)

Return from Parental Leave
Upon return from the parental leave, the student must formally notify the Registrar of the Graduate Division and complete a Return from Leave of Absence Form.
International Students: Due to visa requirements, an international student is eligible for parental leave upon approval of the Office of International Services and written doctor’s recommendation.

b) Sick Leave

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

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

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

c) Medical Leave of Absence (Unpaid)

The Associate Dean or the Program Director may allow a student to be placed on a temporary unpaid medical leave of absence in case of prolonged illness or other medical emergency. This leave may also be appropriate in the case of chronic physical or mental illness. (Pregnancy and childbirth are covered by parental leave as stated above.) At the beginning of a medical leave of absence, the student must submit a Leave of Absence Form accompanied by a doctor’s note. The maximum amount of time allowed for an unpaid medical leave of absence is six (6) months.

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

Return from Medical Leave of Absence
A student who wishes to return from a medical leave of absence must submit a doctor’s note certifying that he/she is well enough to return to their responsibilities as a full-time graduate student. The student must formally notify the Registrar and complete a Return from Leave of Absence Form which must be signed by all required personnel.

International Students: Due to visa requirements, an international student is eligible for medical leave upon approval of the Office of International Services and written doctor’s recommendation.

d) Bereavement Leave

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

e) Academic or Personal Leave of Absence (Unpaid)

The Associate Dean or Program Director may grant an unpaid academic or personal leave of absence for a period up to a maximum of six (6) months. This may be considered appropriate if the student is experiencing academic
problems in courses or laboratory research based on personal issues, conflicts, or the need for counseling beyond normal tutoring. This is an unpaid leave. The Graduate Division assumes no financial commitment during the academic or personal leave of absence. At the beginning of an academic or personal leave of absence, the student must submit a Leave of Absence Form to the Graduate Division office.

**Health Insurance and Housing while on an Academic or Personal Leave of Absence:**
While on an academic or personal leave of absence, health insurance will be maintained for only thirty (30) days from the start date of the leave. A student on this type of leave is advised to consult with the Benefits Office (regarding health insurance) prior to beginning the leave. A student may continue their insurance coverage by remitting full cost to the Benefits Office.

A student on academic or personal leave may remain in housing for up to six (6) months and rent payments must be maintained during the leave of absence.

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

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

**International Students:** As a condition of maintaining student status, all international students must pursue a “full course of study.” The academic or personal leave of absence is not available to international students.
Section X: Graduate Division Policies on Conduct

1) Policy on Research Misconduct

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

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

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

Instances of suspected research misconduct involving laboratory research by students will be considered in accord with the Policy on Research Misconduct of the Albert Einstein College of Medicine. Suspected research misconduct may also be referred by the Associate Dean to the Academic Affairs Committee who can request written and/or oral explanations on the matter and make recommendations to the Associate Dean regarding the research misconduct.

Suspension

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

Responsible Conduct of Research:

Every student enrolled in the Graduate Division is required to complete the NIH mandated course Responsible Conduct of Research (RCR). The course is offered annually. Each student must attend every class session and every small group session in order to be certified as having completed the RCR course. If a student misses a class or small group session, the student will receive a grade of Incomplete (I) and will be required to register for the course and attend the missed class and/or small group session the following Block in which the course is next offered. If a student receives consecutive grades of Incomplete in RCR (after taking the course twice), the student will be placed on academic probation by the Academic Affairs Committee.

In accordance with federal policies, visit http://ori.hhs.gov/Whistleblower-Rights for information on whistleblower.

2) Policy on Professional Misconduct

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.

Expected professional conduct also includes respectful behavior towards others, timely responses to emails and requests for information, and other communication.

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

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

**Plagiarism**

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

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

Plagiarism or cheating may result in dismissal from the Graduate Division.

**Suspension**

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

**3) Academic Affairs Committee Review on Misconduct**

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

1. Allegations of research or professional misconduct are to be submitted in writing to the Associate Dean and must be sufficiently specific to provide a factual basis for investigation. Anonymous allegations are not acceptable.

2. A preliminary evaluation of an allegation will be made by the Associate Dean in consultation with the Director and Associate Director of the Graduate Division, and/or the Director of the MSTP (if applicable), and the Academic Affairs Committee chair 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 research or professional misconduct will be promptly conducted. The Associate Dean may appoint an ad hoc subcommittee, which will report to the Academic Affairs Committee. Members of the Academic Affairs Committee for whom there exists, or is perceived to exist, a conflict of interest will be excused from the review. The ad hoc subcommittee shall not include any member of the faculty where any conflict of interest exists or is perceived to exist. In addition to, or alternatively, the Associate Dean may request a review of the case from the Medical School Committee on Promotions and Professional Standards, which may make recommendations. These recommendations are not binding and may or may not be followed by the Associate Dean and/or the Academic Affairs Committee in determining the final disposition of the allegation.

