Department of Neurobiology and Anatomy

Graduate Student Handbook
(applies to students admitted to the University of Utah before 2016)

July 5, 2017

Neurobiology and Anatomy Graduate Student Handbook

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- Final Reading Approval (http://gradschool.utah.edu/thesis/forms/)
- Doctoral Statement of Approval (http://gradschool.utah.edu/thesis/forms/)

Introduction

Welcome to the Department of Neurobiology and Anatomy. We have tried to collect information that will help you proceed smoothly through your graduate education. Every effort has been made to ensure that the requirements and policies of the Department are in accordance with those of the Molecular Biology and Neuroscience Programs and the Graduate School. This handbook provides a brief timeline for the first four-five years of graduate school, policy information from the Department and examples of required forms. This information is meant to supplement the information available on the departmental website (http://www.neuro.utah.edu). Suggestions designed to improve the handbook, or the website, are welcome.

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Websites:

Neurobiology and Anatomy	http://www.neuro.utah.edu
Graduate School	http://gradschool.utah.edu
Neuroscience Program	http://neuroscience.med.utah.edu/
Molecular Biology Program	http://www.bioscience.utah.edu/molecular-biology/
HHMI Med-into-Grad Initiative (U2M2G)	http://www.bioscience.utah.edu/affiliated-research-programs/med-into-grad.php
Health Sciences Calendar	https://healthsciences.utah.edu/calendar/
International Student Center	http://ic.utah.edu/students/
Developmental Biology Training Grant	http://www.dbtg.utah.edu/traineeInfo.html
Genetics Training Grant	http://gtg.genetics.utah.edu/
Graduate Fellowships	https://gradschool.utah.edu/tbp/index.php

Section I: Graduate Study in the Department of Neurobiology and Anatomy

Program Description

Ph.D. in Neurobiology and Anatomy

Program Purpose: The program provides students with a broad background in diverse areas of neurobiology and developmental biology, including developmental neurobiology, neurophysiology, neurogenetics, molecular neuroscience, neuroanatomy, and embryonic patterning and cell signaling, as well as the skills necessary to continue independent pursuit of knowledge. The program prepares students to conduct original, hypothesis driven research using state of the art techniques, and to communicate effectively about their research both in writing and orally. Students receiving a Ph.D. in Neurobiology and Anatomy should be prepared to teach at the college level, pursue further research training at the postdoctoral level and/or work in industry. Specific details of the program requirements are described below.

Expected Learning Outcomes

Students who receive a Ph.D. in Neurobiology and Anatomy should:
1. Demonstrate a broad understanding of their field of research;
2. Understand and critically evaluate original research publications, as evidenced by journal club style presentations in graduate courses and lab meetings, and in written research proposals;
3. Design, conduct and analyze independent, hypothesis driven research, as evidenced by successful completion and defense of a dissertation project;
4. Communicate effectively in writing as evidenced by preparation of research proposals, publication of manuscripts, and completion of a written dissertation.
5. Demonstrate effective oral communication skills, as evidenced by successful defense of Preliminary Examination and dissertation proposals, presentations in Research in Progress, journal clubs and lab meetings, and an oral dissertation defense.
6. Be prepared to teach at the college level, pursue further research training at the postdoctoral level and/or work in industry.

Course Requirements

PhD candidates are typically admitted to the Department through the interdepartmental graduate programs in Neuroscience (NS) or Molecular Biology (MB). Students from MB join the Department in their second year, whereas NS students remain in the Neuroscience Program. In exceptional cases, students may be accepted into the Department by direct admission.

Requirements for students entering the Department from the MB Program can be found at http://www.bioscience.utah.edu/molecular-biology/index.php. First year students follow the MB Program's core curriculum. Upon joining the Department, students must subsequently take at least 12 additional credits; at least 6 credits must be in didactic courses. One didactic course must be from the list below and another will be selected from a list of approved courses in conjunction with the student's Second Year Advisory Committee. Students must also fulfill a teaching requirement (TA, 1 course), and take a course in statistics. In addition, in Year 2 and subsequent years students must register for RIP (ANAT 7720, 1 credit) one semester and Journal Club (ANAT 7740, 1 credit) or RIP the other semester, and must participate in RIP both semesters.

Year 1: 19 credits	MB Program requirements
Year 2+:	3 graded courses (any length) - One must be*: Neuroanatomy (ANAT 7710/NEUSC 6060) Cellular and Molecular Neuroscience (NEUSC 6040) Developmental Neurobiology (ANAT 7750/NEUSC 7750) RIP (ANAT 7720) both semesters Statistics (see next page) TA
Year 3+:	Once students have taken the requisite 3 courses, they must continue to register for RIP (ANAT 7720) each semester, with the exceptions listed below.

Course requirements for students in the Neuroscience Program can be found at http://neuroscience.med.utah.edu/. NS students in the Department are expected to participate in RIP and attend departmental seminars.

Course requirements for students admitted directly to Neurobiology and Anatomy will be determined by the student's supervisory committee on an individual basis.

NB: All students in the Department are required to take a research ethics course and a statistics course. Domestic students must register for RIP (ANAT 7720) each semester that they receive tuition benefit. International students should register for RIP ONLY until the semester that they reach 84 cumulative graduate credit hours. However, attendance at RIP is mandatory both semesters for all students in the Department throughout their entire graduate career.

* An alternate course may be substituted at the discretion of the student's advisory committee.

Table 1: Useful Course Information

Course (credits)	**Course #**	**Course (credits)**	**Course #**
Cellular and Molecular (4)	NEUSC 6040	RIP (1)	ANAT 7720
Neuroanatomy (3)	ANAT 7710/NEUSC 6060	Thesis Research (1-9)	ANAT 7970
Developmental Neurobiology (3)	ANAT 7750/NEUSC 7750	Journal club (1)	ANAT 7740
Research ethics	MBIOL 7570		
Statistics (1-2)	BIOEN 5070 BMI 6105 MDCRC 6000 MDCRC 6050 PSYCH 5500 PSYCH 5510 PH TX 6680 ONCSC 6150		

TIMELINE

Enter Graduate School

First Year

- Complete first year course work
- Complete four laboratory rotations
- Select a dissertation laboratory
- Establish a second year advisory committee
- **File "Establish Second Year Advisory Committee" with DGS** (Appendix *iv*)
- Meet with the Director of Graduate Studies (DGS)

Second Year

- Take second year course work
- File "Consent to Teaching Assistantship" w/ DGS (Appendix *v*) & complete TA requirement
- Establish a preliminary examination committee
- **File "Establish a Preliminary Exam Committee" with DGS** (Appendix *vi*)
- Complete the Preliminary Examination
- **File "Report of Preliminary Exam"** (Appendix *vii*) **with DGS**
- Establish a Supervisory Committee
- **File "Establish a Supervisory Committee" with DGS** (Appendix *viii*)
- Present your research in the Departmental RIP
- Meet with the DGS

Third Year

- Have dissertation proposal meeting within 6 months of the Preliminary Examination
- **File "Report of Supervisory Committee Meeting" w/ committee & DGS** (Appendix ix)
- Present your research in the Departmental RIP
- Meet with the DGS

Fourth Year

- Meet with your supervisory committee no less than once a year
- **File "Report of Supervisory Committee Meeting" w/ committee & DGS** (Appendix *ix*)
- Present your research in the Departmental RIP
- Meet with the DGS

Fifth Year

- Undergo Advanced Student Review; establish a timetable for completing your research and dissertation. Consult the Graduate School website for important deadlines
- **File an Application for Graduation form with Registrar's Office** (http://registrar.utah.edu/handbook/graduategraduation.php) **and ask the DGS to submit your Program of Study to Graduate Records at least <u>one semester</u> before graduation**.
- Prepare the written dissertation according to University guidelines
- Schedule a date for the Final Oral Examination (dissertation defense) in keeping with University deadlines
- **Following the oral examination, submit signed "Supervisory Committee Approval" and "Final Reading Approval" forms to the Graduate School, and file a photocopy of each with DGS**
- Schedule a final meeting with the DGS and fill out Exit Interview/Check-Out Form (Appendix *x)*

Graduation!

Graduate Program Checklist (Ph.D.)