5. The Academic Affairs Committee (or the ad hoc subcommittee) will attempt to obtain written and oral evidence from all sources the Committee determines to be appropriate and that it requires to evaluate the alleged misconduct. The review is not bound by the formal rules of evidence. The accused student may examine all the evidence against him/her and respond to the evidence. The student may present the facts of his/her case, provide witnesses to testify on his or her behalf, may be advised by a person from the College of Medicine, but may not have an attorney present at the review.

6. After reviewing the evidence the Academic Affairs Committee will provide a recommendation to the Associate Dean, who will decide the matter and prepare a written decision. A copy of the decision will be given to the student.

7. An appeal of the decision of the Associate Dean may be made to the Dean of the Medical School in writing within fifteen (15) calendar days.

**MD-PhD Students**

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

**4) Policy on Non-Discrimination and Anti-Harassment**

**Unlawful Discrimination or Harassment**

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

Unlawful discrimination or harassment includes discrimination or harassment based on race, religion, color, creed, age, national origin or ancestry, citizenship status, sex, marital status, physical or mental disability, veteran or disabled veteran status, sexual orientation, gender identity, genetic predisposition/carerrier status, or any other characteristic that is protected by any applicable law, ordinance, or regulation.

**Sexual Harassment**

Sexual harassment refers to any unwelcome or unwanted sexual advances, requests for sexual favors, or other verbal, physical, demonstrative, or electronic conduct or communication of a sexual nature when:
1) Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or educational experience; or

2) Submission or rejection of such conduct is used as the basis for a decision regarding an employment, academic, or other University-related activity affecting such individual; or

3) Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or participation in a University program, department or extra-curricular activity; or

4) Such conduct has the purpose or effect of creating an intimidating, hostile, or offensive working, learning, studying, or school environment.

Detailed description of the Non-Discrimination and Anti-Harassment Policy, including more information on sexual harassment, can be found here: http://www.einstein.yu.edu/hr/policies-and-procedures/. Also available at this website is information regarding the appropriateness of romantic or sexual relationships between College employees and students, via the policy on workplace romance & fraternization.
Appendix I: Department-Specific Course Requirements and Course Recommendations

General Graduate Division Course Requirements:
PhD students who entered the program in 2013 onward must successfully complete a minimum of 21 graduate course credits to be granted the PhD degree upon the successful defense of their thesis.

MD-PhD students who entered the program in 2013 onward must successfully complete a minimum of 18 graduate course credits to be granted the PhD degree upon the successful defense of their thesis.

All students must successfully complete the Qualifying Examination for advancement to candidacy for the PhD degree, and the NIH mandated course, Responsible Conduct of Research.

All PhD students must successfully complete the first-year course on becoming a scientist.

Each department within the Graduate Division has its own set of required or recommended graduate courses. Course credits earned by successfully completing the department-specific courses do count towards satisfying the program course credit requirements. In addition to the department-specific courses, students are encouraged to take additional courses more relevant to their research interests.

Please note that the requirement for all students to successfully complete the Responsible Conduct of Research course is in addition to any departmental course requirements (i.e. RCR does not count towards the required number of course credits for the program).

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 Genetics
VI. Department of Microbiology & Immunology
VII. Department of Molecular Pharmacology
VIII. Department of Neuroscience
IX. Department of Pathology
X. PhD in Clinical Investigation (PCI)
XI. Department of Physiology & Biophysics
XII. Department of Systems & Computational Biology

Please note that departments may require participation in other departmental activities, such as journal clubs, WIP (work-in-progress) seminars and retreats. Additional departmental specific information may be obtained by contacting the relevant Graduate Executive Committee representative or the Departmental Graduate Committee.

Listed below are specific departmental course requirements and recommendations.
I. Anatomy and Structural Biology (ASB)

ASB requires successful completion of the following graduate courses:
- Biochemistry,
- Molecular Cell Biology (Parts A and B), and
- Quantitative Skills for the Biomedical Researcher I.

Recommended course:
- Histology and Cell Structure
- Quantitative Skills for the Biomedical Researcher II, III.

II. Biochemistry (BC)

BC requires successful completion of the following graduate courses:
- Biochemistry,
- Gene Expression: Beyond the Double Helix, and
- Human Metabolism: Regulation and Disease.

III. Cell Biology (CB)

CB strongly recommends successful completion of the following graduate courses:
- Biochemistry,
- Molecular Genetics,
- Gene Expression: Beyond the Double Helix,
- Molecular Cell Biology (Parts A and B),
- Stem Cells, Differentiation and Disease, and/or
- Quantitative Skills for the Biomedical Researcher I and II.

IV. Developmental and Molecular Biology (DMB)

DMB requires successful completion of the following graduate courses:
- Biochemistry,
- Molecular Genetics,
- Gene Expression: Beyond the Double Helix, and
- Molecular Cell Biology (Parts A and B).

V. Genetics (GENE)

GENE strongly recommends successful completion of the following graduate courses:
- Biochemistry,
- Molecular Genetics,
- Gene Expression: Beyond the Double Helix,
- Quantitative Skills for the Biomedical Researcher I, and/or
- Computational Genomics and Epigenomics.

VI. Microbiology & Immunology (M&I)

M&I requires successful completion of at least two of the following graduate courses:
- Biochemistry,
- Molecular Genetics,
- Gene Expression: Beyond the Double Helix, and/or
- Molecular Cell Biology;
And requires the successful completion of at least one of the following graduate courses:
- Viruses and Other Microbes, and/or
- Immunology.

VII. Molecular Pharmacology (MP)

MP requires successful completion of the following graduate course:
- Molecular Approaches to Drug Action and Design.

VIII. Neuroscience (NS)

NS requires successful completion of the following graduate courses:
- Molecular and Cellular Neuroscience,
- Developmental Neuroscience, and
- Systems Neuroscience.

IX. Pathology (PATH)

PATH requires successful completion of the following graduate courses:
- Biochemistry, and
- Mechanisms of Disease (also required for MD-PhD students in PATH)

X. PhD in Clinical Investigation (PCI)

PCI requires successful completion of the following graduate courses:
All in year two:
- Clinical Research: Summer Intensive,
- Biostatistics II for Clinical Investigators, and
- Epidemiology II for Clinical Investigators.

The following courses are strongly recommended:
Year one:
- Design and Conduct of Clinical Research (strongly recommended for those without clinical research experience),
Year two:
- Biostatistics III with Data Analysis Lab,
- Advanced Topics in Epidemiology and/or
- Advanced Topics in Biostatistics.

XI. Physiology and Biophysics (P&B)

There are two tracks of study for students in the Physiology and Biophysics department.

P&B Biophysics track requires successful completion of the following graduate courses:
- Biochemistry,
- Quantitative Skills for the Biomedical Researcher I and II,
- Molecular Biophysics for the Life Sciences, and
- Biophysical Methods.

P&B Physiology track requires successful completion of the following graduate courses:
- Biochemistry,
- Quantitative Skills for the Biomedical Researcher I and II,
• Membrane Physiology and Transport,
• MSTP Cardiac Physiology, and
• Renal, Respiratory, and Acid-Base Physiology.

XII. Systems and Computational Biology (SCB)

SCB requires successful completion of the following graduate courses:
• Introduction to Systems Biology: Theory and Case Studies, and
• Systems Biology Seminar.

Strongly recommended course:
• Quantitative Skills for the Biomedical Researcher I, II, III.
Appendix II: Medical Scientist Training Program (MD-PhD) Requirements

Graduate Division Program Course Requirements

MD-PhD students must successfully complete a minimum of 18 graduate course credits in order to be granted a PhD degree upon successful defense of their thesis. It is expected that during the first year MD-PhD students complete at least four (4) to six (6) course credits per block and a minimum of 18 course credits.

MD-PhD students are required to successfully complete the following graduate courses:
- Biochemistry
- Histology and Cell Structure,
- Responsible Conduct of Research,
- Membrane Physiology & Transport (2.0 credits),
- MSTP Cardiac Physiology (2.0 credits),
- MSTP Genomics 101 (1.0 credit),
- MSTP Mechanisms of Disease, and
- Renal, Respiratory and Acid-Base Physiology (1.5 credits).

Note: Course credits for Histology and Cell Structure, MSTP Mechanisms of Disease, and Responsible Conduct of Research do not count towards the 18 graduate course credit minimum for MD-PhD students.

Responsible Conduct of Research: All MD-PhD students must complete the Responsible Conduct of Research course. The National Institutes of Health (NIH) mandates that all pre-doctoral fellows satisfy the requirement for formal training in the responsible conduct of research.