Department of Neurobiology and Anatomy

STUDENT NAME: _____ UNID #: _____
DATE OF ADMISSION: _____
ADVISOR: _____

Requirement	Date completed/filed	Comments
Required by the department		
Required courses: Statistics Research Ethics	_____ _____	
Elective courses: 1. _____ 2. _____ 3. _____	_____ _____ _____	
Student Pledge		
Summary of Lab rotations (Appendix *i*, direct admits only)		
Lab acceptance (Appendix *ii*, direct admits and MD/PhD only) **& Faculty Agreement** (Appendix *iii*)		
Establish a Second Year Advisory Committee (Appendix *iv*)		
Consent to Teaching Assistantship (Appendix *v*)		
Establish a Prelim Exam Committee (Appendix *vi*)		
Report of Preliminary Examination (Appendix *vii*)		
Establish a Supervisory Committee (Appendix *viii*)		
Report of Supervisory Committee (Appendix *ix*) Committee should meet at least once a year; form should be submitted for each meeting		
Photocopy of signed Supervisory Committee Approval & Final Reading Approval (see below)		
Exit Interview/Check-Out Form (Appendix *x*) Due before you leave the Department		
Required by Graduate School		
Application for Graduation Due one semester before graduation		
Supervisory Committee Approval Due following Final Oral Exam (dissertation defense)		
Final Reading Approval Due following Final Oral Exam (dissertation defense)		
Statement of Dissertation Approval Due following Final Oral Exam (dissertation defense)		

Student responsibilities in each year

Note: All official documentation and tracking of student's progress is recorded electronically by the Graduate School. A designee in the Department of Neurobiology and Anatomy, either the Director of Graduate Studies (DGS) or the Administrative Secretary, submits information to Graduate Records via Graduate Student Degree Tracking for approval by the Dean of Graduate Studies. It is important that students provide the DGS with accurate information of their progress in a timely fashion using forms reproduced in the Appendix and available on the Department website (www.neuro.utah.edu/education/grad_handbook/index.html). Note that many of these forms require signatures of faculty and/or the DGS. Students may verify the accuracy of their information in Graduate Records at any time via Campus Information System.

First year:

1. The requirements for the first year are determined by the admitting program (MB or NS) or by an individual departmental committee for students admitted directly into Neurobiology and Anatomy.

2. During the first year students must complete their laboratory rotations and select a dissertation lab. Acceptance into a dissertation lab must be indicated by a signed "Dissertation Lab Mentor/Department Agreement" form (MB students) or "Lab Acceptance" form (Appendix *ii*; direct admits and MD/PhD students) **and** a "Faculty Agreement" form (Appendix *iii*). Upon joining the Department students should fill out the departmental Check-in Form (http://www.neuro.utah.edu/related_links/it/welcome.html) and submit it to the Executive Secretary.

3. After joining a laboratory, the student must organize a Second Year Advisory Committee (SYAC) consisting of three faculty members from the Department and file a "Second Year Advisory Committee" form (Appendix *iv)* with the Director of Graduate Studies (DGS). At least one member of the SYAC must be a regular (i.e. tenure-track) faculty with primary appointment in Neurobiology and Anatomy (i.e. must not be Adjunct Faculty). This committee must meet within three months after the student joins the department and will advise the student on the second year course requirements. Members of the SYAC may subsequently serve on the student's preliminary examination and supervisory committees.

4. In May or June of the first year, the student must meet with the DGS to review second year requirements of the department. It is the responsibility of the student to schedule this meeting.

5. At the end of the first year, students who are not Utah residents are required to file for residency. Information on obtaining Utah residency is available at: http://www.sa.utah.edu/admiss/

Table 2: Guidelines for Credit Hour Registration

Domestic students (Utah residents)

Source of Stipend	TBP	Years in Graduate Program	Fall Semester	Spring Semester	Summer Semester
			Credits	Credits	Credits
External research grant (5000 acct) (RA)[5]	+	1	9-11	9-11	3
	+	2-5[1]	9-11	9-11	3
	-	> 5[1, 4]	3 ANAT 7970[4]	3 ANAT 7970[4]	0[2]
"Activity" (TA, GA and GF)[5]	+	1	9-12	9-12	0[2]
	+	2-5[1]	9-12	9-12	0[2]
	-	> 5[1, 4]	3 ANAT 7970[4]	3 ANAT 7970[4]	0[2]

International students and non-residents

Source of Stipend	TBP	Years in Graduate Program	Fall Semester	Spring Semester	Summer Semester
			Credits	Credits	Credits
External research grant (5000 acct) (RA) [5]	+	1	9-11	9-11	3
	+	2	9-11	9-11	3
	+	3-5[1, 3]	9-11 ANAT 7970[3]	9-11 ANAT 7970[3]	3 ANAT 7970[3]
	-	> 5[1, 4]	3 ANAT 7970[4]	3 ANAT 7970[4]	0[2]
"Activity" (TA, GA and GF)[5]	+	1	9-12	9-12	0[2]
	+	2	9-12	9-12	0[2]
	+	3-5[1]	9-12	9-12	0[2]
	-	> 5[1, 4]	3 ANAT 7970[4]	3 ANAT 7970[4]	0[2]

[1] TBP eligibility is reduced by 1 year for students entering with a Master's degree; if a student is supported by a fellowship that pays tuition, the TBP will be extended.

[2] Students must be enrolled for 3 credits of Thesis Research in the semester of their Preliminary Exam and Final Oral Examination (dissertation defense).

[3] International and non-resident students paid as RA's must register ONLY for Thesis Research (ANAT 7970) in the semester in which cumulative registration exceeds 84 credit hours as a University of Utah graduate student, and in all subsequent TBP semesters.

[4] All students should register ONLY for 3 credit hours of Thesis Research (ANAT 7970) once they have exhausted their TBP.

[5] RA, Graduate Research Assistant, PAN job code 9314, Exempt; TA, Graduate Teaching Assistant, PAN job code 9416, Exempt; GA, Graduate Assistant, PAN job code 9330, Exempt; 9331, Hourly; GF, Graduate Fellow. For more information see definitions at http://gradschool.utah.edu/tbp/tuition-benefit-program-guidelines/ or the Executive Secretary in the Department office.

Second year:

1. Coursework: The second year course work required for MB and other departmental students is described above (see Course Requirements) in Section I: page 1. Students in the Neuroscience program must complete the second year course requirements of this program.

2. Tuition Benefit Program (TBP), credit hours and financial support (more detail in Section II, Policy on Tuition Payment and: http://www.gradschool.utah.edu/tbp/guidelines.php): The Graduate School provides tuition waivers to students for 10 semesters (8 semesters for students entering with a Master's degree) as a form of financial support. To qualify for a tuition waiver, students are required to maintain between 9-12 credit hours in both Fall and Spring semesters, and maintain a 3.0 GPA. The number of credit hours for which students must register depends on whether or not the student is a Utah resident, the number of years he/she has been a graduate student, and the source of the student's stipend, as summarized in the guidelines in Table 2.

   If the student is supported by an externally funded research grant (5000 fund) as a Graduate Research Assistant (RA) and doing research for that project, he/she should register for 9-11 credit hours in Fall and Spring and 3 credit hours in the Summer to maintain a tuition waiver. The Graduate School will pay for summer registration for all students who are currently paid off of a "5000" account (research grant account) as an RA (see Section IIB, Policy on Tuition Payment). Registration for 3 credits in Summer allows students to avoid paying FICA taxes on their summer stipend. If the student does not qualify for this program, he/she will need to pay for summer registration himself or choose not to register (it is not required to maintain full-time status). *Failure to register for the required number of credits will result in the student being held responsible for payment of tuition. If the student exceeds the maximum credit hours, the student will be required to pay for the additional courses.*

   The Graduate School provides tuition waivers to students for 10 semesters (8 semesters for students entering with a Master's degree). However, if a student is supported on a fellowship or training grant that pays tuition, he/she remains eligible for any 'unused' semesters of tuition waivers from the Graduate School. Students are encouraged to apply for fellowships and/or positions on training grants. Websites of potential funding opportunities are listed in the Introduction to this Handbook.

3. Preliminary ('Qualifying') Examination: The Preliminary Examination should take place at the end of the second year, once the second year course work has been completed. If the exam does not take place within the second year, it should be scheduled for the *first semester* of the third year. *Note that if the Preliminary Examination takes place during the summer semester, the Graduate School requires that the student register for at least 3 credit hours of Thesis Research.*

   - **Students may not schedule their preliminary exam until the exam committee has been approved by the DGS.**

   The Preliminary Examination committee for MB and other departmental students will consist of five faculty members: three or four from the department and at least one outside member. One member must be designated at the Chair of the Committee. Students should file "Establish a Preliminary Exam Committe*e"* form (Appendix *vi*) with the DGS prior to the initial committee meeting. The DGS or Administrative Secretary will enter this committee

into Graduate Student Degree Tracking as the Supervisory Committee, with a comment that this is a Preliminary Exam committee. The student's advisor will not participate in the exam, but may be present at the exam and committee meetings. The protocol for the Preliminary Examination and helpful information about preparation for the Exam are found in Section II of "Guidelines for Scientific Presentations and the Preliminary Exam" on the departmental website: www.neuro.utah.edu. Neuroscience students in the department must follow the requirements of the Neuroscience program for the establishment of the preliminary exam committee.

a. Initial meeting (optional): The student may elect to convene an initial meeting of the prelim committee to review coursework, research to date, etc. This may not be necessary if members of the SYAC are also members of the preliminary exam committee.
b. Abstracts: The student will present two, 1-2-page abstracts to the committee one week prior to the abstract meeting. The subject area of the proposal should be distinct from the area of the student's dissertation research since this exam is intended to determine the student's ability to think creatively and independently.
c. Abstract meeting: At this and all subsequent meetings the committee will initially meet briefly without the student. A chairperson will be selected at the first meeting. The student should prepare a 10-minute oral presentation of each abstract, although the committee may ask to hear only one. The committee may select one of these topics for a full proposal or may choose another topic if neither of these is appropriate. If the student is required to substantially revise their abstracts or generate new abstracts, a second abstract meeting will be held. The chair will provide a written summary of the outcome of the meeting, including a brief description of required revisions of the selected abstract, and circulate the document to the student, the student's mentor and the preliminary exam committee.
d. Examination: 6-8 weeks following the abstract meeting, a full proposal will be presented. The written proposal must be turned in one week before the exam date. The format and length should follow the current guidelines for an NIH/NRSA proposal.* Students are allowed to seek advice on preparing abstracts and on the written proposal from fellow students, postdocs and faculty *with the exception that their mentor may NOT participate in preparation of either the abstracts or the proposal*.

   Students should prepare a 20 minute oral presentation of the proposal for the examination, with the understanding that the committee may ask questions at any time during the presentation. There will also be a comprehensive component to the exam based upon the course work that the student has completed. The advisor may be present during the oral presentation and exam, but may not participate and will leave during the committee's final discussion and vote. The student can pass, conditionally pass or fail the examination. If the student passes conditionally, the committee may require additional course work, re-examination on limited subject material or rewriting of the proposal. If the student fails the examination, he/she may have one chance to retake the exam at the discretion of the committee. If a student fails the exam a second time, he/she will be dismissed from the program.

   *NIH/NRSA guidelines: http://apply07.grants.gov/apply/UpdateOffer?id=16446

Following the examination (regardless of the outcome), the chair of the exam committee must complete the departmental "Report of Preliminary Examination" form (Appendix *vii*).

The student should file this form and a copy of the exam proposal with the DGS. Remember to bring a copy of this form to the exam.

- **Students will not pass the Preliminary Examination until this form and a copy of the exam proposal are submitted.**

The DGS will enter the date of successful completion of the exam in Graduate Student Degree Tracking. After the chair of the Preliminary Exam committee verifies electronically that the student has passed the preliminary exam, the student advances to candidacy. Dissertation /Supervisory Committee: Following successful completion of the preliminary exam the student must establish a supervisory (dissertation) committee and submit the "Establish a Supervisory Committee" form (Appendix *viii*) to the DGS. The DGS will amend the Supervisory Committee in Graduate Student Degree Tracking to reflect the new composition.

- **Students may not schedule a dissertation proposal meeting until the supervisory committee has been approved by the DGS.**

The Department of Neurobiology and Anatomy follows the general requirements of the Graduate School for doctoral dissertations. As per these regulations, the supervisory committee consists of five faculty; at least three must be regular (i.e. tenure-track) faculty with their primary appointment in Neurobiology and Anatomy (i.e. must not be Adjunct Faculty), and one must hold a primary appointment in another department. Faculty who hold an adjunct appointment in the Department can serve as the outside member of the committee. Some or all of the members may have served on the Second Year Advisory committee or the preliminary exam committee.

NB: Selection of the supervisory committee should be done very carefully! The supervisory committee is responsible for approving the student's academic program, approving the dissertation proposal, judging the student's progress on their dissertation project, and administering, judging and approving the final oral examination (dissertation defense) and dissertation. The supervisory committee will work with the student to help him/her complete a body of work that that merits the award of a doctorate degree. Consequently, it is important to select people who have expertise in areas pertinent to the proposed research, but also people with whom the student can communicate comfortably. The committee has full authority to determine when the student has completed their research. It is important that students make an ongoing effort to keep their committee informed of *any important changes* in their project and solicit the committee's advice and cooperation in addressing any issues that arise.

4. Teaching Assistantships: The Molecular Biology Program requires that students admitted through this program TA one course. TAing one course is strongly recommended for all students. Students are not compensated financially for required TAships. However, if a student receives a salary for TAing an additional course, it is their responsibility to ensure that they do not exceed the 0.74 FTE status that allows them to be considered 'part-time employees,' otherwise their stipend will be reduced to maintain part-time status. The student must negotiate all TAships with their advisor, and the advisor must agree in writing (*Consent to Teaching Assistantship Form*, Appendix *v*) for each course the student TAs. For the semester in which the student TAs, the student's stipend will be reduced by whatever amount of salary is offered by the TAship (i.e. the student's total salary will be unchanged). The

reduction in stipend reflects the fact that graduate research is considered a full time occupation; devoting time to the TAship will reduce the time spent conducting research.

5. In May or June of the second year, the student must meet with the Director of Graduate studies to review third year requirements of the department. It is the responsibility of the student to schedule this meeting.

Third Year:

1. Dissertation Proposal: The student will present a dissertation proposal to the supervisory committee within the six months of completion of the Preliminary Examination. The purpose of the proposal is to ensure that the student has an appropriate and feasible research plan that will result in timely completion of the doctorate degree. The proposal should use the current NIH/NRSA style similar to that of the preliminary exam.*
   *NIH/NRSA guidelines: http://apply07.grants.gov/apply/UpdateOffer?id=16446

   Students must give a copy of the proposal to the committee one week before the committee meets. At the beginning of this and all subsequent committee meetings, the committee will meet briefly without the student. The student should prepare a short (20-25 minutes) oral presentation that focuses on the most significant parts of the proposal. The committee may begin examining the student on the proposal during the oral presentation. The student is expected to be the expert in the room of the topic of the proposal. The student may be asked to revise some or all of the aims. If revised, the proposal must be resubmitted to the committee and a second meeting held to approve the revised proposal.

   When the dissertation proposal has been approved, the student should submit a "Report of the Supervisory Committee Meeting" form (Appendix *ix*) to the DGS, so that the approval can be entered in Graduate Student Degree Tracking. After every subsequent meeting of the supervisory committee, students must also file a "Report of the Supervisory Committee Meeting" form that summarizes the student's progress, goals for the next meeting and recommendations of the committee (see Dissertation work below). **All committee members must approve of and receive a copy of each report, and a copy should be placed in the student's file after every meeting.**

2. Course work: See Course Requirements on Section I, page 1. Students (except international and non-resident students, see **NB** below) are required to register for the departmental RIP (ANAT 7720; 1 credit) at least one semester and/or a journal club (ANAT 7740) the other semester **every year**, as long as they are receiving a tuition waiver.

   NB: To reduce the cost of the tuition waiver program, the Graduate School requires that international students and non-residents supported on "5000 accounts" as RAs **not** register for RIP (although they must attend and present) or any other classes that receives a grade in the semester in which cumulative registration exceeds 84 credit hours of graduate work at the University of Utah. In that semester and in subsequent semesters, international student and non-resident RAs should register for 9 credits of Thesis Research (ANAT 7970). A total of 9-12 credit hours must be maintained to maintain the tuition waiver.