Master’s Credit

If an MD-PhD student enters the program with a Master of Science or Master of Arts degree from a relevant scientific discipline, he/she may apply for “Master’s credit.” If the request is approved, the student will be granted three (3) credits towards the program course credit requirement; the student then has to successfully complete 15 course credits in order to satisfy the program course requirements. A student may apply for Master’s credit by completing and submitting to the Graduate Division office the Request for Credit for Prior Master’s Degree Form which is available on the Graduate Division’s forms webpage. Appropriate documentation of conferral of the Master’s degree is required with submission of the form.

Course Exemptions and Transfer of Credit

An MD-PhD student may be granted exemption for graduate course(s) if they have successfully completed similar graduate course(s) in their previous training. The determination of whether to grant an exemption for graduate level courses taken at other institutions (including courses taken at foreign institutions) will be decided by the Associate Dean or Program Director, who acts upon the recommendation of the course leader for which exemption is being sought. An exempted course is not counted towards the minimum required course credit of 18 and therefore, another graduate course must be taken in its place.

Transfer credit may be granted for graduate course(s) taken at a prior institution if that course is deemed equivalent to a current Einstein graduate course as recommended by the current graduate course leader. No more than two graduate courses can be approved for “transfer credit” and no additional credit will be applied if the student is afforded the “Master’s credit.” (In this case, only exemptions apply.)

An MD-PhD student wishing to receive credit for graduate courses taken at another institution while enrolled as an Einstein student must receive the written approval of the Program Director and the Associate Dean. Note: the maximum number of graduate courses that can be taken outside the College of Medicine and funded by the Graduate Division is limited to two per student. Credit hours for no more than two outside courses may be used toward satisfying the course credit requirements.
In order to apply for a course exemption or transfer credit, the student must present the syllabus and related course information, in order for the course leader to determine equivalency. The student must present evidence of successful completion of the course requirements (i.e., an official grade on their transcript) in order to receive and exemption or transfer credit.

**Departmental-specific Course Requirements**

In addition to the Graduate Division program course requirements, MD-PhD students must complete their department-specific course requirements. (See Appendix I: Department-specific Course Requirements.)

**MD Course Requirements**

During the first year of the MSTP, students will take the following medical school classes: *Unit 2 of Molecular and Cellular Foundations of Medicine (MCFM)*, Pharmacology, and *Renal Systems-Pathophysiology/Pathology*. In addition, first year MD-PhD students are expected to take MSTP Histology, Membrane Physiology & Transport, MSTP Cardiac Physiology, MSTP Anatomy, MSTP Mechanisms of Disease, and Renal, Respiratory and Acid-Base Physiology. Each student will usually take two graduate courses per block (Block I and Block II) in the fall including Biochemistry, Responsible Conduct of Research and an elective graduate course of their choice and one or two graduate courses in the spring semester, Block III. All other first year medical school classes are optional for MD-PhD students.

During the second year of the MSTP, students take the entire second year medical school curriculum with the second year medical school class of students. MD-PhD students are expected to take the USMLE Step 1 exam by June 15, prior to beginning their thesis research. Students may take the USMLE Step 1 exam after June 15 only with permission of the Program Director. A student who does not pass the USMLE Step 1 exam must develop a plan with the Program Director to retake the exam in a timely fashion.

**Laboratory Rotations**

The goal of laboratory rotations is to identify a mentor(s) in whose research group the student will perform their thesis research project. An MD-PhD student will generally perform one laboratory rotation during the summer prior to their first year in the MSTP. An additional rotation (or two) will then be performed during the summer between the first and second year in the program. With permission from the Program Director, an MD-PhD student may perform an additional rotation in the same lab if he/she plans to perform their thesis research with that mentor. All MD-PhD students must perform at least one laboratory rotation.

An MD-PhD student chooses his/her thesis mentor in consultation with the Program Director following the laboratory rotations. In rare cases, with permission of the Program Director, an MD-PhD student may perform an additional rotation following completion of the second year and the USMLE Step 1 exam.

**Thesis Laboratory and Department Declaration**

*An MD-PhD student must obtain permission from the MSTP Director prior to declaring a thesis laboratory.* An MD-PhD student must satisfy all the requirements of their declared department, including course requirements, and other departmental activities as stipulated by the department.

**Qualifying Examination**

MD-PhD students are expected to take the Qualifying Exam during the third year on the program with the same deadlines and requirements as all students in the Graduate Division. See Section VIII of these Policies for the Qualifying Examination Guidelines.
Thesis Defense

An MD-PhD student must have successfully defended their PhD Thesis before he/she will be certified to go onto the clinical part of their training.