   Students supported by an externally funded research grant (5000 fund only) and doing research for that project (i.e. RAs) should register for 9-11 credit hours in Fall and Spring and 3 credit hours in summer to maintain tuition waiver. Students supported by other means

should register for 9-12 credit hours in Fall and Summer only. *However, if a student is to be examined (Preliminary Exam or Final Oral Examination (Dissertation Defense) during summer semester, the Graduate School requires that the student be registered for at least 3 credits of Thesis Research during the summer.*

3. In May or June of the third year, the student must meet with the Director of Graduate studies for an annual meeting. It is the responsibility of the student to schedule this meeting.

Fourth and Subsequent Years:

1. Dissertation research: The student should meet with their supervisory committee every six months, but **no less than once a year**. One week prior to each meeting, the student should send to their committee a copy of the previous "Report of the Supervisory Committee Meeting," a **one page** summary of their progress **since the last meeting**, and an outline for the upcoming meeting. In each committee meeting, the student will present their research progress to date, update their timetable, outline any changes to their research plan, and set goals and a tentative date for the next meeting. Immediately following **each meeting** the student's advisor, in consultation with the student, will prepare a "Report of the Supervisory Committee Meeting" form (Appendix *ix*), summarizing the student's progress, goals for the next meeting and recommendations of the committee. The report must be sent to all committee members for their approval within two weeks of the meeting. Upon receipt of approval of all committee members, the student will submit the approved form to the DGS, who will place a copy of the report in the student's file.

2. Course work: see Year 3.

   NB: Tuition benefit support from the Graduate School is provided for a total of 5 years (see departmental policy on Tuition Payment, Section IIB), or 4 years if the student enters with a Master's degree. After the tuition waiver period is over students should register for 3 credits of Thesis Research ONLY (ANAT 7970) to maintain minimum registration requirements. From this point on, tuition must be paid by the student's advisor. *If a student is to be examined during summer semester, the Graduate School requires that the student be registered for at least 3 credits of Thesis Research during the summer.*

3. Annual meeting with the Director of Graduate Studies: Students must continue to have an annual meeting with the DGS in May or June of each year.

4. Advanced Student Review (ASR): It is important for students to complete their doctoral studies in a timely fashion. To facilitate this, the student's PhD committee will conduct a formal review of students entering their 5th year of graduate study. This review evaluates the advancement of students toward the completion of their studies, and assesses the alignment of mentor, student and committee on achieving this goal. All students in their 5th year and beyond must complete the ASR documents (see below) unless they have already set a defense date during the fall semester of the formal review process.

   For the Advanced Student review:
   a) The student and mentor meet and **create a dissertation outline and realistic timetable** to complete studies.
   b) The student provides the following to the committee at least 3 days prior to the ASR meeting:
   - A brief dissertation outline, one sentence per chapter

- A brief summary of dissertation research progress, less than one page
- A proposed timetable for completing the dissertation

c) **During the ASR meeting**, the committee, student and mentor discuss the student's accomplishments and trajectory toward completion of studies.
d) The committee may request a revision to ASR documents. The final revision must be provided to the DGS and all committee members.

5. Time limits: Students must complete the Ph.D. degree within **seven consecutive calendar years** from the date of matriculation into the University. Requests to exceed established time limits must be recommended by the student's supervisory committee and approved by the departmental DGS and the dean of the Graduate School.

6. The dissertation: The Department of Neurobiology and Anatomy follows the general policies of the Graduate School for doctoral dissertations. The dissertation must represent a significant contribution to the scientific community, and provide evidence of originality, the ability to do independent investigation, and a mastery of a field. Students may include multi-authored articles as chapters in their dissertation, but must document their contribution to each article. The dissertation committee should ensure that the dissertation includes an original comprehensive introduction and discussion. The student should submit an acceptable draft of the dissertation to the advisor at least three weeks before the Final Oral Examination (Dissertation Defense) and to other committee members at least two weeks before the final examination.

   The Graduate School has established several important deadlines with regard to submission of the dissertation and graduation, which are listed at: http://www.gradschool.utah.edu/thesis/.

   When the student is nearing completion of the dissertation research he/she is advised to consult this website. **Note that students must submit an Application for Graduate Degree** (http://registrar.utah.edu/handbook/graduategraduation.php) **to the Registrar and the DGS must submit the Program of Study to Graduate Student Degree Tracking no later than the semester BEFORE the student's defense**. It is the student's responsibility to inform the DGS of his/her expected defense date in sufficient time. *Students must be registered during the semester they have their Final Oral Examination (Dissertation Defense).* If the oral exam occurs during the summer semester, the student must register for at least 3 credit hours of Thesis Research.

   - **Students may not schedule their defense until the Application for Graduate Degree and Program of Study have been submitted.**

   When the student and supervisory committee feel the student is ready to defend, the supervisory committee will set a date for the Final Oral Examination (dissertation defense). As soon as the date is set, but no less than 2 weeks before the scheduled date, the student should notify the DGS and the Administrative Secretary of the Department of Neurobiology and Anatomy, who will arrange a room for the defense and distribute flyers announcing the defense. The student must provide each committee member with a copy of the dissertation at least two weeks before the scheduled oral exam (defense).

7. The student must pass a Final Oral Examination (dissertation defense) on their dissertation research before graduation. The first part of the exam is a public oral presentation of their

work, after which the student's supervisory committee will carry out further questioning. Once the supervisory committee agrees that the student has written and successfully defended an acceptable dissertation, the student must submit signed "Supervisory Committee Approval" and "Final Reading Approval" forms (http://www.gradschool.utah.edu/thesis/index.php) to the Graduate School, and file a photocopy of the forms with the DGS. The DGS will enter the date that the student completed their dissertation in Graduate Student Degree Tracking.

8. Filing of the Dissertation: The final version of the dissertation must be prepared according to the "Handbook for Theses and Dissertations" and submitted to the University. The "Handbook," deadlines for format approval, filing and thesis release are given on the Graduate School website at: http://www.gradschool.utah.edu/thesis.

9. Following completion of the degree, students must have a final exit interview with the DGS and file an Exit Interview/Check-out Form (Appendix *x*) with the Department office.

Requirements for MD/PhD students joining the Department of Neurobiology & Anatomy:

The MD/PhD program (http://medicine.utah.edu/mdphd/) and an additional **9 credits of graduate coursework**. For students joining the Department of Neurobiology & Anatomy this must include:

1. Two semester-long graded courses, one of which must be didactic. The specific courses will be chosen with the advice of the advisor depending upon the proposed dissertation research (although one class offered from the department is recommended). If necessary, the student can convene an advisory committee to guide them in choosing courses (comparable to the department's second year advisory committee for incoming Molecular Biology students. This would be a 3-person committee from faculty in the department to simply advise on classes).
2. A one-credit research ethics class (MBIOL 7570).

In addition, students are required to register for and attend the weekly RIP in the department (ANAT 7720).

If the supervisory committee deems additional coursework to be necessary, then the student will be asked to do this.

Otherwise, all other Neurobiology & Anatomy Department graduate student requirements apply to MD/PhD students (except the supervisory committee which must meet the MD/PhD program guidelines by having one member selected from the MD/PhD Advisory Committee).

Information for International Students

There are a number of issues unique to international students and a number of resources on campus that provide assistance in dealing with them. Up-to-date information can be found on the website of the International Center (http://ic.utah.edu/students). Students who have additional information that may be helpful to other students or who have encountered problems not covered here are encouraged to inform the DGS so that future students can benefit from your experience.

1. **International Teaching Assistant (ITA) workshop**. Before international students can undertake a Teaching Assistantship, they must have clearance from the Graduate School's International Teaching Assistant Program. See http://www.gradschool.utah.edu/ita for information.

2. **English for Speakers of Other Language (ESOL) courses**. The University of Utah offers a variety of resources to assist students in improving their written or spoken English. For information on ESOL resources see http://www.gradschool.utah.edu/ita.

3. **Health Insurance requirement.** All new international students will automatically be enrolled in the University of Utah Student Health Insurance Plan administered by United Healthcare Student Resources. Students with existing insurance plans may be eligible to apply for a waiver of the insurance requirement if their coverage is **equivalent to or better** than the plan offered by the University. See http://studenthealth.utah.edu/services/international.htm for more information.

4. **Nonresident tuition**. All international students are considered nonresident with respect to tuition. A full tuition schedule for nonresidents can be found at: http://fbs.admin.utah.edu/income/tuition/general-graduate/. The cost of tuition for nonresidents is approximately three times the cost for residents *with the exception* of the tuition charged for 'Thesis Research' credits (ANAT 7970). For Thesis Research, tuition charges are the same for residents and nonresidents.

   Typically, for the first 5 years of graduate school, tuition is paid for with a tuition waiver from the Graduate School. Four years of tuition waiver are allowed for students entering with a Master's degree from another school. To keep the cost of the tuition waiver program as low as possible, the Graduate School requests that international students (and other nonresident students) supported on "5000" accounts (i.e. RAs) register ONLY for Thesis Research credits in the semester in which cumulative registration exceeds 84 graduate credit hours at the University of Utah, and in subsequent semesters in which they receive a tuition waiver. Once students are no longer eligible for tuition waiver, they can maintain continuous full time status required by the Graduate School by registering for 3 credits of Thesis Research (ANAT 7970) in Fall and in Spring Semesters. **NOTE:** If at any time after they reach 84 credit hours, international students register for ANY courses other than Thesis Research, the ENTIRE tuition bill for that semester (*including* Thesis Research credits) will be charged at the nonresident rate.

5. **Summer registration.** The Graduate School will pay for summer registration for all students who are currently paid as a Graduate Research Assistant (RA) from a "5000" account (research grant account) (see Section II). If you do not qualify for this program, you will need to pay for summer registration yourself or choose not to register. International students are required to be registered full time for two consecutive semesters in each

academic year to maintain student visa status. If you have been registered full time (at least 9 credits) for Fall and Spring semesters this year, you are allowed to take a "vacation" semester, without affecting your visa status. You will need to file a "Vacation Semester Form" in the International Center indicating you will not be enrolled in classes in summer. *As for all students, you must be registered for summer classes if your Preliminary Exam or Final Oral Examination (Dissertation Defense) takes place in summer semester.*

6. **International student fee**. For every semester, international students are required to pay an international student fee (currently $75.00), in addition to their tuition. This fee is *not* paid by the tuition benefit program run through the Graduate School and must be paid by the student's advisor.

7. **The International Center** (410 Olpin Union; 1-8876); http://ic.utah.edu/students/) has a variety of resources to assist international students. In particular, if you intend to leave the country, you must have the International Center certify that you are a student in good standing by signing your I-20 form in your passport *or you will not be allowed to re-enter the country. The I-20 signature is valid for only 6 months.*

8. **Curricular practical training**. International students are generally not allowed to hold jobs to supplement their income. Holding a job results in students being considered "out of status" for their visa, which can result in deportation or denial of reentry into the country. The "Curricular Practical Training" (CPT) form available at the International Center allows international students to work off campus for up to 20 hours/week as a means of gaining experience in their field. If you would like to earn additional income and are able to find a position that relates to your degree program (teaching in a junior college, for example), this form will enable you to work off campus. The form must be renewed *every semester.* You are allowed to work *on campus* with a letter from the student center. There is also an "Optional Practical Training" (OPT) form that allows you to work for up to one year post graduation in your field without a change in visa status. If you use the CPT for more than a year full time, you are not eligible for the OPT. Information about these programs is available at: http://ic.utah.edu/students/current/employment.htm

9. **Spousal employment:** The spouses of international students are generally granted an F2 visa, which does not allow them to be employed in the United States. Under the NAFTA trade agreements, there are some limited exceptions for spouses of students from Canada or Mexico. For more complete information on spousal employment consult the International Center (http://ic.utah.edu/students/).

Section II: Departmental Policies

A. Academic Performance and Conduct

Student Rights and Responsibilities

As stated in the University of Utah Code of Student Rights and Responsibilities ("Student Code": http://www.regulations.utah.edu/academics/6-400.html), "Students at the University of Utah are members of an academic community committed to basic and broadly shared ethical principles and concepts of civility." Students are expected to treat others and to be treated with integrity, autonomy, justice, respect and responsibility. If a student in the Department perceives inappropriate conduct or a violation of ethical principles either toward themselves or others, or is accused of such, they should first discuss their concerns with their mentor or the involved faculty member. If the mentor has a conflict of interest, students may bring their concerns to their supervisory committee, to the Director of Graduate Studies (DGS), or to the Department Chair. The Department Chair should be informed of all instances of perceived academic misconduct, as described below. The Department encourages informal resolution of problems, but concerns regarding inappropriate conduct or ethical issues that cannot be resolved informally by mutual consent with all parties will be handled as outlined in the Student Code. Specific department policies on academic standards, academic misconduct and resolving student-mentor difficulties are described below.

Students who feel they may have a disability for which they would like to seek accommodation should consult the U of U Center for Disability Services at: http://disability.utah.edu/ [(801) 581-5020; 200 S. Central Campus Drive, Room 162].

The University of Utah is committed to ensuring a quality environment where all members of the university community are treated in an equitable and fair manner. Students who feel they have been subjected to illegal discrimination or harassment may consult the University of Utah Office of Equal Opportunity and Affirmative Action at: http://www.oeo.utah.edu/ [Park Building, Rm 135, (801) 581-8365]

Policy on Standards of Academic Performance

The Department of Neurobiology and Anatomy at the University of Utah is a degree granting department. It is the responsibility of the Department to train graduate students and to monitor the progress of students and assure that all requirements for graduation are satisfactorily completed.

The department (also referred to herein as the Program) maintains high academic standards. Occasionally, unacceptable or incomplete academic performance will require assessment of the student, and appropriate action. Examples of situations requiring attention are: 1) failure to pass all courses (grade of B- or better); 2) GPA (either cumulatively or in a particular semester) of less than 3.0; and 3) unsatisfactory completion of laboratory rotations or research performance. In addition, even in the absence of the triggering criteria listed above, an unsatisfactory pattern of academic performance may require an assessment of the student and the need for appropriate action. The student, the student's advisor, the Director of the Graduate Studies in Neurobiology and Anatomy (DGS), and the departmental Graduate Education Committee (GEC) will be notified of perceived failures to meet the academic standards. The student's advisor in conjunction with the GEC will decide on an appropriate action and the decision will be reported

to the student and DGS. Unacceptable academic performance could lead to a maximal sanction of dismissal from the Program (see Student Code, University Policy 6-400; http://www.regulations.utah.edu/academics/6-400.html).

In cases requiring dismissal from the Program, the DGS will file a "Recommendation for Change of Graduate Classification" form with the Graduate Records Office. The student may appeal the decision, following the procedure outline in the Student Code (University Policy 6-400).

Policy on Standards of Academic Conduct

In a research environment, there is an absolute need for trust between a student and their mentor. Students in the department are held to the highest standards of academic and professional integrity, and academic misconduct will not be tolerated. Academic misconduct includes but is not limited to 1) cheating, 2) plagiarism, 3) misrepresenting one's work, 4) fabrication or falsification of data, and 5) intentionally helping another person commit an act of misconduct.

Students committing misconduct can expect up to three levels of sanction; sanctions imposed by the instructor(s), sanctions imposed by the Program, and sanctions imposed by the University. An instructor may impose a maximum sanction of failing the student in the course. The Program could expel the student from the Program, and the University could expel the student from the University or even revoke a previously awarded degree. For each level of sanction, the student has the right to appeal. All cases of misconduct will be documented in the student's file.

Definitions of Academic Misconduct

Because many graduate students are funded by training and research grants and must abide by federal standards, it is important to know the definition of scientific misconduct as the government defines it:

National Academy of Sciences Definition of Misconduct in Science
Misconduct in science is defined as fabrication, falsification, or plagiarism, in proposing, performing, or reporting research. Misconduct in science does not include errors in the recording, selection, or analysis of data; differences in opinions involving the interpretation of data; or misconduct unrelated to the research process.