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

See Section IX of these Policies for the Thesis and Defense Guidelines.
Appendix III: AAMC’s Compact between Biomedical Graduate Students and Their Advisors

AAMC: Association of American Medical Colleges

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

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

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

Compact Between Biomedical Graduate Students and Their Research Advisors

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

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

Core Tenets of Pre-doctoral Training

Institutional Commitment

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

Program Commitment

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

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

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

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

Commitments of Graduate Students

• I acknowledge that I have the primary responsibility for the successful completion of my degree. I will be committed to my graduate education and will demonstrate this by my efforts in the classroom and the research laboratory. I will maintain a high level of professionalism, self-motivation, engagement, scientific curiosity, and ethical standards.

• I will meet regularly with my research advisor and provide him/her with updates on the progress and results of my activities and experiments.

• I will work with my research advisor to develop a thesis/dissertation project. This will include establishing a timeline for each phase of my work. I will strive to meet the established deadlines.

• I will work with my research advisor to select a thesis/dissertation committee. I will commit to meeting with this committee at least annually (or more frequently, according to program guidelines). I will be responsive to the advice of and constructive criticism from my committee.

• I will be knowledgeable of the policies and requirements of my graduate program, graduate school, and institution. I will commit to meeting these requirements, including teaching responsibilities.

• I will attend and participate in laboratory meetings, seminars and journal clubs that are part of my educational program.

• I will comply with all institutional policies, including academic program milestones. I will comply with both the letter and spirit of all institutional safe laboratory practices and animal-use and human-research policies at my institution.

• I will participate in my institution’s Responsible Conduct of Research Training Program and practice those guidelines in conducting my thesis/dissertation research.

• I will be a good lab citizen. I will agree to take part in shared laboratory responsibilities and will use laboratory resources carefully and frugally. I will maintain a safe and clean laboratory space. I will be respectful of, tolerant of, and work collegially with all laboratory personnel.
• I will maintain a detailed, organized, and accurate laboratory notebook. I am aware that my original notebooks and all tangible research data are the property of my institution but that I am able to take a copy of my notebooks with me after I complete my thesis/dissertation.

• I will discuss policies on work hours, sick leave and vacation with my research advisor. I will consult with my advisor and notify fellow lab members in advance of any planned absences.

• I will discuss policies on authorship and attendance at professional meetings with my research advisor. I will work with my advisor to submit all relevant research results that are ready for publication in a timely manner prior to my graduation.

• I acknowledge that it is primarily my responsibility to develop my career following the completion of my doctoral degree. I will seek guidance from my research advisor, career counseling services, thesis/dissertation committee, other mentors, and any other resources available for advice on career plans.

Commitments of Research Advisors

• I will be committed to the life-long mentoring of the graduate student. I will be committed to the education and training of the graduate student as a future member of the scientific community.

• I will be committed to the research project of the graduate student. I will help to plan and direct the graduate student’s project, set reasonable and attainable goals, and establish a timeline for completion of the project. I recognize the possibility of conflicts between the interests of externally funded research programs and those of the graduate student, and will not let these interfere with the student’s pursuit of his/her thesis/dissertation research.

• I will be committed to meeting one-on-one with the student on a regular basis.

• I will be committed to providing financial resources for the graduate student as appropriate or according to my institution’s guidelines, in order for him/her to conduct thesis/dissertation research.

• I will be knowledgeable of, and guide the graduate student through, the requirements and deadlines of his/her graduate program as well as those of the institution, including teaching requirements and human resources guidelines.

• I will help the graduate student select a thesis/dissertation committee. I will assure that this committee meets at least annually (or more frequently, according to program guidelines) to review the graduate student’s progress.

• I will lead by example and facilitate the training of the graduate student in complementary skills needed to be a successful scientist, such as oral and written communication skills, grant writing, lab management, animal and human research policies, the ethical conduct of research, and scientific professionalism. I will encourage the student to seek opportunities in teaching, if not require by the student’s program.

• I will expect the graduate student to share common laboratory responsibilities and utilize resources carefully and frugally.

• I will not require the graduate student to perform tasks that are unrelated to his/her training program and professional development.

• I will discuss authorship policies regarding papers with the graduate student. I will acknowledge the graduate student’s scientific contributions to the work in my laboratory, and I will work with the graduate student to publish his/her work in a timely manner prior to the student’s graduation.

• I will discuss intellectual policy issues with the student with regard to disclosure, patent rights and publishing research discoveries.

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• I will encourage the graduate student to attend scientific/professional meetings and make an effort to secure and facilitate funding for such activities.

• I will provide career advice and assist in finding a position for the graduate student following his/her graduation. I will provide honest letters of recommendation for his/her next phase of professional development. I will also be accessible to give advice and feedback on career goals.

• I will provide for every graduate student under my supervision an environment that is intellectually stimulating, emotionally supportive, safe, and free of harassment.

• Throughout the graduate student’s time in my laboratory, I will be supportive, equitable, accessible, encouraging, and respectful. I will foster the graduate student’s professional confidence and encourage critical thinking, skepticism and creativity.

The Compact is available on the AAMC Web site at: https://www.aamc.org/initiatives/gradcompact/
Appendix IV: Resources and Support

Student Health

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

For more information, please visit the OASC website:
http://www.einstein.yu.edu/education/student-affairs/academic-support-counseling/

Mental health emergency information is available at:

Personal Counseling
The Office of Academic Support and Counseling (OASC) offers a private and safe environment to discuss academic and emotional issues that may affect your well-being and progress through graduate school. The OASC also offers students a place to come and relax if feeling "just stressed out." The personal counseling services provided by the OASC cover a vast spectrum. The OASC encourages students to make an appointment to discuss their particular issues and access needed resources. Students can discuss the source of stress, express concerns, vent frustrations, and obtain a referral if desired. By exploring the source of the stress, some insights may be gained on better ways to manage and cope with these feelings.

Please visit http://www.einstein.yu.edu/education/student-affairs/academic-support-counseling/personal-counseling/ for more information.

Student Health Service
The Einstein Student Health Service is available to all students for sick call visits and post-exposure consultations. Walk-in hours for the Student Health Service sick call visit are from 11:00am to 3:00pm, Monday through Friday in the Block Building, 2nd Floor, Room 220.
https://www.einstein.yu.edu/administration/occupational-health-service/student-health-service.asp

Tutoring
The Graduate Division provides tutoring to graduate students as needed. Tutoring is arranged through the Graduate Division office (Belfer 202).

Library
http://library.einstein.yu.edu/

Instruction Sessions and Workshops
The library regularly schedules workshops for students. These workshops are announced and posted on the Library’s events calendar.

LibGuides
For information on use and citation of scientific references and other helpful resources relevant to scientific writing, please visit the Library’s LibGuides website: http://libguides.einstein.yu.edu/thesis
Appendix V: Student Safety and Security

Security

https://www.einstein.yu.edu/administration/auxiliary-services/security/

The Office of Security and Transportation is responsible for maintaining the Einstein environment as a secure place for work and study.

The security desk in the Forchheimer lobby operates 24 hours, 7 days a week. The security personnel stationed at the desk can be reached by calling (718) 430-2019.

The main Security Office is located in the Forchheimer Building, Room G9 and can be reached during normal business hours at (718) 430-2180.

In case of emergencies, call 911.

To contact the local police precinct (49th Precinct) dial (718) 918-2000.

Helpful links regarding safety and security are available online (see link above).

Missing Student Policy
A student is considered to be “missing” when a student who resides in on-campus housing has been absent from YU for more than 24 hours without any known reason.

All reports of missing students should be directed to the Einstein Security Office, the Dean of Students, or the Einstein Housing Office. Any reports made to the Dean of Students or the Housing Office will be referred immediately to the Security Office.

The policy is available here: www.einstein.yu.edu/docs/administration/policies/missing-student-policy.pdf

Department of Human Resources

http://www.einstein.yu.edu/hr/

Non-Discrimination and Anti-Harassment Policy
(including Sexual Harassment, Sexual Abuse/Assault, Stalking, and Dating Violence/Domestic Violence)
The University’s Title IX Coordinator should be contacted if a member of the University community or an applicant believes he/she is being subjected to unlawful discrimination or harassment.

Title IX Coordinator
Renee Coker, Director of Employee Relations & Equity Compliance Officer
Belfer Educational Center for Health Sciences
1300 Morris Park Avenue, Room 1206
Bronx, New York 10461
Office Phone: (718) 430-3771
renee.coker@einstein.yu.edu

Vice President of Human Resources and Diversity
Yvonne Ramirez
Belfer Educational Center for Health Sciences
1300 Morris Park Avenue, Room 1209

Graduate Division Office

The Graduate Division provides diverse resources geared towards serving our students. The Associate Dean and Program Directors are always available by appointment and monitor their email frequently. Contact information is as follows:

Dr. Victoria Freedman, Associate Dean for Graduate Programs in the Biomedical Sciences
Office Phone: (718) 430-2872
victoria.freedman@einstein.yu.edu

Dr. Myles Akabas, Director of the Medical Scientist Training Program
Office Phone: (718) 430-3360
myles.akabas@einstein.yu.edu

Ms. Sheila Cleeton, Executive Director and Registrar, Graduate Programs in the Biomedical Sciences
Office Phone: (718) 430-4133
sheila.cleeton@einstein.yu.edu
Appendix VI: Einstein Policies and Procedures

Visit http://www.einstein.yu.edu/hr/policies-and-procedures/ for Institutional Policies on the following:

Attendance Policy
Code of Conduct
Disability Accommodation Policy
Drug and Alcohol Policy
Employee Handbook
Employee Referral Policy
Employment Agency Policy
Family and Medical Leave Act ("FMLA") Policy
FMLA Process Flow Chart
FMLA Substitution of Paid Leave Flow Chart
Military Leave Policy
Non-Discrimination and Anti-Harassment Policy
Payroll Overpayment Policy
Policy Governing Reimbursement of Relocation
Pre-Employment Drug Testing Policy
Sick Time Policy
Smoke Free Workplace Policy
Whistleblower policy
Workplace Romance and Fraternization Policy
Appendix VII: Student Records and Privacy Rights of Students (FERPA)

In accordance with the provisions of the Family Educational Rights and Privacy Act of 1974, as amended (Section 438 of the General Educational Provisions Act, 20 USC 1232g), also known as FERPA, the Graduate Division has adopted these policies to protect the privacy rights of its “Students” with respect to their “Education Records,” in each case as defined below. FERPA affords students certain rights of access to their education records and limits disclosure to third parties unless the student provides written consent. In certain circumstances, disclosure is permitted without the student’s permission.

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

A. Definitions of terms used in the act

1. "Students" are persons who are or were in attendance in the Graduate Programs of the Biomedical Sciences as registered students. FERPA does not apply to records of applicants who were accepted but did not enroll the program.

2. “Educational Records” are records, files, documents, and other materials (both electronic and/or physical records) that contain information directly related to a student and are maintained by the Graduate Division. With limited exceptions, a student has the right to inspect and review their education records.

Under FERPA and its related regulations, the following types of records are not education records and students are not entitled to review them:

   a. Records maintained personally by instructional, supervisory or administrative personnel that are not available to others.

   b. Records made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional which are made, maintained, or used only in connection with the treatment of the student and which are not available to anyone other than the persons providing such treatment. Such records, however, can be personally reviewed by a physician or other appropriate professionals of the student’s choice. The confidentiality of these records is governed by New York State Law.

B. Type and Location of Records kept at Einstein

1. The principal education records of each student are maintained by the Graduate Division’s Office of the Registrar. The Registrar or the Registrar’s representative is responsible for these records. Inquiries concerning these records should be made in writing to the Graduate Division’s Office of the Registrar, with a copy to the Yeshiva University Registrar.

2. In addition to the principle record maintained by the appropriate Registrar, certain other offices or persons may maintain records for graduate students such as by Deans of the school, Program Directors, course leaders, committees and subcommittees of the Graduate Division, advisors, faculty and individual basic science departments. Inquiries concerning these records should be made in writing to the appropriate individual, department or administrative office.

3. Additional records pertaining to MD-PhD students will be kept in the Medical School and are in the charge of the Medical School. Inquiries from MD-PhD students concerning their records should be directed to the Registrar of the Einstein Medical School.
Administrative records pertaining to student finances are kept in the Student Finance Office and are in the charge of the Student Finance Officer. Inquiries from students concerning these records should be made in writing to the head of the Student Finance Office.

Administrative records pertaining to student housing are kept in the Housing Office and are in the charge of the Housing Officer. Inquiries from students concerning these records should be made in writing to the head of the Housing Office.

C. Inspection and Review of Records

1 A student has the right to inspect and review their education records within 45 days of the day the Graduate Division receives a written request for access. The student should submit their written request to the Registrar, identifying the record he/she wishes to inspect. The Registrar will make arrangements for access and notify the student of the time and place the records may be inspected. The student should bring valid photo identification to the appointment.

2 Students have the right to review and inspect all documents in the records except:

   a. Confidential evaluations and letters of recommendation filed before January 1, 1975
   b. Evaluations and recommendations filed after January 1, 1975 if the student has waived the right to see them
   c. Those documents classified by the Privacy Rights law as non-educational records including:

      i. Records maintained personally by instructional, supervisory or administrative personnel that are not available to others
      ii. Records created or maintained by a physician, psychiatrist or psychologist acting in a professional capacity
      iii. Records containing only information relating to a person after that person is no longer a student in the Graduate Division
      iv. Records, such as those which may be maintained by the College’s Office of General Counsel, the confidentiality of which is protected by law
      v. Those portions of the Educational Record that contain information about other students

3 If, after inspecting and reviewing their records, students have any questions about them, they may request an oral or written explanation and interpretation.

4 Students may also secure a copy of every document in their academic record open as described above. A specific form must be submitted to the Registrar in order to obtain this copy.

D. Correction of Records

1 If after inspecting and reviewing their academic records the student believes that any information contained in them is inaccurate, misleading or violates their privacy or other rights, the student may request in writing that the office which contains those records amend them. The request should clearly identify the part of the records the student wants changed, and specify why it should be changed.

2 That office must reach a decision and inform the students making such requests of the decision in writing, within a reasonable period of time.

3 If the office refuses to amend the record in accordance with a student's request, the student has the right to a hearing.

4 This hearing will be conducted by a committee appointed by the Associate Dean, consisting of persons who do not have a direct interest in the outcome of the hearing.
5 The hearing will be held within a reasonable period of time after the student has made the request and the student will be given notice of the date, place, and time, reasonably in advance of the hearing.

6 The student 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 written statement given to all parties concerned, summarizing 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 student will be amended accordingly and the student will be so informed.

10 If the committee decides against the student, the student has 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 Graduate Division as part of the education records of the student as long as those records are maintained, and whenever a copy of those records are sent to any party, the explanation will accompany them.

E. Disclosure of Information from Records

1 No office maintaining education records of a student will disclose any personally identifiable information from those records to anyone outside the institution without the written consent of the student, unless consent is not required by law.

2 The education records of a student may be disclosed without their written consent to faculty members and school officers within the College who have a legitimate educational interest in the information. This includes, but not limited to, faculty members, potential mentors identified by the student, Training Grant Directors, Qualifying Exam Committees, Student Advisory Committees, and Departmental Education Committees. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the Graduate Division and the University.

3 The Graduate Division reserves the right to forward a student's education 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 a student 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 a student may be disclosed without their written consent to an agency to which the student has applied for, or from which the student has received financial aid, or which has made decisions concerning eligibility, amount, conditions, or enforcement of terms of such aid.

6 The records of a student may be disclosed without their written consent to certain educational agencies and institutions conducting studies, provided that the studies are conducted in a manner which will not permit the personal identification of students by individuals other than representatives of the organization and that the information will be destroyed when no longer needed for the purpose for which the study was conducted.
The records of a student will be disclosed without their written consent as required to comply with a judicial order or subpoena. The Graduate Division will provide the student with 10 days’ notice before supplying the records without the student’s written consent.

The records of a student may be disclosed without their written consent in a health or safety emergency, if knowledge of the information is necessary to protect the health and safety of the student or other individuals.

F. Directory Information

The Graduate Division may disclose directory information without the student’s consent unless the student, within 10 days of registration each semester (fall, spring, summer), informs the Office of the Registrar in writing on the Request to Prevent Disclosure of Directory Information Form, available in the Office of the Registrar, that any or all such information about the student is not to be made public without his or her written permission. A new form for non-disclosure must be completed each year.

The following information related to the student is considered “directory information”: student name, Einstein email address, campus address, telephone number, date and place of birth, participation in officially recognized activities, dates of attendance, degrees and awards received and similar information.

G. Right of Complaint

A student who 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, may file a complaint in writing with:

Family Policy Compliance Office  
U.S. Department of Education  
400 Maryland Ave, SW  
Washington, D.C. 20202-4605

The full text of the Family Educational Rights and Privacy Act of 1974, as amended, and the full text of the final regulations of the U.S. Department of Education for the implementation of the Act, are available for review at the Office of the Registrar.

Copies of this statement are available upon request to the Office of the Registrar. Revisions and clarifications of this statement may be published periodically to conform with the law and the University’s policies.

Additional Information is available at:
34 CFR 99: [http://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=34:1.1.1.1.33](http://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=34:1.1.1.1.33)
Graduate Programs in the Biomedical Sciences
Albert Einstein College of Medicine
1300 Morris Park Avenue
Belfer Building Room 202
Bronx, New York 10461
(718) 430-2345
phd@einstein.yu.edu
www.einstein.yu.edu/phd