University Policy Definition of Academic Misconduct
The University Student Code (http://www.regulations.utah.edu/academics/6-400.html) further describes activities that constitute academic misconduct and academic sanctions that may be imposed, as follows:

1. "**Academic misconduct**" includes, but is not limited to, cheating, misrepresenting one's work, inappropriately collaborating, plagiarism, and fabrication or falsification of information, as defined further below. It also includes facilitating academic misconduct by intentionally helping or attempting to help another to commit an act of academic misconduct.

    a. "**Cheating**" involves the unauthorized possession or use of information, materials, notes, study aids, or other devices in any academic exercise, or the unauthorized communication with another person during such an exercise. Common examples of cheating include, but are not limited to, copying from another student's examination, submitting work for an in-

class exam that has been prepared in advance, violating rules governing the administration of exams, having another person take an exam, altering one's work after the work has been returned and before resubmitting it, or violating any rules relating to academic conduct of a course or program.

b. "**Misrepresenting one's work"** includes, but is not limited to, representing material prepared by another as one's own work, or submitting the same work in more than one course without prior permission of both faculty members.

c. "**Plagiarism**" means the intentional unacknowledged use or incorporation of any other person's work in, or as a basis for, one's own work offered for academic consideration or credit or for public presentation. Plagiarism includes, but is not limited to, representing as one's own, without attribution, any other individual's words, phrasing, ideas, sequence of ideas, information or any other mode or content of expression.

d. "**Fabrication**" or "**falsification**" includes reporting experiments or measurements or statistical analyses never performed; manipulating or altering data or other manifestations of research to achieve a desired result; falsifying or misrepresenting background information, credentials or other academically relevant information; or selective reporting, including the deliberate suppression of conflicting or unwanted data. It does not include honest error or honest differences in interpretations or judgments of data and/or results.

2. "**Academic sanction**" means a sanction imposed on a student for engaging in academic or professional misconduct. It may include, but is not limited to, requiring a student to retake an exam(s) or rewrite a paper(s), a grade reduction, a failing grade, probation, suspension or dismissal from a program or the University, or revocation of a student's degree or certificate. It may also include community service, a written reprimand, and/or a written statement of misconduct that can be put into an appropriate record maintained for purposes of the profession or discipline for which the student is preparing.

Resolving Academic Misconduct Issues

The department and University encourage informal resolution of minor problems involving standards of academic conduct. Students are urged to discuss problems with the involved instructor(s) and/or their advisor. Faculty may place letters of concern of conduct in the student's file if warranted.

A more formal process is required when there is a serious violation or if a student is charged with a second instance or multiple instances of academic misconduct. This process is detailed in the section entitled "Procedures to Resolve Academic Issues" of this document. All accusations of cases of misconduct that are verified in this process will be documented in the student's file.

Student Pledge

I pledge to follow and promote these standards while a student in the Department of Neurobiology and Anatomy. I will strive to achieve academic excellence through diligent work, seeking help and guidance from department faculty, and by conscientiously attending to any remedial work required. I will not commit acts of misconduct and will promote the department's position by maintaining the highest standards of ethical conduct.

I acknowledge that I have received a copy of the **Policy on Standards of Academic Performance and Policy on Academic Conduct of the Department of Neurobiology and Anatomy,** and that I have read and understand this statement and will follow the rules described therein. I further acknowledge and agree that it is my responsibility to ask questions about anything I do not understand.

Student Signature: _____

Date: _____

B. Other Policies

Policy on Health Insurance

Basic individual student health insurance will be paid for by the student's advisor. The decision to insure a student's family will be left to the individual investigator on a student-by-student basis. Students will be notified by the Director of Graduate Studies upon joining the Department that basic individual student insurance is guaranteed (including vision and dental coverage) and that increased coverage ("buy-up") and/or family insurance must be negotiated with their advisor. *The Department recommends that students requesting increased coverage or family insurance coverage be asked to support half of the additional cost*. Information about costs and benefits of the university's student health insurance plan offered through United Healthcare Student Resources can be found at http://studenthealth.utah.edu/services/SHI.htm

Policy on Parental Leave

A new parent (student or postdoc) is entitled to six weeks of leave with full pay and benefits following the birth or adoption of a child. The six week leave may be taken by either parent, or split between parents. New parents are also entitled to take up to an additional six weeks of leave without pay, if they so choose, although this could reduce their tuition benefit. The parental leave should be completed within six months of the arrival of the new child, and may only be taken for purposes relating to childcare. Under normal circumstances students should arrange the leave time with their advisor and DGS at least 30 days in advance. Although we do not anticipate any conflict, this policy might be superseded by an external agency, such as University policy or by the requirements of a funding organization.

Policy on "Transfer" Students

If a student wishes to join a laboratory in which he/she has not done a formal rotation, the student should be accepted on probation for a period of 6-8 weeks. The advisor and student should agree in writing on criteria that must be met during the probationary period in order for the student to remain in the lab. During the probationary period the advisor will provide a stipend to the student at a level commensurate with that of other students in the department. At the end of the probationary period, the advisor should inform the DGS of the formal acceptance of the student. The DGS will update the student's records Graduate Student Degree Tracking system, and file a Change of Graduate Classification form, if necessary.

Policy on Teaching Assistantships

TA-ing one semester is strongly recommended for all students. The Molecular Biology Program requires that students admitted through this program TA one course. The student must negotiate all TA-ships with their advisor, and the advisor must agree in writing ("Consent to Teaching Assistantship" form, Appendix *v*) for each course TA-ed.

Policy on Tuition Payment

Tuition rates for non-resident (international and out-of-state national) students are approximately three times the rates charged to Utah residents (consult the *Information for International Students*, section I). Students who are not residents of the state of Utah are *required to file for residency* as soon as they meet eligibility requirements. Information on obtaining Utah residency is available at: http://admissions.utah.edu/residency/.

The Graduate School provides tuition waivers to students as a form of financial support. To qualify for a tuition waiver, students are required to maintain between 9-12 credit hours in both Fall and Spring semesters, and to maintain a 3.0 GPA. Failure to register for the required number of credits will result in *the student being held responsible for full payment of tuition*. If the student exceeds 12 credit hours, *the student will be required to pay for the additional courses*.

The Graduate school provides tuition waivers (Tuition Benefit Program) for a total of 10 semesters (5 years). If a student is supported on a fellowship that pays tuition, they remain eligible for any 'unused' semesters of tuition waivers from the Graduate school. If a student enters the PhD program with a Master's degree in a related discipline, the Graduate school will provide tuition waivers for only 8 semesters (four years). Students with a Master's degree must inform the Director of Graduate Studies and their advisor of this fact when they are accepted into the Department. Information on tuition waivers is available at:
http://gradschool.utah.edu/tbp/guidelines.php

Once a student is no longer eligible for tuition waiver, the responsibility for payment of full-time tuition falls upon the student's advisor. The Department recommends that students register for the minimum of credits required to maintain full time status (3 credit hours of Thesis Research, ANAT 7970, per semester). For international students, Thesis Research credits will be billed at the *Resident* tuition rate. If international or non-resident students who are paid from a "5000" account (i.e. RAs) register for non-thesis research credits during or after the semester in which their cumulative registration reaches or exceeds 84 hours of graduate credit, the entire tuition for that semester will be billed at the *Nonresident* rate. The difference in tuition will be *the responsibility of the student*.

During summer semester students *do not* need to register for classes to maintain continuous registration status or to qualify for tuition waivers. *If a student is being examined in summer semester (Preliminary Exam or Final Oral Examination (dissertation defense), the Graduate School requires that the student register for at least 3 credit hours of Thesis Research.* If a student is currently being paid from a "5000" account as an RA and registers for 9-11 credit hours in the Fall and Spring semesters, the Graduate School will pay for full time summer registration (3 research credit hours). The Executive Secretary will assist you in determining whether you qualify for this benefit. Summer tuition paid by the Graduate School is in addition to the 10 semesters of tuition payment you normally receive, and will not affect this benefit.

NB: International student should consult the *Information for International Students* (Section I) for regulations on tuition that apply uniquely to them.

Policy on Vacation and Work Hours

The NIH, the Graduate School, the Neuroscience program, the Molecular Biology program and the Department all agree that being a graduate student is a full time job. Many fellowships and awards explicitly stipulate that students are not allowed to take vacation time while supported on the grant. The departmental policy may be superseded by policies of granting agencies.

The policy of the department is that students are expected to work **full time** in the laboratory (a minimum of 40 hours per week).

Students are free to negotiate vacation time with their advisors, with a recommended 2 weeks vacation per year. Any time away from the laboratory must be approved by the advisor.

The Department recommends that students do not pursue employment outside of the laboratory due to the high likelihood that such activity will delay the completion of their doctorate and impair the quality and quantity of their research. Second positions that interfere with the full time work of the student must be approved by the advisor.

NB: It is in the best interest of the student to consider graduate research a full time position. Working consistent hours in the laboratory will minimize the time required to complete the Ph.D. In most cases, student salaries are paid from grant funds--funds that will not be renewed if the work is not completed. Any activity that delays the timely completion of your project not only affects how long it takes you to graduate, but could seriously impair the ability of your advisor to support you and other people in the laboratory.

Policy on Dismissal from the Program

While most students succeed in our program, there are situations where graduation is not an option and a student may be dismissed from the program. These may include:

- Failure to pass all courses (grade of B- or better)
- GPA (either cumulatively or in a particular semester) of less than 3.0
- Unsatisfactory completion of laboratory rotation or research performance
- Failure to pass a milestone exam
- Behavioral, academic or scientific misconduct
- Failure to find a dissertation laboratory
- Failure to make timely progress toward completion of the doctoral degree as determined by the student's supervisory committee.

Dismissal of a student from the program will be carried out in compliance with University of Utah Policy 6-400."

Policy on Graduate Fellowships and Training Grants

It is in your best interest to apply for and obtain independent funding for your graduate research for at least four reasons:

1. Writing a grant is an excellent educational experience. Grantsmanship is an important part of a scientific career, and it is well worth making an effort to develop your skills in this area. Writing a grant on your own research will also help solidify your ideas and will improve your dissertation proposal.
2. Graduate fellowships are often more lucrative than the standard graduate stipend, so it is in your financial interest to apply for them.
3. Successfully competing for funding as a graduate student is a mark of distinction that will help you to move ahead in your career. Potential postdoctoral advisors and industry employers give added consideration to candidates who have successfully obtained funding for their projects. You might seriously consider submitting your defended dissertation proposal as an NIH/NRSA application.

4. Being independently funded relieves your advisor of the financial burden of supporting you (freeing funds for other students or for the support of research in the lab) and also insulates you from any changes in funding your advisor may experience.

Websites containing information on funding opportunities are listed in the Introduction to this Handbook.

Section III: Departmental Procedures

A. Procedure for Resolving Problems in a Student-Faculty Advisor Research Relationship

Occasionally problems arise in the research relationship between a graduate student and faculty advisor. We encourage open communication and informal problem resolution but ultimately either the graduate student or the mentor may wish to terminate the research relationship because of dissatisfaction. It is important that both parties respect the needs of the other. The following guidelines are designed to help accomplish this.

Note that at any stage during the processes described below, the student may confer with his/her supervisory committee and/or the DGS, who will serve as an advocate for the student.

If either the student or faculty advisor is dissatisfied with the research relationship, they should make every effort to communicate their concerns to the other at an early stage of dissatisfaction. However, if the perceived deficiencies persist and they are unable to resolve their concerns informally, they should initiate the following procedures:

- Schedule a meeting between the advisor and student in which they document <u>in writing</u> the specific concerns, the steps required to remedy the problems and a reasonable time frame to resolve the issues. The student may wish to invite the DGS to this meeting.
  - This document should be signed by both advisor and student, and a copy given to the DGS to place in the student's file.
  - If deficiencies are corrected within the probationary period, this should be documented in writing and a copy of this letter sent to the DGS.

- If the issues are not resolved within the designated time frame, the student and/or advisor should schedule a meeting with the supervisory committee, including the DGS if desired, to work toward resolving the situation. The student and/or advisor should document the outcome on a "Report of the Supervisory Committee form" (GSHB Appendix *viii*) and circulate the document to all committee members and the DGS.

- If after these steps, the student or advisor wishes to dissolve the research relationship they should notify the other party and the DGS in writing, giving reasons for the dissolution and listing a termination date at least 15 days after the date of the letter.

- The advisor should keep the student on his/her payroll for 30 days after the date of the notification letter to allow time to obtain a new research advisor, unless a new advisor puts the student on a payroll before the end of the 30 days.
- The student must turn over all data and notebooks organized in a manner that will allow the advisor to continue the work. If these materials are not turned over within 30 days, any pay will be withheld until the data and notebooks are received.
- If the student disagrees with the decision of the mentor, he/she may submit, within 10 days of receipt of the notice of dismissal, a written appeal to the DGS, who could then determine whether to involve the Graduate Education Committee, depending on the nature of the problem.

- A student who chooses to move to another laboratory and start a new project will most likely need to establish a new supervisory committee, and prepare and defend a new dissertation proposal. If the student is unable to identify another laboratory in which to do dissertation research, the student will be dismissed from the program.

B. Procedure for Implementing Standards of Academic Performance and Conduct

The following procedures describe the department's implementation of the Standards of Academic Performance and Standards of Academic Conduct described above and in the University's Student Code. Communication between students, the faculty and the DGS must be through email with the appropriate parties cc'd and only using utah.edu email addresses. All students are therefore required to check their University of Utah email account periodically but at least daily, in order to ensure they receive necessary communications from the Program. If requested, documents can also be provided to the student in hard copy. All actions are to be included within the student's file held in the department office.

Purpose

The Department of Neurobiology and Anatomy takes matters of academic misconduct very seriously because absolute trust is required for successful academic research and training, and because integrity and reputation are the currency on which scientists are evaluated and rewarded. Scientific misconduct can seriously harm both education and research, and can ruin careers and institutional reputations. To assure academic integrity, the department has established the following internal procedures that implement the University's Student Code. To ensure that the student has adequate counsel, the DGS may serve as an advisor for the student throughout any misconduct proceedings, although the student has a right to be accompanied by any person as advisor, including legal counsel, who may attend but not directly participate in the proceedings, as described in the Student Code, Policy 6-400.

Informal Resolution

The Student Code and the department encourage informal resolution of minor problems involving academic standards. Students are urged to discuss problems with the involved instructor(s), their advisor, the DGS, and/or the Department Chair. However, with serious violations or cases of multiple instances, a more formal resolution is required. Such cases will be handled by the departmental Graduate Education Committee (GEC).

Graduate Education Committee

The committee will consist of three faculty members: the department representative on the Steering Committee of the Molecular Biology, a department representative from the

Neuroscience Program, and an ad hoc member. If a faculty member on this committee is perceived to have a conflict of interest in the case (from the point of view of that faculty member, the GEC or the student), then another faculty member can replace them for the case review.

Standards of Academic Performance

(See Section IV of the University Student Code, Policy 6-400)

Instructor-initiated academic actions

As written in the Student Code (A), faculty members are qualified professionals capable of judging the academic performance of students in their courses. The instructor has the right to assign any final grade (including credit/no credit and pass/fail) that they feel appropriately reflects the student's performance in the course. The student has the right to appeal this grade but only on the grounds that the grade assignment was "arbitrary and capricious" (as defined in the Student Code). Appeals for grade changes must be made in compliance with the Student Code, Policy 6-400.

Program-initiated academic actions

The DGS will monitor student's progress throughout the year and inform the student, the student's advisor, the GEC, and the Department Chair of perceived failures to meet the department's academic performance standards. These failures may include, but are not limited to: 1) failure to pass all courses (core, elective and remedial) with a grade of B- or better; 2) a cumulative GPA of less than 3.0; and 3) unsatisfactory completion of laboratory rotations or research performance. If it is determined that the student has failed to meet the relevant academic standards of the program, the DGS will inform the student in writing of any academic action which may include probation, loss of financial support or dismissal from the program.

Standards of Academic Conduct

(See also: Section V of the University Student Code)

The department follows the process outlined in University Policy 6-400 to report, evaluate and act upon accusations of academic misconduct. All faculty and students should be familiar with this process.

The student's research advisor will maintain financial support for a student accused of academic misconduct throughout the entirety of the department's process, including any GEC review process. If, once the process is complete, the Department Chair decides upon termination of the student from the Program, funding will be terminated after fifteen (15) days. The advisor is not required to maintain financial support for the student if the student decides to appeal the Chair's decision to the Academic Appeal Committee of the School of Medicine.

Section IV: Appendix

Forms required by the Department of Neurobiology and Anatomy

All official documentation and tracking of student's progress is recorded electronically by the Graduate School. A designee in the Department of Neurobiology and Anatomy, either the Director of Graduate Studies (DGS) or the Administrative Secretary, submits information to Graduate Records via Graduate Student Degree Tracking for approval by the Dean of Graduate Studies. It is important that students provide the DGS with accurate information of their progress in a timely fashion using forms reproduced in the Appendix and available on the department website (www.neuro.utah.edu/education/grad_handbook/index.html). Note that many of these forms require signatures of faculty and/or the DGS. Students may verify the accuracy of their information in Graduate Records at any time via Campus Information System.

Forms required by the Department

i. Summary of Laboratory Rotations (direct admits only)
ii. Lab Acceptance (direct admits and MD/PhD students only)
iii. Faculty Agreement
iv. Establish a Second Year Advisory Committee
v. Consent to Teaching Assistantship
vi. Establish a Preliminary Exam Committee
vii. Report of the Preliminary Examination
viii. Establish a Supervisory Committee
ix. Report of Supervisory Committee Meeting
x. Exit Interview/ Check-Out form

Forms required by the Graduate School

- Application for Graduation (http://registrar.utah.edu/handbook/graduategraduation.php)
- Doctoral Supervisory Committee Approval (http://gradschool.utah.edu/thesis/forms/)
- Final Reading Approval (http://gradschool.utah.edu/thesis/forms/)
- Doctoral Statement of Approval (http://gradschool.utah.edu/thesis/forms/)

Appendix *i* (required only for direct admits)

Summary of Laboratory Rotations

Department of Neurobiology and Anatomy

Student: _____

Current Lab: _____

Rotation Advisor:	Department:	Phone:

Comments:

Appendix *ii* (required only for direct admits and MD/PhD students)

Laboratory Acceptance

Department of Neurobiology and Anatomy

Student: _____ UNID: _____

U of U GPA: _____ U of U graduate courses and grades: _____

Laboratory rotations:
Fall: _____

Spring: _____

This form is to certify that the above named student has been accepted into my laboratory as a graduate student. I am aware of any deficiencies indicated below:

☐ Because the above named student has a Master's degree, the student is only eligible for the Tuition Benefit Program for 4 years. As mentor, my laboratory will be required to pay tuition for any student who requires more than 4 years to complete their Ph.D.

☐ Because the above named student's GPA is below a 3.0, he/she is not eligible for the Tuition Benefit Program through the Graduate School. My laboratory will be required to pay the tuition for the student for the next fall semester unless the GPA can be raised to 3.0 through summer coursework.

☐ Because the above named student failed one of the courses required by his/her supervisory committee, he/she will have one more chance to take the course and petition to have it replace the previous grade. If he/she fails the course the second time, the student will be dismissed.

☐ Because the student has not received clearance from the International Training Assistants Workshop he/she will be required to take addition English training to be allowed to TA.

☐ This student has been accused/sanctioned of Academic Misconduct. Please see the student's file for details.

Director of Graduate Studies signature: _____ Date: _____

Student's signature: _____ Date: _____

Faculty Mentor Signature: _____ Date: _____

Appendix *iii* (required for all students)

Neurobiology and Anatomy Faculty Agreement

I understand that by accepting this student, _____, into my laboratory, I am committing to train this student per the Policies and Procedures of the Department of Neurobiology and Anatomy, as outlined in the Graduate Student Handbook. I understand that I am agreeing to adhere to the financial policy of the Department by paying the stipend amount set by the Molecular Biology and Neuroscience Programs, and by increasing stipends in step with these programs. I will also cover the student's health and dental insurance as long as this is the policy of the Department.

Student's signature: _____ Date: _____

I understand the terms of this agreement

Faculty Mentor Signature: _____ Date: _____

I agree to accept this student in my lab to conduct Ph.D. dissertation research. I also agree to financially support the student (both stipend and health insurance) as long as the student is in good standing in accordance with the Graduate School guidelines and the Department's standards.

My funding sources and dates of support for this student are: _____

Of Neurobiology and Anatomy students presently in the lab: _____

Adjunct Faculty: The Department of _____ will provide stipend support for the student above if the mentor loses funding.

Adjunct Chair Signature: _____ Date: _____

Appendix *iv*

Establish a Second Year Advisory Committee

Department of Neurobiology and Anatomy

Student: _____ Lab: _____

Degree sought: _____

Proposed Committee:

Name:	Department:	Signature:

Approved: _____ Date: _____
(Director of Graduate Studies)

Consent to Teaching Assistantship

Department of Neurobiology and Anatomy

To the student: The department recommends that students work as a Teaching Assistant for one semester/one course. To hold additional Teaching Assistantships, students must have the agreement of their advisor and the Director of Graduate Studies. Obtain the signatures indicated below and return this form to the Neurobiology and Anatomy Office (402 MREB) before accepting a Teaching Assistant position.

Students do not receive financial compensation for teaching that is required by their program. If students hold additional Teaching Assistantships for compensation, their Graduate Student Stipend will be reduced accordingly, so that their total compensation remains constant. In signing below you consent to have your stipend reduced if you receive compensation for the TAship.

Student signature: _____ Date: _____

Course: _____ Semester offered: _____

% FTE: _____ Total Stipend reduction: _____

To the advisor: In signing below you indicate your willingness to allow the student to be employed as a Teaching Assistant in the indicated course. If the student receives financial compensation for teaching, the amount of stipend you pay the student will be reduced to reflect the percent effort devoted to the Teaching Assistantship and the correspondingly reduced effort made towards completion of the student's graduate research program.

Advisor signature: _____ Date: _____

Director of Graduate Studies: _____ Date: _____

Establish a Preliminary Exam Committee

Department of Neurobiology and Anatomy

Student: _____ Lab: _____

UNID: _____

Proposed committee:

Name	Department	Signature
Chair		
Member		
Member		
Member		
Member		

Approved: _____ Date: _____
(Director of Graduate Studies)

Entered in Graduate Student Degree Tracking by: _____ Date: _____
(Initial - DGS or Admin Sec)

Report of Preliminary Examination

Department of Neurobiology and Anatomy

Student: _____Lab: _____

Date of examination:

Pass Conditional Pass Fail
(Specify conditions in box)

Comments: Describe plans to complete coursework. Specify work required to complete the exam. Note any other factors impacting the program of study. Use additional pages or back if necessary.

	Department	Signature
Chair		
Member		
Member		
Member		
Member		

Advisor signature: _____ Date: _____

Student signature: _____ Date: _____

Entered in Graduate Student Degree Tracking by: _____ Date: _____
(Initial - DGS or Admin Sec)

Establish a Supervisory Committee

Department of Neurobiology and Anatomy

Student: _____ Lab: _____

Proposed committee:

Name	Department	Signature
Chair		
Member		
Member		
Member		
Member		

Approved: _____ Date: _____
(Director of Graduate Studies)

Entered in Graduate Student Degree Tracking by: _____ Date: _____
(Initial - DGS or Admin Sec)

Appendix *ix*

Report of Supervisory Committee Meeting

Department of Neurobiology and Anatomy

Student: _____Lab: _____

Date of meeting: _____

Dissertation proposal approval date: _____

Dissertation title: _____

Anticipated Final Oral Examination (dissertation defense) date: _____

- Summarize the student's progress since the last meeting, including both coursework and research.

- Note any problems or obstacles to the progress of research, changes in student's research plan and recommendations of the committee.

- List goals for next supervisory committee meeting AND the approximate date of the next meeting.

Exit Interview/Check Out Form

Department of Neurobiology and Anatomy

Student: _____

UNID: _____ Last Day / Graduation: _____

Lab: _____

New Position: _____

_____

Forwarding E-Mail Address: _____

Forwarding Physical Address (To Send W-2):

Final Paycheck:

☐ Mail to Forwarding Address

-OR-

☐ Will Be Picked Up By: _____

Student Signature: _____

Office Use:

ID Card Returned:	Initial:
Key(s) Returned:	Initial:
Web Site Updated:	Initial:
Email Removed From Lists:	Initial:
Removed From Directory:	Initial: