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**A GUIDE  
FOR CLINICAL SCHOLARS  
AT  
THE ROCKEFELLER UNIVERSITY**

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Marta Delgado – *Director of Graduate Program Finances & Student Affairs*

The KL2 Clinical Scholars Master's Degree Program at Rockefeller University is accredited by the New England Commission of Higher Education (formerly the Commission on Institutions of Higher Education of the New England Association of Schools and Colleges, Inc.). Inquiries regarding the accreditation status by the Commission should be directed to the administrative staff of the institution. Individuals may also contact:

New England Commission of Higher Education  
3 Burlington Woods Drive, Suite 100, Burlington, MA 01803-4514  
(781) 425 7785

E-Mail: [info@neche.org](mailto:info@neche.org)

**Program Title: Clinical and Translational Investigation**  
**Program Code: 31315 (MS)**

**HEGIS Code: 0499**

The following person has been designated to handle inquiries regarding the University's non-discrimination policy:

Virginia Huffman  
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New York, New York 10065  
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Inquiries also may be directed to the U.S. Department of Health and Human Services, Office for Civil Rights at: <https://www.hhs.gov/ocr/> or by telephone at: 1-800-868-1019, or 1-800-537-7697 (TDD).

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## **I. INTRODUCTION**

### **MISSION**

The mission of the David Rockefeller Graduate Program at The Rockefeller University, a world-renown center for research and graduate education, is to provide the highest quality education in science for the benefit of humanity. Founded by John D. Rockefeller, Sr. in 1901 as the nation's first institute for medical research, the University has a unique laboratory-based structure that encourages interdisciplinary research, which today plays an increasingly critical role in scientific achievement. The rigorous academic training and research environment enables Scholars to develop creativity and discover their own capabilities.

The Rockefeller University Center for Clinical and Translational Science is devoted to maximizing the bidirectional opportunities for clinical and translational research. Building on Rockefeller University Hospital's history as the birthplace of American biomedical science and translational research, the Center is designed to provide an optimal infrastructure to conduct clinical and translational research and to educate the next generation of physician scientists committed to patient-oriented research.

## **II. ACADEMIC AND ADMINISTRATIVE STRUCTURE**

### **CENTER FOR CLINICAL AND TRANSLATIONAL SCIENCE (CCTS): PROGRAM LEADERS, ADMISSIONS COMMITTEE, AND STAFF**

- **Barry Coller, MD** – *Co-Director Physician-in-Chief, Vice President for Medical Affairs, Principal Investigator, Clinical and Translational Science Award (CTSA)*
- **Sarah Schlesinger, MD** – *Education Program Director, Associate Professor of Medicine, Admissions Committee Member*
- **James Krueger, MD, PhD** – *Professor of Medicine, Admissions Committee Member, Co-Principal Investigator, Clinical and Translational Science Award (CTSA)*
- **Maija Williams** – *CCTS Administrative Director & Hospital Chief Operating Officer*
- **Michelle Romanick** – *CCTS Clinical Scholars Program Administrator*
- **Maritza Sanchez** – *CCTS Administrative Coordinator*

### **OFFICE OF GRADUATE STUDIES**

- **Tim Stearns, PhD** – *Dean of Graduate & Postgraduate Studies, VP of Educational Affairs*
- **Emily Harms, PhD** – *Senior Associate Dean of Graduate Studies*
- **Andrea Morris, PhD** – *Assistant Dean and Director of Career and Professional Development*
- **Kristen Cullen** – *Graduate Admissions Administrator and Registrar*
- **Marta Delgado** – *Director of Graduate Program Finances & Student Affairs*

### III. ACADEMIC INFORMATION

#### ACADEMIC AND ADVISORY INFORMATION

Clinical Scholars are full-time employees of The Rockefeller University and are expected to devote their time to advanced studies and research. The specific course of study is individualized to the Scholar; this provides a tailored curriculum and research project most suited to the individual's educational and research interests. The individual program course of study should be outlined and approved by the Program Director and Head of Laboratory (HOL).

The Master's in Clinical and Translational Research is expected to be a three-year commitment, depending on the trainee's past experience and future professional goals. Scholars who find themselves in academic, personal, or financial difficulties are strongly encouraged to discuss these matters with the Program Director, her or his Head of Laboratory, or the Dean.

#### CCTS PROGRAM OFFICE

The CCTS Program Office is in the Hospital, Room 101 and is open from 9 am to 5 pm, Monday through Friday. Michelle Romanick is available to assist Scholars with questions regarding the program. Her email is [mromanick@rockefeller.edu](mailto:mromanick@rockefeller.edu) and office number is 212-327-7316.

#### OFFICE OF GRADUATE STUDIES

The Office of Graduate Studies is located in [Hess Academic Center](#) and is open from 9 am to 5 pm, Monday through Friday. The Dean's office staff is available to assist Scholars with their academic needs.

#### ACADEMIC RECORDS

Academic records are housed in the Office of Graduate Studies. These are confidential University records. A Scholar may request a transcript at any time, but it will not be released without the Scholar's authorizing signature. Requests for transcript statements must be **made at least 7 days in advance**.

Notice of Rights of Access to Scholar Records and Directory Information Definition Under the U.S. Family Educational Rights and Privacy Act of 1974.

Pursuant to the U.S. Family Educational Rights and Privacy Act of 1974, a Scholar is entitled to review those records, files, documents and other materials, maintained by the university, which contain information directly related to the Scholar. Further, the Scholar may request a hearing, in accordance with the regulations issued by the U.S. Secretary of Education, to challenge the content of the education records, in order to insure that the records are not inaccurate, misleading, or otherwise in violation of the Scholar's rights. The Scholar may insert in the records a written explanation respecting the contents of such records if the suggested corrections or deletions are not made by the University.

A Scholar's access and review is subject to the following conditions –

The University has 45 days to comply with a written request to review the records.

All information declared confidential by the Act or excluded from the definition of "education records" in the Act, is not available for inspection.

Under the Act, the University has designated the following information as directory information which is available to the public: name, address, electronic mail address, telephone listing, date of birth, place of birth, photograph, enrollment status, major field of study, participation in officially recognized activities, dates of attendance, degrees and awards received, and the most recent previous educational agency or institution attended. A Scholar has the right to inform the University that any or all of this directory information should not be released without prior consent. A Scholar wishing to restrict the release of this information must submit a written request to the Dean's Office.

## **LEAVE OF ABSENCE**

Please refer to the "Policies and Procedures" section.

## **IV. ACADEMIC REQUIREMENTS**

Scholars are required to fulfill all designated program requirements and to actively participate in courses, discussions, and tutorials. The Scholar's plan of study and conference with the Master's Advisory and Review Committee (MARC) will provide an initial review and outline of the professional goals for each Scholar.

Each Scholar must complete one graduate course as part of the Master's in Clinical and Translational Science degree. **This graduate course requirement should be completed by the end of a Scholar's first year at the University.** Course listings are available from the Dean's office or via the Rockefeller University web page, <http://www.rockefeller.edu/graduate/curriculum/>.

## **MATRICULATION AND UNIVERSITY ACADEMIC APPOINTMENT**

At the time of enrollment in the Clinical Scholars program, the Dean's Office must have received final official transcripts from the academic institutions in which a Scholar was previously enrolled and the transcripts must indicate that the Scholar's course of study was completed and the appropriate degree was granted.

In addition, prior to joining the program Scholars must comply with the New York State immunization law by submitting documented proof of immunity against Measles, Mumps and Rubella.

Upon joining the program, Scholars are required to comply with general academic and employment requirements of The Rockefeller University. These include, but are not limited to: campus security, health and safety regulations, conflict of interest, and policies for inventions, patents, and computer networking.

Clinical Scholars initially have a two-year appointment as an Instructor in Clinical Investigation which is conditional on successfully applying for and maintaining hospital privileges at The Rockefeller University Hospital, having a New York State license or limited permit to practice medicine, and having certification in advanced cardiac life support. The appointment as Instructor in Clinical Investigation is renewable based on satisfactory progress as judged by both the Head of Laboratory and the Program Director.

## **SELECTING A RESEARCH LABORATORY AND MENTOR**

Prior to acceptance into the program, a Head of Laboratory (HOL) and Scholar must agree on at least a tentative research plan and career development plan. This must be formalized in a letter from the HOL to the Program Director. The Program Director will aid Scholars in obtaining a mentor under certain circumstances; however, all Scholars must be affiliated with a laboratory before admission is granted.

In the event that a Scholar's mentor leaves the University, the Scholar and Program Director will make alternative arrangements on a case by case basis. Every attempt will be made to allow the Scholar to complete the Clinical Scholars program.

## **MENTORING PROGRAM <http://www.rockefeller.edu/ccts/mentorprogram>**

The Rockefeller University Center for Clinical and Translational Science (CCTS) Mentoring Program is dedicated to supporting, enhancing, and promoting both research success and career development by establishing a culture that optimizes the relationship between trainees and their mentors. This program builds on the Hospital's rich tradition of bringing the scientific method to the study of its training programs and the clinical research process itself, thus assuring that there will be future advances in the design, organization, and conduct of clinical investigation.

Mentor Registry    <https://ruifar:8080/search>

You can search for mentors by name, institution, and/or research interest. You can select multiple possible mentors. Please contact the potential mentor(s) by email. If the potential mentor agrees to serve as your mentor, she or he will indicate that by selecting "accept" in the database.

## **M.S. DEGREE REQUIREMENTS**

### **PROGRAM OUTLINE:**

The Clinical Scholars curriculum requirements include: designing and conducting a patient-oriented research protocol; attending weekly Seminars in Clinical Research and the lunch discussion groups with the speakers that follow immediately thereafter; attending the weekly tutorials that provide a curriculum in Clinical Investigation; participating in the Rockefeller University Hospital physician-on-call schedule; participating on Rockefeller University Hospital Committees as mutually agreed to; presenting your progress to a Master's Advisory and Review Committee, other Clinical Scholars, and University faculty members after 6 months, 18 months, and 30 months; completing one graduate level course; and completing a course in the Responsible Conduct of Research.

## **CORE ELEMENTS OF KL2 CLINICAL SCHOLARS PROGRAM**

1. Tutorial in Clinical and Translational Science – weekly
2. Biostats Bootcamp – yearly
3. Biostatistics consultations
4. Bioinformatics courses and individualized consultations
5. Epidemiology and Research Design Tutorials – monthly
6. Seminars in Clinical Research – weekly
7. Lunch Meeting with Seminar Speakers – weekly
8. Responsible Conduct of Research: Rockefeller and Memorial Sloan Kettering Collaboration
9. Pilot Project Grant Preparation
10. Manuscript and Grant Writing Workshops and Mock Study Sections



11. Graduate School Course
12. Mentored Clinical and Translational Protocol
13. Scientific Education by Primary Mentor and Other Members of the Scholar's Master's Degree Advisory and Review Committee (MARC)
14. Protocol Design and Development Education via Navigation Program and Community-Engaged Navigation Program
15. GCP and Regulatory Knowledge Education via Pairing with Clinical Research Coordinator and Early Audit Program
16. Protocol Conduct Education via Central Recruitment Program Staff, Research Hospitalist, Research Nursing, Bionutrition, and Research Pharmacy
17. Data Analysis Consultations via Biostatistics Group and Research Bioinformatics Group
18. Team Science training
19. Humanities and Translational Science
20. Formal Review by Master's Degree Advisory and Review Committee (MARC) at 6, 18, and 30 months

## **ASSESSMENT OF PROGRESS**

### **YEARLY REAPPOINTMENT**

The Head of Laboratory is required to submit a yearly progress report to the Program Director detailing the Scholar's research progress and career development, and when appropriate, explicitly stating whether she or he recommends reappointment. Based on the progress report and other information, the Program Director then makes the final decision regarding reappointment. Each report becomes a permanent part of the individual's academic record at the University. The reports are used to prepare a graduate transcript and to respond to other requests for information regarding a Scholar's academic program. Master's faculty at Rockefeller University do not use conventional grades to evaluate the academic progress of Scholars.

### **MASTER'S ADVISORY AND REVIEW COMMITTEE (MARC) MEETINGS**

Each Scholar will have a Master's Advisory and Review Committee (MARC). The committee must contain at least three individuals, one of whom must be a Head of Laboratory. The committee composition is a Chair, an Advisor (Head of Laboratory), and a Committee Member. The membership of the MARC should be based on discussions between the Scholar and her or his mentor, with formal approval by the Program Director. In general, Rockefeller University faculty members with expertise in the area being investigated by the Scholar are the most appropriate candidates for the MARC, but faculty from other academic institutions can be selected if there is a compelling reason and the Program Director approves the selection. Clinical Scholars are encouraged to select AMRC member who will complement their Head of Laboratory's scientific and career mentoring goal. The Scholar is responsible for organizing dates and times of the MARC meetings. **Failure to schedule MARC meetings at the indicated times, if not approved by the Head of Laboratory and Program Director, may result in termination from the program.**

A Scholar's first MARC meeting takes place at 6 ± 2 months into the program. This meeting is meant to assess the Scholar's proposed research plan. The Scholar is expected to present a well-conceived plan for their clinical and translational mentored project and to respond to questions from the faculty regarding her or his research proposal. The MARC will vote on whether the Scholar's proposal is acceptable.

The second MARC meeting at  $18 \pm 2$  months coincides with the Scholar's public research presentation to other Clinical Scholars and faculty and provides a forum for the MARC to determine whether the Scholar has made substantial progress. The MARC is encouraged to make additional suggestions regarding modifications that can be reasonably expected to be incorporated into the Scholar's research program. The MARC votes on whether the Scholar's progress has been satisfactory.

The third meeting at  $30 \pm 2$  months' focuses on the Scholar's progress as she or he nears the completion of the program. The MARC is encouraged to make additional suggestions regarding modifications that can be reasonably expected to be incorporated into the Scholar's research program. The MARC votes on whether the Scholar's progress has been satisfactory and whether the proposed plan for the remainder of the Scholar's time in the program meets the requirements for awarding the Master's in Clinical and Translational Science degree. **The Final MARC documents must be received by the first week of April for the graduating Scholar to submit documents for graduation and to receive the diploma.**

All MARC meetings will be conducted in the following sequence:

- The Scholar provides the MARC members with written material at least 2 weeks prior to the meeting.
- The committee meets **in the absence of the Scholar** to discuss any problems found with the written proposal or progress report.
- The Scholar delivers her or his oral presentation.
- The MARC directs questions to the Scholar regarding the written research proposal and the oral presentation. **The advisor should not contribute questions or feedback** unless the chair of the MARC requests it.
- The MARC discusses the research proposal and presentation **in the absence of the Scholar**.
- The Scholar returns to the meeting and the committee reports its findings and makes recommendations.

The meeting concludes with a discussion between the Scholar, MARC chair and members **in the absence of the advisor**.

**The annual MARC meeting requirement is not met until the CCTS Program Office and the Dean's Office receive the written report from the MARC committee.** The MARC Chair writes the report, but it is the Scholar's responsibility to ensure that the report is filed in the Dean's Office.

## **ACADEMIC DISCIPLINARY ACTION**

### ACADEMIC PROBATION AND DISMISSAL FROM PROGRAM

In situations where a Scholar is not making adequate progress in the Clinical Scholars program, she or he may be placed on academic probation. The length of the probationary period will be determined by the Program Director. The Scholar is required to use this probationary time to rectify the specified deficiencies in her or his performance. Failure to address the deficiencies in a reasonable period of time will result in the Scholar being dismissed from the program.

## DISMISSAL FROM LABORATORY

In the event that a Head of Laboratory wishes to dismiss a Scholar from her or his lab, the following procedures will apply:

1. The Scholar and HOL will first meet with the Program Director to address the issue.
2. If a successful resolution cannot be achieved by the Program Director and HOL, the matter will be referred to the President's Office for resolution.

## **V. POLICIES AND PROCEDURES**

<http://inside.rockefeller.edu/hr/academicPolicies>

### **STANDARD OF CONDUCT**

#### Standard of Conduct

Scholars are expected to be knowledgeable of and comply with the rules and regulations in the Graduate Scholar Guide, as well as the Human Resources Handbook. The University strives to maintain an atmosphere in which freedom of expression, intellectual inquiry and mutual respect are valued. Scholars, in accepting admission to the graduate program, agree to act responsibly and respectfully of the Rockefeller University community and all of its individual members. Scholars whose behavior, whether it is on- or off-campus, is considered detrimental to the University community are subject to disciplinary action. The University is required to deal fairly and decently with each individual.

The Rockefeller University Interim Policy for Allegations of Sexual Misconduct Concerning a Scholar (Policy Under Title IX and NY Education Law Art. 129-B)

To the extent that this Policy overlaps with the University's Non-Discrimination, Anti-Harassment, and Anti-Retaliation Policy, this Policy will control in cases involving sex discrimination, sexual harassment, sexual violence, relationship violence, sexual assault, and/or stalking involving a Scholar. This policy may be applied when the complainant is an employee in certain, limited circumstances.

#### Policy Statement

The Rockefeller University (the "University", "Institution") is committed to maintaining an educational environment that is free from sex discrimination, sexual harassment, sexual violence, relationship violence, and stalking. The University does not discriminate on the basis of sex in its education programs and activities, in compliance with the law, including Title IX of the U.S. Education

Amendments of 1972 and Article 129-B of the N.Y. Education Law. The University strongly encourages any member of our community who is a victim of, or has knowledge of, sex discrimination, sexual harassment, sexual violence, relationship violence, and/or stalking involving a Scholar to report that conduct as set forth below.

#### Purpose of this Policy

The purpose of this policy is to delineate the policies and procedures complying with Title IX of the Educational Amendments of 1972, ("Title IX") and Sections 6439-6449 of Article 129-B of the New York Education Law ("129-B").

Title IX: Title IX is a federal law that prohibits any person in the United States from being discriminated against on the basis of sex in seeking access to any educational program or activity receiving federal

financial assistance. The U.S. Department of Education, which enforces Title IX, has long defined the meaning of Title IX's prohibition on sex discrimination broadly to include various forms of sexual harassment and sexual violence that interfere with a Scholar's ability to equally access our educational programs and opportunities.

On May 19, 2020, the U.S. Department of Education issued a Final Rule under Title IX of the Education Amendments of 1972 that: Defines the meaning of "sexual harassment" (including forms of sex-based violence) Addresses how this institution must respond to reports of misconduct falling within that definition of sexual harassment, and Mandates a grievance process that this institution must follow to comply with the law in these specific covered cases before issuing a disciplinary sanction against a person accused of sexual harassment.

Article 129-B: Article 129-B is a New York State Law, which affords protections for Scholars who are the victims of sexual assault, relationship violence, and stalking, including the right to report the incident to the University or law enforcement, to be protected by the University from retaliation for reporting an incident, and to receive assistance and resources from the University.

## INDIVIDUALS AND CONDUCT COVERED

Title IX and Article 129-B of the New York Education Law address similar concerns, although they may differ in some respects. Where there is a conflict of laws, federal law pre-empts state law.

Where there is an omission in federal law that is addressed in state law, the university takes the position that state law prevails.

This Policy covers any occurrence of sex discrimination, sexual harassment, sexual violence, relationship violence, and/or stalking involving a Scholar, regardless of whether the accused is a Scholar, employee, or third party, or whether the prohibited conduct occurred on or off campus (including studying abroad). The University must address reported sex discrimination, sexual harassment, sexual violence, relationship violence, or stalking involving a Scholar whether the report (oral or written) is made by the alleged victim or a reporting individual other than the alleged victim.

The University also must ensure that a Scholar who is the victim of sexual violence, relationship violence, and/or stalking is afforded the protections outlined in the Scholars' Bill of Rights Relating to Sexual Violence, Relationship Violence, and/or Stalking, including the right to make a report to local law enforcement and to be protected from retaliation. (See Bill of Rights at the end of this Policy.)

How does this Policy impact other University disciplinary policies?

The University remains committed to addressing violations to any of its policies. To the extent that alleged misconduct falls outside this policy or is discovered in the course of investigating misconduct covered under this policy, the University retains authority to investigate and adjudicate the allegations under the applicable policies and procedures including through a separate grievance proceeding. The elements established in this Policy have no effect and are not transferable to any other University policy for any violation of the Code of Conduct, employment policies, or any civil rights violation except as narrowly defined in this Policy. This Policy does not set a precedent for other University policies or processes and may not be cited for or against any right or aspect of any other policy or process.

THE TITLE IX AND ART. 129-B GRIEVANCE POLICY GENERAL RULES OF APPLICATION  
Effective Date August 14, 2020

This Grievance Policy is effective as of August 14, 2020 and only applies to sexual misconduct alleged to have occurred on or after August 14, 2020. Incidents of sexual misconduct alleged to have occurred before August 14, 2020, will be investigated, and adjudicated according to the policy in effect at the time the incident allegedly occurred.

## DEFINITIONS

Affirmative Consent (“Consent”) is a knowing, voluntary, and mutual decision among all participants to engage in sexual activity. Consent can be given by words or actions, as long as those words or actions create clear permission regarding willingness to engage in the sexual activity. Silence or lack of resistance in and of itself does not demonstrate consent. The definition of consent does not vary based upon a participant’s sex, sexual orientation, gender identity, or gender expression. Consent may be given initially but withdrawn at any time, and consent to one sexual act does not necessarily constitute consent to any other sexual act. Consent is required regardless of whether the person initiating the act is under the influence of drugs and/or alcohol. Depending on the degree of intoxication, someone who is under the influence of alcohol, drugs or other intoxicants may be incapacitated and therefore unable to consent. Consent cannot be given by a person who is incapacitated, which occurs when an individual lacks the ability to knowingly choose to participate in sexual activity, and consent cannot be given when it is the result of any coercion. Incapacitation may be caused by the lack of consciousness or being asleep, being involuntarily restrained, or if an

individual otherwise cannot consent. When consent is withdrawn or can no longer be given, sexual activity must stop.

Bystander means a person who observes a crime, impending crime, conflict, potentially violent behavior, or conduct that is in violation of rules or policies of an institution.

Code of Conduct includes written policies adopted by the University governing Scholar behavior, rights, and responsibilities, while such Scholar is affiliated with the University.

Complainant is any individual who has reported being or is alleged to be the victim of conduct that could constitute covered sexual harassment as defined under this policy. A complainant may also be referred to as a Reporting Individual under Article 129-B.

Covered Sexual Harassment includes any conduct on the basis of sex that satisfies one or more of the following criteria:

1. An employee conditioning educational benefits on participation in unwelcome sexual conduct (i.e., quid pro quo);
2. Unwelcome that it effectively denies a person equal access to the educational institution’s education program or activity;
3. Sexual assault includes any sexual act directed against another person, without the consent of the victim including instances where the victim is incapable of giving consent;
4. Dating violence is also known as relationship violence and includes any violence committed by a person: (A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (B) where the existence of such a relationship shall be determined based on a consideration of the following factors: (i) The length of the relationship; (ii) The type of relationship; (iii) The frequency of interaction between the persons involved in the relationship.
5. Domestic violence is also considered relationship violence and includes any felony or misdemeanor crimes of violence committed by a current or former spouse or intimate partner of

the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner, by a person similarly situated to a spouse of the victim under New York domestic or family violence laws or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of New York.

6. Sex Discrimination is conduct towards an individual, based upon that individual's sex, or gender (including sexual orientation, self-identified or perceived sex; gender expression, gender identity; status of being transgender, status as victim of domestic violence sexual violence, or stalking; sexual and reproductive health decisions; and pregnancy), that denies the individual the benefits of, treats the individual differently, or otherwise adversely affects a term or condition of an individual's employment, education, living environment, or participation in a University program or activity.
7. Sexual Violence or sexual assault is an actual or attempted physical sexual act performed against a person's will or without a person's affirmative consent, including where the person is incapable of giving consent due to a disability or the use of drugs and/or alcohol.
8. Stalking means engaging in a course of conduct directed at a specific person that would cause a reasonable person to-- (A) fear for their safety or the safety of others; or (B) suffer substantial emotional distress.

Note that conduct that does not meet one or more of these criteria may still be prohibited under other University Policies.

Education Program or Activity (Pursuant to Article 129-B of the New York State Education Law, the University may apply this policy to a violation that occurs off campus or while studying abroad) includes:

- Any on-campus premises.
- Any off-campus premises that the University has substantial control over. This includes buildings or property owned or controlled by a recognized Scholar organization.
- Activity occurring within computer and internet networks, digital platforms, and computer hardware or software owned or operated by, or used in the operations of the University's programs and activities over which the University has substantial control.

Formal Complaint means a document—including an electronic submission—filed by a complainant with a signature or other indication that the complainant is the person filing the formal complaint, or signed by the Title IX Coordinator, alleging sexual harassment against a respondent about conduct within the Rockefeller University's education program or activity as defined herein and requesting initiation of the procedures consistent with the Title IX Grievance Policy to investigate the allegation of sexual harassment.

Relationship Violence, including dating violence and domestic violence, is a pattern of behavior in which an individual uses physical violence, coercion, threats, intimidation, isolation, or other forms of emotional, sexual, verbal, and/or economic abuse to control their current or former intimate partner.

Relevant evidence and questions refer to any questions and evidence that tends to make an allegation of covered sexual harassment more or less likely to be true. Relevant evidence and questions do not include the following types of evidence and questions, which are deemed "irrelevant" at all stages of the Title IX and 129-B Grievance Process:

- Evidence and questions about the complainant's sexual predisposition or prior sexual behavior unless:
  - They are offered to prove that someone other than the respondent committed the conduct alleged by the complainant, or

- They concern specific incidents of the complainant's prior sexual behavior with respect to the respondent and are offered to prove consent.
- Evidence and questions that constitute, or seek disclosure of, information protected under a legally recognized privilege (i.e.: attorney/client or physician/patient privilege.)
- Any party's medical, psychological, and similar records unless the party has given voluntary, written consent.

Respondent means any individual who has been reported to be the perpetrator of conduct that could constitute covered sexual harassment as defined under this policy.

Supportive Measures are non-disciplinary and non-punitive accommodations for the benefit of a complainant that are made without unreasonably burdening the other party. See "Non-Investigatory Measures Available Under Title IX and Article 129-B Grievance Policy" of this policy.

### Disability Accommodations

This Policy does not alter any University obligations under federal disability laws including the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Parties may request reasonable accommodations for disclosed disabilities to the Title IX Coordinator at any point before or during the Title IX Grievance Process that do not fundamentally alter the Process.

The Title IX Coordinator will not affirmatively provide disability accommodations that have not been specifically requested by the Parties, even where the Parties may be receiving accommodations in other university programs and activities.

### Reporting a Violation of this Policy

Any person may report a violation of this policy (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute sex discrimination or sexual harassment) to any of the individuals listed in below including the Title IX Coordinator, Officials with Authority to take Corrective Action, Campus security, local law enforcement and/or state police. Reports may also be made in person, by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Such a report may be made at any time (including during non-business hours) by using the telephone number or electronic mail address, or by mail to the office address listed for the Title IX Coordinator. A reported violation of this policy does not of itself necessitate an investigation. See, "The Grievance Process" for requirements of an investigation.

The Rockefeller University has designated as its Title IX Coordinator:

Virginia Huffman, Vice President, Human Resources. Founders Hall, Room 103  
1230 York Avenue New York, NY 10065 tel:212-327-7261; email: [huffman@rockefeller.edu](mailto:huffman@rockefeller.edu).

Officials with Authority to Take Corrective Action and Receive a Title IX Complaint Include

- James K. Rogers, Director of Security Nurses Residence, 1st Floor; 1230 York Avenue New York, NY 10065 Tel: (212) 327-7339; Email: [jrogers@rockefeller.edu](mailto:jrogers@rockefeller.edu)
- Department Heads of the Dean's Office, Human Resources, Office of General Counsel, Housing, and Security, and Executive Officers of the University.

- Barry Coller, MD, Co-Program Director, Physician-in-Chief, Vice President for Medical Affairs; Sarah Schlesinger, MD, Education Program Director, Associate Professor of Clinical Investigation; James Krueger, MD, PhD, CEO, Professor of Clinical Investigation; Maija Williams, Administrative Director; Michelle Romanick, Education Administrator; Emily Harms, Senior Associate Dean; Andrea Morris, Director of Career and Professional Development; Marta Delgado, Director, Graduate Program Administrator of Finances and Scholar Affairs; and Kristen Cullen, Graduate Admissions Administrator and Registrar, Michelle Keenan, Director Of Employment, Kimberly Preston, Director of HR Compliance.

Please note that reports made to the above individuals will be forwarded to the Title IX Coordinator. Accordingly, the above individuals cannot guarantee confidentiality but will maintain privacy to the greatest extent possible.

### Privacy vs. Confidentiality

The University wants victims and bystanders of sexual violence to have the necessary information and support regardless of whether they choose to report sexual violence to security or to law enforcement. References made to confidentiality refer to the ability of identified confidential resources to not report crimes and violations to law enforcement or University officials without permission, except for extreme circumstances, such as a health and/or safety emergency or child abuse. References made to privacy mean university offices and employees who cannot guarantee confidentiality but will maintain privacy to the greatest extent possible, and information disclosed will be relayed only as necessary to investigate and/or seek a resolution and to notify the Title IX Coordinator or designee, who is responsible for tracking patterns and spotting systemic issues. The University will limit the disclosure as much as practicable, even if the Title IX Coordinator determines that the request for confidentiality cannot be honored. Privacy will be maintained throughout the investigation of a complaint or report of sex discrimination, sexual harassment, sexual violence, relationship violence, and/or stalking, consistent with reasonable investigation and appropriate corrective action. Certain University personnel (including officials with authority), because of their duty to report conduct prohibited under this Policy to the Title IX Coordinator or take action to redress such conduct, cannot guarantee confidentiality but will maintain the privacy of the complainant or reporting individual, to the greatest extent possible. These University personnel will share a complaint or report only as necessary for the Title IX Coordinator to investigate and/or seek a resolution and, if required, with law enforcement.

If an individual complainant wishes to keep their identity anonymous, they can use a confidential resource. Confidential resources can and will maintain the confidentiality of information provided to them by a complainant, accused, or reporting individual. The following individuals may provide confidentiality: licensed mental health counselors, advocates, and health care professionals, including those at the University's Occupational Health Services. These confidential resources are not required or permitted to disclose any identifying information regarding an incident under this Policy to any outside party, including other individuals at the University, unless the person who provided information to them has consented to disclosure or extreme circumstances as listed above. If the accused is a University employee, the complainant may notify a member of the University's Human Resources and/or has the right to request that a confidential resource assist in reporting to the Title IX Coordinator.

### Confidential Resources:

Confidential Resources are available through Occupational Health Services, ("OHS"), which is located at The Hospital Room 118 and can be contacted by phone at: (212) 327-8414. Confidential OHS Resources are:

Janica Barnett , Director, OHS



email: [jbarnett01@rockefeller.edu](mailto:jbarnett01@rockefeller.edu)

Ann Campbell, Adult Nurse Practitioner, OHS email: [ann.campbell@rockefeller.edu](mailto:ann.campbell@rockefeller.edu)

Dr. Nisha Mehta-Naik, Psychiatrist

Lauren Rosenblum, LCSW

Nisha and Lauren provide on-site/telehealth confidential counseling and medical services to employees and Scholars. To schedule a confidential appointment with either Nisha or Lauren, please call OHS at (212) 327-8414.

#### Outside Confidential Resources:

If an individual prefers to make an anonymous report and/or speak with someone not affiliated with the University, the below hotlines are completely confidential and available at all times (24 hours/7 days per week):

New York State Domestic and Sexual Violence Hotline: 800-942-6906, or <http://www.opdv.ny.gov/help/dvhotlines.html>. Additional disclosure and assistance options are catalogued by the Office for the Prevention of Domestic Violence and presented in several languages: <http://www.opdv.ny.gov/help/index.html>

New York State Office of Victim's Services: 800-247-8035 or [www.ovs.ny.gov](http://www.ovs.ny.gov); Victim Intervention Program at New York Presbyterian Hospital Weill-Cornell Medical Center: (212) 746-9414 or <https://www.nyp.org/social-work/victim-intervention-program>.

Safe Horizon's Rape/Sexual Assault and Domestic Violence Hotline: 800-621-HOPE (4673).

#### Reports Made with Requests Not to Act:

A complainant may request (1) that their name not be revealed to the accused, and/or that the University does not investigate or take action. The University will strongly support such a request, although honoring the request may limit the University's ability to investigate and respond fully to the incident. The Title IX Coordinator will determine whether the University can honor a request for confidentiality by a complainant or a reporting individual while still providing a safe and nondiscriminatory environment for all Scholars. A request not to investigate or take action may not be honored if such action might put other individuals at risk. Factors to consider in determining whether to honor a request include whether: (a) the accused has a history of violent behavior or is a repeat offender; (b) the incident represents an escalation in unlawful conduct on behalf of the accused from previously noted behavior; (c) there is an increased risk that the accused will commit additional acts of violence; (d) the accused used a weapon or force; (e) the reporting individual is a minor; and (f) the University has other means to obtain evidence such as security footage, and (g) that information reveals a pattern of perpetration at a given location or by a particular group. If the University determines that an investigation is required, it will notify the complainant and take immediate action as necessary to protect or assist the complainant.

#### NON-INVESTIGATORY MEASURES AVAILABLE UNDER POLICY

##### Supportive Measures

Complainants (as defined above), who report allegations that could constitute covered sexual harassment under this policy, have the right to receive supportive measures from the University regardless of whether they desire to file a complaint. Supportive measures are non-disciplinary and

non-punitive. They may be made available free of charge and kept confidential except as necessary to facilitate the supportive measure. Supportive measures may include, but not be limited to:

- Counseling
- Extensions of deadlines or other course/resource-related adjustments
- Modifications of work or class schedules
- Campus security escort services
- Restrictions on contact between the parties (no contact orders)
- Changes in work or housing locations
- Leaves of absence
- Increased security and monitoring of certain areas of the campus

### Emergency Removal

The Rockefeller University retains the authority to remove a respondent from the University's program or activity on an emergency basis, when the University: (1) undertakes an individualized safety and risk analysis, and (2) determines that an immediate threat to the physical health or safety of any Scholar or other individual arising from the allegations of covered sexual harassment justifies a removal. If the University determines such removal is necessary, the respondent will be provided notice and an opportunity to challenge the decision immediately following the removal. The University may remove a respondent on an emergency basis whether the grievance process is underway or not.

### Administrative Leave

The Rockefeller University retains the authority to place a non-Scholar employee respondent on administrative leave during this policy's grievance process.

## THE GRIEVANCE PROCESS

### Filing a Formal Complaint

The timeframe for the Title IX Grievance Process begins with the filing of a Formal Complaint. The Grievance Process will be concluded within a reasonably prompt manner, and no longer than ninety (90) calendar days after the filing of the Formal Complaint, provided that the Process may be extended for a good reason, including but not limited to the absence of a party, a party's advisor, or a witness; concurrent law enforcement activity; or the need for language assistance or accommodation of disabilities. The procedure for applying for extensions is described below.

To file a Formal Complaint, a complainant must provide the Title IX Coordinator a written, signed complaint describing the facts alleged. Complainants are only able to file a Formal Complaint under this Policy if they are currently participating in, or attempting to participate in, the education programs or activities of the University, including as an employee.

If a complainant does not wish to make a Formal Complaint, the Title IX Coordinator may determine a Formal Complaint is necessary. The University will inform the complainant of this decision in writing, and the complainant need not participate in the process further but will receive all notices issued under this Policy and Process. Nothing in this Policy prevents a complainant from seeking the assistance of state or local law enforcement alongside the appropriate on-campus process.

### Informal Resolution

A complainant who files a Formal Complaint may elect, at any time, to address the matter through the University's Informal Resolution Process. All Parties to a Formal Complaint must agree to enter the Informal Resolution Process through an informed written consent. Please refer to the policy entitled, "Informal Resolution Process," for more information.

#### Multi-Institutional

When the reported misconduct involves Scholars or employees of another institution(s), the University may work collaboratively with the other institution(s) to address the misconduct provided that such collaboration complies federal and state law.

#### Multi-Party Situations

The University may consolidate Formal Complaints alleging covered sexual harassment against more than one respondent, or by more than one complainant against one or more respondents, or by one party against the other party, where the allegations of covered sexual harassment arise out of the same facts or circumstances.

#### Allegations Potentially Falling Under Two Policies:

If the alleged conduct, if true, includes conduct that would constitute covered sexual harassment and conduct that would not constitute covered sexual harassment, the Title IX Grievance Process will be applied to investigation and adjudication of only the allegations that constitute covered sexual harassment. Conduct that would not constitute covered sexual harassment under this policy will be addressed in accordance the corresponding University policy concerning such misconduct.

#### Determining Jurisdiction

The Title IX Coordinator will determine if the instant Title IX Grievance Process should apply to a Formal Complaint. The Process will apply when all of the following elements are met, in the reasonable determination of the Title IX Coordinator:

1. The conduct is alleged to have occurred on or after August 14, 2020.
2. The conduct is alleged to have occurred in the United States.
3. The conduct occurred while a Scholar was studying abroad under §129-B of the N.Y. Educational Law.
4. The alleged conduct, if true, would constitute covered sexual harassment as defined in this policy.

If all of the elements are met, The University will investigate the allegations according to the Grievance Process.

#### Mandatory Dismissal

If any one of these elements are not met, the Title IX Coordinator, will notify the parties that the Formal Complaint is being dismissed for the purposes of the Title IX Grievance Policy. Each party may appeal this dismissal using the procedure outlined in "Appeals," below.

#### Discretionary Dismissal

The Title IX Coordinator, may dismiss a Formal Complaint brought under the Title IX Grievance Policy, or any specific allegations raised within that Formal Complaint, at any time during the investigation or hearing, if:

- A complainant notifies the Title IX Coordinator in writing that they would like to withdraw the Formal Complaint, or any allegations raised in the Formal Complaint.
- The respondent is no longer enrolled or employed by the University; or,
- If specific circumstances prevent the University from gathering evidence sufficient to reach a determination regarding the Formal Complaint or allegations within the Formal Complaint.
- 

Any party may appeal a dismissal determination using the process set forth in “Appeals,” below. Notice of Dismissal.

Upon reaching a decision that the Formal Complaint will be dismissed, the University will promptly send written notice of the dismissal of the Formal Complaint or any specific allegation within the Formal Complaint, and the reason for the dismissal, simultaneously to the parties through their university email accounts. It is the responsibility of parties to maintain and regularly check their email accounts.

#### Notice of Removal

Upon dismissal for the purposes of Title IX and 129-B, the University retains discretion to determine if a violation of any other University Policy has occurred. If so, the University will promptly send written notice of the dismissal of the Formal Complaint under this Policy’s Grievance Process and removal of the allegations concerning misconduct under the other University Policy.

#### Notice of Allegations

The Title IX Coordinator will draft and provide the Notice of Allegations to any party to the allegations of sexual harassment. Such notice will occur as soon as practicable, after the University receives a Formal Complaint of the allegations if there are no extenuating circumstances. The parties will be notified by their university email accounts or other reasonable means if they are a Scholar or employee, and by other reasonable means if they are neither. The University will provide sufficient time for the parties to review the Notice of Allegations and prepare a response before any initial interview.

The Title IX Coordinator may determine that the Formal Complaint must be dismissed on the mandatory grounds identified above and will issue a Notice of Dismissal. If such a determination is made, any party to the allegations of sexual harassment identified in the Formal Complaint will receive the Notice of Dismissal in conjunction with, or in separate correspondence after, the Notice of Allegations.

#### Contents of Notice

The Notice of Allegations will include the following:

- Notice of the University’s Title IX and 129-B Grievance Process and a hyperlink to a copy of the process.
- Notice of the allegations potentially constituting covered sexual harassment, and sufficient details known at the time the Notice is issued, such as the identities of the parties involved in the incident, if known, including the complainant; the conduct allegedly constituting covered sexual harassment; and the date and location of the alleged incident, if known.

- A statement that the respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the grievance process.
- A statement that the parties may have an advisor of their choice, who may be, but is not required to be, an attorney.
- A statement that before the conclusion of the investigation, the parties may inspect and review evidence obtained as part of the investigation that is directly related to the allegations raised in the Formal Complaint, including the evidence upon which the University does not intend to rely in reaching a determination regarding responsibility, and evidence that both tends to prove or disprove the allegations, whether obtained from a party or other source.
- A statement that prohibits knowingly making false statements or knowingly submitting false information during the grievance process.

### Ongoing Notice

If, in the course of an investigation, the University decides to investigate allegations about the complainant or respondent that are not included in the Notice of Allegations and are otherwise covered "sexual harassment" falling within the Title IX Grievance Policy, the University will notify the parties whose identities are known of the additional allegations by their university email accounts or other reasonable means. The parties will be provided sufficient time to review the additional allegations to prepare a response before any initial interview regarding those additional charges.

### Advisor of Choice and Participation of Advisor of Choice

The University will provide the parties equal access to advisors and support persons; any restrictions on advisor participation will be applied equally.

The University has a long-standing practice of requiring Scholars to participate in the process directly and not through an advocate or representative. Scholars participating as Complainant or Respondent in this process may be accompanied by an Advisor of Choice to any meeting or hearing to which they are required or are eligible to attend. The Advisor of Choice is not an advocate. Except where explicitly stated by this Policy, as consistent with the Final Rule, Advisors of Choice shall not participate directly in the process as per standard policy and practice of The Rockefeller University.

The University will not intentionally schedule meetings or hearings on dates where the Advisors of Choice for all parties are not available, provided that the Advisors act reasonably in providing available dates and work collegially to find dates and times that meet all schedules.

The University's obligations to investigate and adjudicate in a prompt timeframe under Title IX and other college policies apply to matters governed under this Policy, and the University cannot agree to extensive delays solely to accommodate the schedule of an Advisor of Choice. The determination of what is reasonable shall be made by the Title IX Coordinator or designee. The University will not be obligated to delay a meeting or hearing under this process more than five (5) days due to the unavailability of an Advisor of Choice, and may offer the party the opportunity to obtain a different Advisor of Choice or utilize one provided by the University.

### Notice of Meetings and Interviews

The University will provide, to a party whose participation is invited or expected, written notice of the date, time, location, participants, and purpose of all hearings, investigative interviews, or other meetings with a party, with sufficient time for the party to prepare to participate.

## Delays

Each party may request a one-time delay in the Grievance Process of up to five (5) days for good cause (granted or denied in the sole judgment of the Title IX Coordinator or designee provided that the requestor provides reasonable notice and the delay does not overly inconvenience other parties. For example, a request to take a five day pause made an hour before a hearing for which multiple parties and their advisors have traveled to and prepared for shall generally not be granted, while a request for a five day pause in the middle of investigation interviews to allow a party to obtain certain documentary evidence shall generally be granted. The Title IX Coordinator shall have sole judgment to grant further pauses in the Process.

## **INVESTIGATION**

### General Rules of Investigations

The Title IX Coordinator and/or an investigator designated by the Title IX Coordinator will perform an investigation under a reasonably prompt timeframe of the conduct alleged to constitute covered sexual harassment after issuing the Notice of Allegations.

The University and not the parties, has the burden of proof and the burden of gathering evidence, i.e., the responsibility of showing a violation of this Policy has occurred. This burden does not rest with either party, and either party may decide not to share their account of what occurred or may decide not to participate in an investigation or hearing. This does not shift the burden of proof away from the University and does not indicate responsibility. The University cannot access, consider, or

disclose medical records without a waiver from the party (or parent, if applicable) to whom the records belong or of whom the records include information. The Rockefeller University will provide an equal opportunity for the parties to present witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence, (i.e., evidence that tends to prove and disprove the allegations) as described below.

### Inspection and Review of Evidence

Prior to the completion of the investigation, the parties will have an equal opportunity to inspect and review the evidence obtained through the investigation. The purpose of the inspection and review process is to allow each party the equal opportunity to meaningfully respond to the evidence prior to conclusion of the investigation.

All inspection and review period. Evidence that will be available for inspection and review by the parties will be any evidence that is directly related to the allegations raised in the Formal Complaint. It will include any:

1. Evidence that is relevant, even if that evidence does not end up being relied upon by the University in making a determination regarding responsibility.
2. Inculpatory or exculpatory evidence (i.e., evidence that tends to prove or disprove the allegations) that is directly related to the allegations, whether obtained from a party or other source.

The University will send the evidence made available for each party and each party's advisor, if any, to inspect and review via electronic format. The University is not under any obligation to use any specific

process or technology to provide the evidence and shall have the sole discretion in terms of determining format and any restrictions or limitations on access.

The parties will have ten (10) calendar days to inspect and review the evidence and submit a written response by email to the investigator. The investigator will consider the parties' written responses before completing the Investigative Report.

The University will provide the parties up to ten (10) days to provide a response, after which the investigator will not be required to accept a late submission. Investigator has fifteen (15) calendar days to generate a report or, alternatively, may provide the parties with written notice extending the investigation for fifteen (15) calendar days and explaining the reason for the extension. Any evidence subject to inspection and review will be available at any hearing, including for purposes of cross-examination. The parties and their advisors must sign an agreement not to disseminate any of the evidence subject to inspection and review or use such evidence for any purpose unrelated to the Title IX grievance process. The parties and their advisors agree not to photograph or otherwise copy the evidence.

#### Inclusion of Evidence Not Directly Related to the Allegations:

Evidence obtained in the investigation that is determined in the reasoned judgment of the investigator not to be directly related to the allegations in the Formal Complaint will not be disclosed or may be appropriately redacted before the parties' inspection to avoid disclosure of personally identifiable information of a Scholar. Any evidence obtained in the investigation that is kept from disclosure or appropriately redacted will be documented in a "privilege log" that may be reviewed by the parties and their advisors, if any.

#### Investigative Report

The Title IX Coordinator and/or an investigator designated by the Title IX Coordinator will create an Investigative Report that fairly summarizes relevant evidence, will and provide that Report to the parties at least ten (10) calendar days prior to the hearing in electronic format via email or hard copy if requested by a party in writing for each party's review and written response. The Investigative Report is not intended to catalog all evidence obtained by the investigator, but only to provide a fair summary of that evidence. Only relevant evidence (including both inculpatory and exculpatory—i.e., tending to prove and disprove the allegations—relevant evidence) will be referenced in the Investigative Report. The investigator may redact irrelevant information from the Investigative Report when that information is contained in documents or evidence that is/are otherwise relevant.

## **HEARING**

#### General Rules of Hearings

The University will not issue a disciplinary sanction arising from an allegation of covered sexual harassment without holding a live hearing unless the complaint otherwise resolved through an informal resolution process. The live hearing may be conducted with all parties physically present in the same geographic location, or—at the University's discretion—any or all parties, witnesses, and other

participants may appear at the live hearing virtually through secure remote video conferencing as prescribed by the University. This technology will enable participants simultaneously to see and hear each other. At its discretion, the University may delay or adjourn a hearing based on technological errors not within a party's control. All proceedings will be recorded through either audio recording or audiovisual recording. That recording will be made available to the parties for inspection and review. Prior to obtaining access to any evidence, the parties and their advisors must sign an agreement not to disseminate any of the testimony heard or evidence obtained in the hearing or use such testimony or evidence for any purpose unrelated to the Title IX Grievance Process. Once signed, this Agreement may not be withdrawn.

### Continuances or Granting Extensions

The University may determine that multiple sessions or a continuance (i.e., a pause on the continuation of the hearing until a later date or time) is needed to complete a hearing. If so, the University will notify all participants and endeavor to accommodate all participants' schedules and complete the hearing as promptly as practicable.

### Newly discovered Evidence

As a general rule, no new evidence or witnesses may be submitted during the live hearing. If a party identifies new evidence or witnesses that were not reasonably available prior to the live hearing and could affect the outcome of the matter, the party may request that such evidence or witnesses be considered at the live hearing. The Hearing Decision Maker will consider this request and make a determination regarding (1) whether such evidence or witness testimony was actually unavailable by reasonable effort prior to the hearing, and (2) whether such evidence or witness testimony could affect the outcome of the matter. The party offering the newly discovered evidence or witness has the burden of establishing these questions by the preponderance of the evidence.

If the Hearing Decision Maker answers in the affirmative to both questions, then the parties will be granted a reasonable pause in the hearing to review the evidence or prepare for questioning of the witness.

### Participants in the live hearing

Live hearings are not public, and the only individuals permitted to participate in the hearing are as follows:

### Complainant and Respondent (The Parties)

- The parties cannot waive the right to a live hearing.
- The University may still proceed with the live hearing in the absence of a party and may reach a determination of responsibility in their absence, including through any evidence gathered that does not constitute a "statement" by that party.
  1. For example, A verbal or written statement constituting part or all of the sexual harassment itself is not a "prior statement" that must be excluded if the maker of the statement does not submit to cross-examination about that statement. In other words, a prior statement would not include a document, audio recording, audiovisual reading, and digital media, including but not limited to text messages, emails, and social media postings, that constitute the conduct alleged to have been the act of sexual harassment under the formal complaint.
- The University will not threaten, coerce, intimidate, or discriminate against the party in an attempt to secure the party's participation.



- If a party does not submit to cross-examination, the Hearing Decision Maker cannot rely on any prior statements made by that party in reaching a determination regarding responsibility, but may reach a determination regarding responsibility based on evidence that does not constitute a “statement” by that party.
- The decision-maker cannot draw an inference about the determination regarding responsibility based solely on a party’s absence from the live hearing or refusal to answer cross examination or other questions.

#### The Hearing Decision Maker

- A hearing body will consist of a single Hearing Decision Maker.
- No member of the hearing body will also have served as the Title IX Coordinator, Title IX investigator, or advisor to any party in the case, nor may any member of the hearing body serve on the appeals body in the case.
- No member of the hearing body will have a conflict of interest or bias in favor of or against complainants or respondents generally, or in favor or against the parties to the particular case.
- The hearing body will be trained on topics including how to serve impartially, issues of relevance, including how to apply the rape shield protections provided for complainants, and any technology to be used at the hearing.
- The parties will have an opportunity to raise any objections regarding a Decision Maker’s actual or perceived conflicts of interest or bias at the commencement of the live hearing.

#### Advisor of choice

- The parties have the right to select an advisor of their choice, who may be, but does not have to be, an attorney.
- The advisor of choice may accompany the parties to any meeting or hearing they are permitted to attend, but may not speak for the party, except for the purpose of cross- examination.
- The parties are not permitted to conduct cross-examination; it must be conducted by the advisor. As a result, if a party does not select an advisor, the University will select an advisor to serve in this role for the limited purpose of conducting the cross-examination at no fee or charge to the party.
- The advisor is not prohibited from having a conflict of interest or bias in favor of or against complainants or respondents generally, or in favor or against the parties to the particular case.
- The advisor is not prohibited from being a witness in the matter.
- If a party does not attend the live hearing, the party’s advisor may appear and conduct cross-examination on their behalf.
- If neither a party nor their advisor appear at the hearing, the University will provide an advisor to appear on behalf of the non-appearing party.

#### Witnesses

- Witnesses cannot be compelled to participate in the live hearing and have the right not to participate in the hearing free from retaliation.
- If a witness does not submit to cross-examination, as described below, the decision-maker cannot rely on any statements made by that witness in reaching a determination regarding responsibility, including any statement relayed by the absent witness to a witness or party who testifies at the live hearing.
- Witnesses are expected to conduct themselves appropriately.

#### **Hearing Procedures**

For all live hearings conducted under this Title IX Grievance Process, the procedure will be as follows:

- The Hearing Decision Maker will open and establish rules and expectations for the hearing.
- The Parties will each be given the opportunity to provide opening statements.
- The Hearing Decision Maker will ask questions of the Parties and Witnesses.
- Parties will be given the opportunity for live cross-examination after the Hearing Decision Maker conducts its initial round of questioning; During the Parties' cross-examination, Hearing Decision Maker will have the authority to pause cross-examination at any time for the purposes of asking Hearing Decision Maker own follow up questions; and any time necessary in order to enforce the established rules of decorum.
- Should a Party or the Party's Advisor choose not to cross-examine a Party or Witness, the Party shall affirmatively waive cross-examination through a written or oral statement to the Hearing Decision Maker. A Party's waiver of cross-examination does not eliminate the ability of the Hearing Decision Maker to use statements made by the Party.

### Live Cross-Examination Procedure

Each party's advisor will conduct live cross-examination of the other party or parties and witnesses. During this live-cross examination the advisor will ask the other party or parties and witnesses relevant questions and follow-up questions, including those challenging credibility directly, orally, and in real time. Before any cross-examination question is answered, the Hearing Decision Maker will determine if the question is relevant. Cross-examination questions that are duplicative of those already asked, including by the Hearing Decision Maker may be deemed irrelevant if they have been asked and answered.

### Review of Recording

The recording of the hearing will be available for review by the parties within 10 calendar days unless there are any extenuating circumstances. The recording/transcript of the hearing will not be provided to parties or advisors of choice.

## **Determination Regarding Responsibility**

### Standard of Proof

The preponderance of the evidence standard will apply for investigations and determinations regarding responsibility of formal complaints covered under this Policy. This means that the investigation and hearing determine whether it is more likely than not that a violation of the Policy occurred.

### General Considerations for Evaluating Testimony and Evidence

While the opportunity for cross-examination is required in all Title IX-129B hearings, determinations regarding responsibility may be based in part, or entirely, on documentary, audiovisual, and digital evidence, as warranted in the reasoned judgment of the Hearing Decision Maker. Hearing Decision Maker's shall not draw inferences regarding a party or witness' credibility based on the party or witness' status as a complainant, respondent, or witness, nor shall it base its judgments in stereotypes about how a party or witness would or should act under the circumstances. Generally, credibility judgments should rest on the demeanor of the party or witness, the plausibility of their testimony, the consistency of their testimony, and its reliability in light of corroborating or conflicting testimony or evidence. Still, credibility judgments should not rest on whether a party or witness' testimony is non-linear or incomplete, or if the party or witness is displaying stress or anxiety.

Decision makers will afford the highest weight relative to other testimony to first-hand testimony by parties and witnesses regarding their own memory of specific facts that occurred. Both inculpatory and exculpatory (i.e., tending to prove and disprove the allegations) evidence will be weighed in equal fashion.

#### Expert Witnesses, Character Witnesses and Polygraph Tests:

While an expert witness will be allowed to testify and be crossed as required by the Final Rule, the decision-maker will be instructed to afford lower weight to non-factual testimony of the expert relative to fact witnesses, and any expert testimony that is not directed to the specific facts that occurred in the case will be afforded lower weight relative to fact witnesses, regardless of whether the expert witness testimony is the subject of cross examination and regardless of whether all parties present experts as witnesses. While the character witnesses will be allowed to testify and be crossed as required by the Final Rule, the decision-maker will be instructed to afford very low weight to any non-factual character testimony of any witness. While the processes and testimony about polygraph tests ("lie detector tests") and other procedures that are outside of standard use in academic and non-academic conduct processes will be allowed to testify and be crossed as required by the Final Rule, the decision-maker will be instructed to afford lower weight to such processes relative to the testimony of fact witnesses.

#### Adverse Inference

Where a party or witness' conduct or statements demonstrate that the party or witness is engaging in retaliatory conduct, including but not limited to witness tampering and intimidation, the Hearing Decision Maker may draw an adverse or negative inference as to that party or witness' credibility.

#### **Components of the Determination Regarding Responsibility**

The written Determination Regarding Responsibility will be issued simultaneously to all parties through their university email account, or other reasonable means, as necessary. The Determination will include:

1. Identification of the allegations potentially constituting covered sexual harassment;
2. A description of the procedural steps taken from the receipt of the formal complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;
3. Findings of fact supporting the determination;
4. Conclusions regarding which section of the University Policy/Code of Conduct, if any, the respondent has or has not violated.
5. For each allegation:
  - a. A statement of, and rationale for, a determination regarding responsibility;
  - b. A statement of, and rationale for, any disciplinary sanctions the recipient imposes on the respondent; and
  - c. A statement of, and rationale for, whether remedies designed to restore or preserve equal access to the recipient's education program or activity will be provided by the recipient to the complainant; and
6. The recipient's procedures and the permitted reasons for the complainant and respondent to appeal (described below in "Appeal").

#### Timeline of Determination Regarding Responsibility

If there are no extenuating circumstances, the determination regarding responsibility will be issued by the University within ten (10) calendar days of the completion of the hearing.

### Finality

The determination regarding responsibility becomes final either on the date that the institution provides the parties with the written determination of the result of the appeal, if an appeal is filed consistent with the procedures and timeline outlined in “Appeals” below, or if an appeal is not filed, the date on which the opportunity to appeal expires.

### Appeals

Each party may appeal (1) the dismissal of a formal complaint or any included allegations and/or (2) a determination regarding responsibility. To appeal, a party must submit their written appeal within five (5) calendar days of being notified of the decision, indicating the grounds for the appeal.

The limited grounds for appeal available are as follows:

- Procedural irregularity that affected the outcome of the matter (i.e. a failure to follow the institution’s own procedures); New evidence that was not reasonably available at the time the determination regarding responsibility or dismissal was made, that could affect the outcome of the matter;
- The Title IX Coordinator, investigator(s), or decision-maker(s) had a conflict of interest or bias for or against an individual party, or for or against complainants or respondents in general, that affected the outcome of the matter.

The submission of appeal stays any sanctions for the pendency of an appeal. Supportive measures and remote learning opportunities remain available during the pendency of the appeal. If a party appeals, the institution will as soon as practicable notify the other party in writing of the appeal, however the time for appeal shall be offered equitably to all parties and shall not be extended for any party solely because the other party filed an appeal.

Appeals may be no longer than ten (10) (including attachments). Appeals should be submitted in electronic form using ARIAL or TIMES NEW ROMAN, 12-point font, and single-spaced. Appeals should use footnotes, not endnotes. Appeals that do not meet these standards may be returned to the party for correction, but the time for appeal will not be extended unless there is evidence that technical malfunction caused the appeal document not to meet these standards.

Appeals will be decided by an Appeals Panel who will be free of conflict of interest and bias, and will not serve as investigator, Title IX Coordinator, or hearing decisionmaker in the same matter. The outcome of appeal will be provided in writing simultaneously to both parties and include rationale for the decision.

### Retaliation

The University will keep the identity of any individual who has made a report or complaint of sex discrimination confidential, including the identity of any individual who has made a report or filed a Formal Complaint of sexual harassment under this Title IX Grievance Policy, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness, except as permitted by the FERPA statute, 20 U.S.C. 1232g, or FERPA regulations, 34 CFR part 99, or as required by law, or to carry out the purposes of 34 CFR part 106, including the conduct of any investigation, hearing, or judicial proceeding under this Title IX Grievance Policy.

No person may intimidate, threaten, coerce, or discriminate against any individual for the purpose of interfering with any right or privilege secured by Title IX of the Education Amendments of 1972 or its implementing regulations. No person may intimidate, threaten, coerce, or discriminate against any individual because the individual has made a report or complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding or hearing under this Title IX Grievance Policy.

Any intimidation, threats, coercion, or discrimination, for the purpose of interfering with any right or privilege secured by Title IX or its implementing regulations constitutes retaliation. This includes any charges filed against an individual for code of conduct violations that do not involve sex discrimination or sexual harassment, but that arise from the same facts or circumstances as a report or complaint of sex discrimination or a report or Formal Complaint of sexual harassment. Complaints alleging retaliation may be filed according to the University's sex discrimination procedures under this policy.

### **Amnesty Policy For Alcohol and/or Drug Use By Reporting Individuals**

The health and safety of every Scholar at the University is of utmost importance. The University recognizes that Scholars who have been drinking and/or using drugs (whether such use is voluntary or involuntary) at the time that violence, including but not limited to domestic violence, dating violence, sexual assault, sexual violence, relationship violence, and/or stalking, occurs may be hesitant to report such incidents due to fear of potential consequences for their own conduct. The University strongly encourages Scholars to report any of the above misconduct to University officials. A bystander or a complainant who acting in good faith reports or discloses any incident of sexual violence, relationship violence, and/or stalking to University officials or law enforcement will not be subject to disciplinary action for violation of the University's Substance Abuse Policy occurring at or near the time of the commission of the reported incident.

### **University Scholars' Bill of Rights Relating To Sexual Violence, Relationship Violence, and/or Stalking**

All University Scholars have the right to:

1. Make a report to local law enforcement and/or state police;
2. Have disclosures of sexual violence, including domestic violence, dating violence, stalking, and sexual assault, treated seriously;
3. Make a decision about whether or not to disclose a crime and/or violation and to participate in the University's investigation, hearing, and/or decision-making process and/or criminal justice process free from pressure by the University;
4. Participate in a process that is fair, impartial, and provides adequate notice and a meaningful opportunity to be heard;
5. Be treated with dignity and receive from the University courteous, fair, and respectful health care and counseling services, where available;
6. Be free from any suggestion that the complainant or reporting individual is at fault when these crimes and/or violations are committed, or should have acted in a different manner to avoid such crimes and/or violations;
7. Describe the incident to as few University representatives as practicable and not be required to unnecessarily repeat a description of the incident;
8. Be protected from retaliation by the University, any University employee, personnel, and/or Scholar; and/or the accused and/or their friends, family, and acquaintances within the jurisdiction of the University;

9. Have access to at least one level of appeal of a determination;
10. Be accompanied by an advisor of choice who may assist and advise a complainant, reporting individual, or accused throughout the investigation, hearing, and/or decision-making process, including during all meetings and hearings related to such process; and
11. Exercise civil rights and practice of religion without interference by the investigation, hearing, and/or decision-making process of the University.

Additional information and guidance concerning these rights and implementing procedures is set forth in the attached University's Guidelines and Implementing Procedures. Questions regarding Title IX may be referred to the University's Title IX Coordinator or to the Office for Civil Rights (OCR), U.S. Department of Health and Human Services.

## **Guidelines and Implementing Procedures**

These guidelines and implementing procedures provide additional information and guidance guidelines and implementing procedures provide additional information and guidance concerning University Scholars' rights and the University's procedure for responding to complaints or reports under the attached Policy, available resources, protections and accommodations, procedural rights, and sanctions.

### Response to Complaints or Reports

In addition to the rights set forth in the Policy, a bystander who reports or University Scholar who has been a victim of sexual violence, relationship violence, and/or stalking has the right to:

- Notify University security and/or local law enforcement or state police about the incident;
- Have emergency access to the Title IX Coordinator (Virginia Huffman) and/or the Director of Security (James K. Rogers). Contact information for these individuals is as follows:

Virginia Huffman Title IX Coordinator Vice President, Human Resources Founders Hall, Rm 103 Tel: 212-327-7261; Email: [huffman@rockefeller.edu](mailto:huffman@rockefeller.edu)

James K. Rogers Director of Security Nurses Residence, 1st Floor Tel: 212-327-7339  
Email: [jrogers@rockefeller.edu](mailto:jrogers@rockefeller.edu)

These individuals are trained in interviewing victims of sexual assault and will offer information about a Scholar's rights and options for proceeding, available resources, and assistance, and where applicable, the importance of preserving evidence and obtaining a sexual assault forensic examination as soon as possible. These individuals will explain that they can offer the Scholar privacy, if not confidentiality, and will inform the Scholar of other reporting options. They will also offer a Scholar information and assistance with filing a report and will advise that the criminal justice process utilizes different standards of proof and evidence than the University's investigation process. Questions about whether a specific incident violated the State's criminal law should be addressed to law enforcement or the district attorney;

- File a report of sexual violence, relationship violence, and/or stalking with the University. Reports will be investigated in accordance with the Policy;
- Receive assistance from the Director of Security (James Rogers) or his designee in initiating legal proceedings in family court or civil court; and

- Request, at any time, the withdrawal of a complaint or further involvement with the University's investigation process.

The following information will be given to a reporting individual at the first instance of disclosure of sexual violence, relationship violence, and/or stalking:

You have the right to make a report to University Security, local law enforcement, and/or state police; or choose not to report; to report the incident to the University; to be protected by the University from retaliation for reporting an incident; and to receive assistance and resources from the University.

It should be noted that if an individual discloses information through a public awareness event, such as candlelight vigils, protests, or other public event, the University is not required to begin an investigation based on such information (unless requested to do so by the individual), although the University may use the information to inform its education and prevention efforts.

### Resources Available to University Scholars

It is important for a victim of sexual violence to seek immediate and appropriate medical assistance and treatment as needed. In the course of treatment, it is important to preserve evidence that may be necessary to prove the reported conduct occurred or to obtain an order of protection. The University's on-campus Occupational Health Service (OHS) is available free of charge to all University Scholars.

- OHS is staffed by nurse practitioners and a certified occupational health nurse who offer confidential, basic medical advice, or first aid care when such treatment is necessary in advance of a Scholar receiving private medical attention.
- OHS also has on-campus a Weill Cornell Medicine psychiatrist and a licensed clinical social worker who offers confidential counseling and help in finding appropriate mental health care providers within the University's healthcare networks.

OHS is open Monday through Friday, 9 a.m. to 5 p.m. and is located in The Rockefeller University Hospital, Room 118; tel: 212-327-8214. While OHS staff are unable to perform procedures related to the collection of evidence for the purpose of pursuing a criminal action, they can provide assistance and support when an individual requests or requires transportation to a full-service hospital.

The Employee Assistance Program, (EAP) is also available free of charge to all University Scholars and employees. EAP, which is offered through The Standard, is a confidential, short term counseling and referral service that is equipped to provide various support services, including short term counseling, therapy, and crisis intervention. To reach the EAP directly, call (888) 293-6948 or text MSEAP to 53342 or visit [www.worklifehealth.com](http://www.worklifehealth.com).

In addition, across the street from the University is New York Presbyterian Hospital – Weill Cornell Medicine, which has a New York State-designated Sexual Assault Forensic Examiner (SAFE) Program and provides specialized care to victims of sexual assault or sexual violence.

To best preserve evidence, victims/survivors should avoid showering, washing, changing clothes, combing hair, drinking, eating, or doing anything to alter physical appearance until after a physical exam has been completed. Also, within 96 hours of an assault, you can get a Sexual Assault Forensic Examination (commonly referred to as a rape kit) at a hospital. While there should be no charge for a rape kit, there may be a charge for medical or counseling services off campus and, in some cases, insurance may be billed for services. You are encouraged to let hospital personnel know if you do not want your insurance policyholder to be notified about your access to these services. The

New York State Office of Victim Services may be able to assist in compensating victims/survivors for health care and counseling services, including emergency funds.

More information may be found here: <https://ovs.ny.gov/sites/default/files/brochure/ovs-rights-cv> or by calling (800) 247-8035. Additional options are explained here: <https://ovs.ny.gov/help-crime-victims>.

Additional information about sexually transmitted infections, sexual assault forensic examinations, and resources available to victims of sexual violence may be found on the New York State Department of Health website at: [https://www.health.ny.gov/prevention/sexual\\_violence/](https://www.health.ny.gov/prevention/sexual_violence/); and by contacting The New York State Office of Victim Services: telephone: 800-247-8035 or [www.ovs.ny.gov](http://www.ovs.ny.gov).

### University Protections and Accommodations for Its Scholars

The University may offer any of the following protections and accommodations, as appropriate, to a University Scholar who has been a victim or accused of sexual violence, relationship violence, and/or stalking:

- No Contact Order: When the accused is a Scholar, the University may issue and provide a copy of a “no contact order” to the victim and the accused whereby continued intentional contact with the victim would be a violation of University policy and thus, subject to additional disciplinary action. If the accused and victim observe each other in a public place, the accused will be responsible for leaving the area immediately and without directly contacting the victim.
- Assistance Obtaining an Order of Protection: A Scholar may request that the University’s Director of Security or other appropriate University representative assist the Scholar in obtaining a court order of protection and/or explain to the Scholar the order and the consequences of violating the order. The University will provide to the Scholar, a copy of the court order of protection when received by the University. University Security shall assist local law enforcement, if necessary, in effecting an arrest for violation of an order of protection.
- Interim Sanctions: When the accused is determined to present a continuing threat to the health and safety of the University community, the University may institute an interim suspension, as appropriate, pending the outcome of the University’s investigation or appeal process (or local law enforcement’s investigation) and in accordance with other rules and policies of the University, including the University’s Grievance Procedures and the Non-Discrimination, Anti-Harassment, and Anti-Retaliation Policy.
- Supportive Measures/Interim Accommodations: The University may provide reasonable and available interim measures and accommodations to the victim and/or the accused that effect a change in academic, housing, employment, transportation, or other applicable arrangements in order to help ensure safety, prevent retaliation, and avoid an ongoing hostile environment.

A Scholar who is a victim or an accused may (i) request any of the above protections or accommodations, (ii) request to be afforded a reasonably prompt review by the Title IX Coordinator or her designee of the need for and terms of any of the above protections or accommodations (even if the victim does not file or continue to pursue a complaint), including potential modification, and (iii) will be allowed to submit evidence in support or defense of the request. The Title IX Coordinator will be responsible for coordinating with appropriate offices on campus to implement appropriate measures.

### Procedural Rights



In addition to the procedural rights set forth in the Policy, a Scholar who has been the victim of, or has been accused of, a violation of the Policy has a right to:

- Have access to a full and fair record of any hearing, and have the record be preserved for at least seven (7) years from the date of such a hearing;
- Have access to a fair and impartial appeal panel's review of the determination;
- Have the University's investigation or appeal process occur concurrently with a criminal justice investigation and proceeding if a criminal complaint was filed, except for temporary delays requested by local law enforcement to gather evidence;
- Exclude their own prior sexual history with persons other than the accused or their own mental health diagnosis and/or treatment from the University's investigation or appeal process. However, past findings of sexual assault, relationship violence, and/or stalking may be admissible in determining sanctions; and
- Choose whether to disclose or discuss the outcome of the University's investigation or appeal process, except that all information obtained during the course of the investigation or appeal process must be protected from public release until a final appellate determination has been made, unless otherwise required by law.

### Sanctions

Sanctions against an individual found to have violated the University's Policy may include, for example: training; referral to counseling; monitoring of the offender; warning or reprimand; suspension or expulsion (in the case of a Scholar offender); or withholding of a promotion or pay increase, reduction of wages, demotion, reassignment, suspension, or termination (in the case of an employee offender).

For crimes of violence, including but not limited to sexual violence, the University will make a notation on the transcript of Scholars found responsible for a violation pursuant to the University's investigation and appeal process that the Scholar was "suspended after a finding of responsibility for a code of conduct violation" or "expelled after a finding of responsibility for a code of conduct violation", as appropriate. For an accused who withdraws from the University while such conduct charges are pending, and declines to complete the investigation process, the University will make a notation on the transcript of such Scholars that they "withdrew with conduct charges pending." Such notation will not be removed prior to one year after conclusion of the suspension, while notations for expulsion will not be removed. If a finding of a violation of University Policy is vacated for any reason, any such transcript notation will be removed.

### **Sexual Assault, Domestic Violence, Stalking and Bias-Related Crime Policies and Procedures**

Issued in compliance with Article 129-A of the New York State Education Law.

#### **Sexual Assault, Domestic Violence, and Stalking**

##### What is Sexual Assault?

Sexual assault is defined as any unwanted physical contact of a sexual nature perpetrated against another person. It is usually associated with rape, but the definition is much broader. It includes vaginal,

anal, or oral penetration, out of place touching, rape, attempted rape and child molestation. Sexual assault can also be verbal, visual or anything that forces a person to join in unwanted sexual contact or attention.

#### Applicable Laws and Penalties for Commission of Sex Offenses

Article 130 of the New York State Law contains the following legal provisions defining crimes related to sexual assault:

Section 130.20 - Sexual Misconduct. This offense includes sexual intercourse without consent and deviate sexual intercourse without consent. The penalty for violation of this section includes imprisonment for a definite period to be fixed by the court up to one year.

Section 130.25/.30/.35 - Rape. This series of offenses includes sexual intercourse with a person incapable of consent because of the use of forcible compulsion or because the person is incapable of consent due to a mental defect, mental incapacity or physical helplessness. This series of offenses further includes sexual intercourse with a person under the age of consent. The penalties for violation of these sections range from imprisonment for a period not to exceed four years up to imprisonment for a period not to exceed 25 years.

Section 130.40/.45/.50 - Criminal Sexual Act. This series of offenses includes oral or anal sexual conduct with a person incapable of consent because of the use of forcible compulsion or because the person is incapable of consent due to a mental defect, mental incapacity or physical helplessness. This series of offenses further includes oral or anal conduct with a person under the age of consent. The penalties for violation of these sections range from imprisonment for a period not to exceed four years up to imprisonment for a period not to exceed 25 years.

Section 130.52 - Forcible Touching. This offense involves the forcible touching of the sexual or other intimate parts of another person for the purpose of degrading or abusing such person; or for the purpose of gratifying the actor's sexual desires. Forcible touching includes the squeezing, grabbing, or pinching of another person's sexual or other intimate parts. The penalty for violation of this section includes imprisonment for a period of up to one year in jail.

Section 130.55/.60/.65 - Sexual Abuse. This series of offenses includes sexual contact with a person by forcible compulsion, or with a person who is incapable of consent due to physical helplessness, or due to a person being under the age of consent. The penalties for violation of these sections range from imprisonment for a period not to exceed three months up to imprisonment for a period not to exceed seven years.

Section 130.65-a/.66/.67/.70 - Aggravated Sexual Abuse. This series of offenses occurs when a person inserts a finger or foreign object in the vagina, urethra, penis or rectum of another person by forcible compulsion, when the other person is incapable of consent by reason of being physically helpless, or when the other person is under the age of consent. The level of this offense is enhanced if the insertion of a finger or foreign object causes injury to the other person. The penalties for violation of these sections range from imprisonment for a period not to exceed seven years up to imprisonment for a period not to exceed 25 years.

Section 130.90 - Facilitating a Sex Offense with a Controlled Substance. This offense involves knowingly and unlawfully possessing a controlled substance or any preparation, compound, mixture or substance that requires a prescription to obtain, and administering said substance to another person without such person's consent and with intent to commit against such person a sex offense. Facilitating a sex offense with a controlled substance is a class D felony.

### Sexual Harassment

Sexual harassment is a form of sex discrimination and as such is specifically prohibited by Title VII of the Civil Rights Act of 1964 and Title IX of the Education Amendments Act of 1972. Sexual harassment is defined as unwelcome verbal or physical conduct of a sexual nature which has the purpose or effect of interfering with an individual's performance or which creates a hostile or intimidating environment. Examples of sexual harassment range from remarks and joking to actual sexual relations. For information about The Rockefeller University's Non-Discrimination, Anti-Harassment, and Anti-Retaliation Policy, please refer to the University Policies handbook: [https://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR\\_UNIVPOLICIES\\_pdf](https://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR_UNIVPOLICIES_pdf).

### Prevention

Most sexual assaults are not committed by strangers. Scholars are in greater danger of being sexually assaulted by someone they know than by a stranger.

Safety tips from the NYC Police Department:

- Follow your instincts. If you feel uncomfortable about a location or a person, leave immediately.
- Learn to notice details about people. This helps in giving a good description (e.g. a person's coloring; size; hairstyle; facial hair; scars; tattoos; accent; clothing, etc.)
- Always know your location! If you must call 911, the operator must know the exact location of the emergency.
- Rehearse what action you should take if you were to be confronted. There is no right or wrong way to respond to a sexual attack. Each offender and circumstance may be different. Whether to resist an attacker or not can only be your decision.
- You should become knowledgeable about your neighborhood. Where is the nearest police precinct? Which stores, restaurant, businesses are open late at night? Where is the location of the nearest telephone?

## **Domestic Violence / Dating Violence**

### What is Domestic Violence?

Domestic violence can involve a single incident or pattern of abusive behavior, committed by a current (or former) spouse or intimate partner, to gain or maintain power and control over another intimate partner. It can involve the use of physical violence, psychological actions or threats of actions, or other forms of emotional, verbal, sexual or economic abuse that influence another person. Domestic violence occurs in both opposite-sex and same-sex relationships and can happen to intimate partners who are currently (or were formerly) married, living together, or dating. This includes any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.

### What is Dating Violence?

Dating violence can involve a single incident or pattern of abusive behavior, in any relationship, used by one individual to gain or maintain power and control over another. Dating violence can involve the use of physical violence, psychological actions or threats of actions, or other forms of emotional, verbal, sexual or economic abuse directed at an individual who is, or has been, in a romantic relationship with the perpetrator. Dating violence occurs in both opposite-sex and same-sex relationships and can include any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.

## Applicable Laws and Penalties for the Commission of Domestic Violence / Dating Violence Related Crimes

### New York Domestic Violence Statutes

N.Y. FCT. LAW § 812 : NY Code - Section 812 – This section outlines the procedures for family (domestic) offense proceedings.

N.Y. CPL. LAW § 530.12 : NY Code - Section 530.12 – This section of Criminal Procedure Law provides protection for victims of family offenses. It authorizes criminal courts to issue orders of protection when a criminal action is pending involving a complaint charging any crime or violation between family members, or for “good cause,” or upon a conviction in a case in which an order of protection had been issued. Typically, orders of protection are issued in cases involving allegations of domestic violence, harassment, rape, or assault, and they direct the accused defendants to abide by an order of protection in favor of the complaining witness or victim.

Article 120 of the New York State Law contains the following legal provisions defining crimes related to domestic violence:

Section 120.00/.05/.10 - Assault. This series of offenses includes the intentional or reckless causing of physical injury to another person or to a third party. This series of offenses further includes the causing of physical injury to another person due to criminal negligence (by means of a deadly weapon or a dangerous instrument). The penalties for violation of these sections are a class A misdemeanor, a class D felony and a class B felony, respectively.

Section 120.13/.14/.15 - Menacing. This series of offenses includes engaging in a course of conduct (or repeatedly committing acts) over a period of time that intentionally place or attempt to place another person in reasonable fear or physical injury, serious physical injury or death. This series of offenses further includes repeatedly following a person and the intentional placement or attempt to place another person in reasonable fear of physical injury, serious physical injury, or death by displaying a deadly weapon or a dangerous instrument. The penalties for violation of these sections are a class E felony, class A misdemeanor and a class B misdemeanor, respectively.

### Federal Laws

The Violence Against Women Act of 1994 (VAWA) – This act recognized that domestic violence is a national crime and outlined programs to prevent domestic violence and related crimes. VAWA applies to violence against both women and men, and protects a spouse, an intimate partner, or dating partner. The term "intimate partner" includes a spouse, a former spouse, a past or present cohabitant, and parents of a child in common. VAWA provided new protections to victims of domestic abuse, including the recognition and enforcement of protection orders in all state, tribal, and territorial jurisdictions within the U.S. The penalties for violation range from imprisonment for a period of 5 years to life, if the crime of violence results in the victim's death.

### Stalking

#### What is Stalking?

Stalking refers to a pattern of unwanted attention, harassment, contact, or any other course of conduct directed at a specific person that may cause a reasonable individual to feel substantial emotional distress or fear for their safety, the safety of family members and acquaintances, or the safety of private

property. Stalking can include, but is not limited to, repeated unwanted and frightening communications (including in person interactions, mail, phone calls, emails, web-based messages, text messages), contacting victim's family, friends, neighbors, or work, repeatedly sending unwanted items or gifts, direct or indirect threats to harm the victim (and/or family members and friends) or damage property, following the victim, trespassing, hiring private investigators, and surveillance or other types of observation.

### **Applicable Laws and Penalties for the Commission of Stalking Related Crimes**

Articles 120 and 240 of New York State Law contain the following legal provisions defining crimes related to stalking:

Section 120.45/.50/.55/.60 – Stalking in the 4th, 3rd, 2nd, and 1st Degrees. This series of offenses includes engaging in a course of conduct - directed at a specific person - that is likely to cause reasonable fear of material harm to the physical health, safety or property of such person, a member of such person's immediate family, or a third party with whom such person is acquainted. This series of offenses further includes engaging in conduct that can cause material harm to the mental or emotional health of the victim, and/or conduct that is likely to cause the victim to reasonably fear that his or her employment, business or career is threatened. These sections also address the intentional or reckless causing of physical injury to the victim. The penalties for stalking in the 4th, 3rd, 2nd and 1st degrees are a class B misdemeanor, a class A misdemeanor, a class E felony and a class D felony, respectively.

Section 240.25/.26/.30/.31 - Harassment. This series of offenses includes the intentional and repeated harassment of another person by following such person in or about a public place or places, by committing acts which alarm or seriously annoy such other person (and which serve no legitimate purpose), by engaging in a course of conduct which places such person in reasonable fear of physical injury, or by subjecting such other person to physical contact, or attempts or threats to do the same. This series of offenses further includes subjecting a victim to unwanted attention or communication (anonymously or otherwise) and conduct with the intent to harass, annoy, threaten or alarm another person because of their race, color, national origin, ancestry, gender, religion, religious practice, age, disability or sexual orientation. The penalties for violation of these sections are a class B misdemeanor, a Violation, a class A misdemeanor, and a class E felony, respectively.

### **Bias-Related Crime**

It is the policy of The Rockefeller University to ensure equal employment opportunity without discrimination or harassment on the basis of race, color, national origin, religion, sex, age, disability, citizenship, veteran status, marital status, sexual orientation, or any other characteristic protected by law. The University prohibits and will not tolerate any such discrimination or harassment.

#### What is a Bias-Related/Hate Crime?

A hate crime is a crime of violence, motivated by prejudice or hate based on race, religion, ethnicity, national origin, gender, disability or sexual orientation.

Although physical attacks are rare, demeaning jokes or harassing or threatening phone calls or e-mails are not uncommon. Bias incidents that do not violate criminal law may violate The Rockefeller University's policy prohibiting harassment and discrimination, The Rockefeller University's code of conduct for Scholars, or federal or state civil law.

### **Applicable Laws and Penalties for Commission of Bias-Related Crimes:**

The Federal Government and more than 40 states, including New York, have hate crime statutes. 1.) Federal Laws

a.) 18 U.S.C. 245 Hate Crimes Prevention Act of 1999 – This act prohibits persons from interfering with an individual's Federal right (e.g. voting or employment) by violence or threat of violence due to his or her race, color, religion, or national origin. This act allows for more authority for the Federal government to investigate and prosecute hate crime offenders who committed their crime because of perceived sexual orientation, gender or disability of the victim. It also permits the Federal government to prosecute without having to prove that the victim was attacked because he or she was performing a federally protected activity.

b.) Violent Crime Control and Law Enforcement Act of 1994 – As part of the 1994 Crime Act, the Hate Crimes Sentencing Enhancement Act provides for longer sentences where the offense is determined to be a hate crime. A longer sentence may be imposed if it is proven that a crime against a person or property was motivated by "race, color, religion, national origin, ethnicity, gender, disability, or sexual orientation."

c.) 28 U.S.C. 534 Hate Crime Statistics Act of 1990 – This act requires the Department of Justice to collect data on hate crimes. Hate crimes are defined as "manifest prejudice based on race, religion, sexual orientation, or ethnicity." These statistics are compiled by the FBI using the Uniform Crime

Reporting system. The Crime Act of 1994 also requires the FBI to collect data on hate crimes involving disability.

### **New York State Law**

a) Hate Crimes Act of 2000, Penal Law Art. 485 – This law enhances criminal penalties for a long list of enumerated crimes when perpetrators intentionally select a target based on the victim's actual or perceived race, color, national origin, ancestry, gender, religion, religious practice, age, disability, or sexual orientation. The law also requires the state to collect, analyze, and annually report on data regarding hate crime throughout the state.

b) N.Y. Civil Rights Law § 40-c – Prohibits discrimination or harassment based on race, creed, color, national origin, sex, or disability. Violation of this provision shall constitute a class A misdemeanor and subjects the perpetrator to a civil action brought by the victim for damages.

c) New York Penal Law §240.30 – Covers aggravated harassment against a person "because of a belief or perception regarding person's race, color, national origin, ancestry, gender, religion, religious practice, age, sexual orientation, regardless of whether the belief or perception is correct."

d) N.Y. Penal Law §240.31 – Enhances penalty for aggravated harassment.

### **Reporting Sexual Assault, Domestic Violence, Stalking, or a Bias-Related Incident/Crime:**

Sexual Assault, Domestic Violence, Stalking, or Bias-Related incidents occurring on campus should be reported to the Security Department as promptly as possible. (The campus emergency number is 1111. The emergency number from Sophie Fricke Hall, Graduate Scholars Residents Hall or cell phone is (212) 327-7111.) Reports can also be made in person to the Security office located in Nurses

Residence - Room 105, Monday through Friday 9:00 a.m to 5:00 p.m. or The Founders Hall Security Desk 24 hours a day.

Whenever a criminal offense is reported to the Security Department that dictates police involvement, The New York City Police Department 911 will be notified immediately. A security guard will be dispatched immediately to the scene of the incident and will conduct a thorough and timely investigation. If it is determined that a criminal offense has been committed the guard will notify his supervisor and the New York City Police Department. The security department will cooperate fully with the New York City Police Department. If the offense involves a Scholar the guard will inform the Security Director, the Dean of Graduate and Postgraduate Studies or his/her designate immediately.

Persons wishing to report a crime or incident in confidence can do so by contacting the Security Office at Ext. 8506. The name of the person making the report will be kept confidential; however the incident will be included in the annual crime statistic report without revealing the name of the person who made the report.

When reporting a crime or incident please provide as much information as possible, to include:

- Details of what happened
- Specific location
- Identity and/or description of person(s) involved
- Date and time of incident
- Be as specific as possible when giving any information to the investigating officer.

### **Counseling and Support Services:**

Confidential access to personal counseling and mental health care for Graduate and Biomedical Fellows is available through the Tri-institutional Employee Assistance Program Consortium (EAPC). They are available at (212) 746-5890, 24 hours a day, 7 days a week.

Employee Assistance Program Consortium 409 East 60th Street, Rm. 3-305  
New York, NY 10022  
Regular hours are 9 a.m. to 5 p.m. Monday through Friday Phone: (212) 746-5890

EAPC provides short-term counseling to members of The Rockefeller University, Weill Cornell Medical College, New York Presbyterian Hospital - Cornell Campus, and Memorial Sloan-Kettering Cancer Center community – Scholars, their families and significant others included. This service is provided at no charge to individuals.

EAPC is a confidential referral service geared towards short-term problem-solving for any personal problem you may have. The social workers on staff will first help you evaluate what your situation is, and then discuss all possible avenues for resolving the situation to your satisfaction. There is no long-term counseling offered at EAPC, but they can set you up with counseling if it is needed. Referrals for counseling include psychiatrists, psychologists, psychotherapists of other types, and social workers. Appointments may be made during normal business hours and there is a 24-hour emergency cover through the number given above.

NOTE: New York State law ensures the privacy of sexual assault victims. All Counselor contact with victims is confidential, however; all other employees are required by law to report the incident.

### **Information and Updates about Campus Security:**

A discussion on campus security is included in Rockefeller's Scholar orientation, which is required for all incoming Scholars. A copy of this document is distributed during that session. A copy of the document will be sent to the remaining Scholar body on a yearly basis.

Additionally, if it is established that an ongoing criminal threat or pattern exists, the campus community will be informed. At the conclusion of the investigation a report will be completed and filed in the Security Department.

### **Maintenance of Public Order**

Scholars, faculty, staff, visitors, licensees or other invitees on the University campus or property are strictly prohibited from taking an action or causing a situation that recklessly or intentionally endangers the mental or physical health of or involves the forced consumption of liquor or drugs by a person or persons for the purpose of initiation into or affiliation with any organization.

### **Penalties for Violations of Sections VII(c) and VII(d)**

Penalties for violating Sections VII(c) and VII(d) include ejecting a person or persons from the University campus or property. For a Scholar or faculty violator, this may include suspension, expulsion, or other appropriate disciplinary action, and for an organization, this may include rescission of permission to operate on the University campus or property. These penalties are in addition to any penalty pursuant to the penal law or any other law to which such a person or organization violating these sections may be subject.

### **Non-Discrimination, Anti-Harassment, and Anti-Retaliation Policy**

The Rockefeller University is committed to maintaining a working and learning environment in which each individual is treated with respect and dignity, to providing an environment that is free from discrimination and harassment, and to protecting individuals from retaliation. Consistent with The Rockefeller University's respect for the rights and dignity of each person, sexual harassment will be neither sanctioned nor tolerated.

Any complaint regarding discrimination, harassment, and or/retaliation may be brought to the attention of the Dean or Ms. Virginia Huffman, Vice President of Human Resources.

A complete copy of the University's Non-discrimination, Anti-harassment, and Anti-retaliation Policy is available in the Human Resources Office and in the University Policies Guide.

### **Computer and Electronic Communications Policy**

The University expects all members of its community to use computing and electronic communications made available at the University in a responsible manner. The University may restrict or deny the use of its computers and network systems for electronic communications for violations of University policies, violation of state or federal laws, or violations of standards of conduct and propriety appropriate at the University. Specifically, the University reserves the right to limit or deny access to its networks through University-owned or other computers, and to remove or limit access to material posted on University owned computers in any situation where it believes that such a violation has occurred or is likely to occur. Please consult the University computing and electronic policies section at <http://it.rockefeller.edu/pdf/CompElecCommPolicy.pdf> for further information.

### **Intellectual Property and Copyright**

A Scholar must not enter into any legal agreements without consulting his or her advisor and the Dean's Office and/or the Office of the General Counsel. Many organizations and investigators supplying research materials insist that a 'Materials Transfer Agreement', or similar document, is signed by the



recipient. This is a legal document and the wording of some of them place severe restrictions on the use and outcomes of any use of the supplied materials. Sometimes the 'material' might be in the form of access to proprietary information, such as a private database. Some universities and investigators use the same document regardless of whether the request comes from academia or industry. Do not view such documents lightly and do not sign any such agreement without seeking advice. If a Scholar uses some material to make a patentable invention, he or she might discover it is the supplier of those materials and not the Scholar who owns the invention!

### **Laboratory Care and Animal Use**

Scholars who plan to be working with research animals are urged to contact the Laboratory Animal Research Center (LARC) as soon as they recognize the need for animal use. The University has established numerous programs to assist investigators in reducing potential health and environment-related variables in animal research. These and other aspects of laboratory animal use are outlined in the Comparative Bioscience Center Handbook. A copy can be downloaded from the CBC website at <http://cbc.rockefeller.edu/>

All persons initiating a new project involving laboratory animals are required to attend an orientation course related to the care and use of laboratory animals. Courses are given regularly or can be scheduled by calling the CBC Training Coordinator at 212-327-8642. In addition, students should feel free to call the CBC to arrange for individualized help, an orientation tour or to get information on any aspect of laboratory animal care, pathology and technology.

### **Leave of Absence**

Under special circumstances, a Scholar may be granted or requested to take a leave of absence. A leave of absence with automatic reinstatement may be granted for up to one year. Requests for a leave of absence must be submitted in writing to the Program Director and HOL. Individuals may wish to consult with a faculty committee convened for this purpose. If a leave of absence is requested and granted for longer than one year, the Program Director and HOL as well as, the ad hoc committee (if convened), will specify the terms for re-entry.

Requests for a medical leave of absence will require the following additional procedures. The Scholar must submit a letter, from a physician knowledgeable about the Scholar's situation, recommending that a medical leave of absence be granted. Re-entry into the Clinical Scholars program will be contingent upon receipt of a written recommendation by the Scholar's physician stating that the Scholar is ready to return to the program. Prior to granting re-entry, the Program Director or HOL (and/or faculty committee, if convened) may request a separate evaluation of the Scholar by a physician of their choice.

Circumstances may arise in which the Program Director and HOL recommend that a Scholar take a leave of absence. If the Scholar objects to the recommended leave of absence, a special committee of faculty will be formed by the Program Director and will include one faculty member chosen by the student.

### **Personal Relationships Policy**

The Rockefeller University is committed to the highest standards of professional conduct and integrity and expects all members ("members") of the University community ("community") to adhere to them. Each member has the obligation to respect and be fair to other members of the community and to

ensure that personal relationships (as defined below) within the community do not result in conflicts of interest or situations that might impair or appear to impair objective judgment.

When members of the University community enter into a sexual, dating, or romantic relationship (“personal relationship”) with another member, and one member has supervisory authority over the other, this may compromise freely given consent, may put at risk the academic/professional development of the subordinate, and may be contrary to the University’s Code of Conduct and other policies. Other potential concerns include alleged actual or perceived sexual harassment, favoritism, and preferential treatment.

Personal relationships that are prohibited are those between:

- A Head of Laboratory (Rockefeller or HHMI) and any student (Ph.D., M.D./Ph.D., Clinical Scholars/M.A., Tri-I, or visiting) at the University;
- A Head of Laboratory and any postdoctoral fellow or postdoctoral associate under his/her direct supervision; and
- A staff member and any person under his/her direct supervision.

Personal relationships that are strongly discouraged are those between:

- A Head of Laboratory and any person under his/her direct supervision (other than a student, postdoctoral fellow, or postdoctoral associate, which are prohibited).

The personal relationships enumerated above are provided as examples, and there may be other personal relationships that fall within this policy.

If a personal relationship covered by this policy occurs, exists, or is emerging, the members are required to declare the personal relationship to Virginia Huffman, Vice President of Human Resources or Michael Young, Vice President of Academic Affairs, to address any attendant workplace issues. A member who is in a personal relationship is expected to recuse himself/herself from any situation in which he/she may directly influence the hire, promotion, advancement, supervision, assignment of duties and job or research opportunities, evaluation, salary determination, grade determination, or advising or otherwise directly affecting the employment or academic progress (e.g., by participation on a review committee) of the other member in the personal relationship.

The goal of the personal relationship declaration is to allow the conditions of the employment or academic association of the two members to be restructured so as to avoid or eliminate potential situations described in the preceding paragraph and without unreasonably disadvantaging either member. Declaration of the personal relationship also may provide some protection for both members involved as well as others who may be affected.

Both members in a personal relationship are responsible for adhering to this policy. Violations of this policy will be handled by Human Resources, with consequences for violations resting primarily on the member with supervisory authority.

Concerns, including those of a third party, that a personal relationship is impairing a member’s ability to be effective in his or her position should be discussed with that member’s manager or a representative of Human Resources.

If allegations of sexual harassment, relationship violence, or stalking arise in connection with a personal relationship, the University will follow the Non-Discrimination, Anti-Harassment, and Anti-Retaliation

Policy and/or the Policy for the Prevention of and Response to Sex Discrimination, Sexual Harassment, Sexual Violence, Relationship Violence, and Stalking.

Approved by Executive Officers Group on November 19, 2018 Approved by Academic Council on November 20, 2018

### **Radiation Monitoring Policy**

Dosimeters are provided by Laboratory Safety & Environmental Health (LS&EH) to those laboratory workers that may receive exposures in excess of one tenth of the annual occupational limit for radiation workers, as established by the New York City Department of Health in agreement with the Nuclear Regulatory Commission. Students are instructed to consult with LS&EH to determine if they are required to use a dosimeter. The determination is made based on the inventory of the laboratory. Any student may contact LS&EH with any questions about the use of or need for dosimeters.

LS&EH also has a radiation monitoring program for declared pregnant employees. A pregnant woman who works in a laboratory or one whose duties take her regularly into a laboratory where radioactive materials or radiation-producing equipment are used may elect to declare her pregnancy and take advantage of this monitoring process. This procedure is completely voluntary, and any information obtained from the employee is confidential and will be used only to properly implement the procedure.

The Department of Laboratory Safety and Environmental Health is located in the A level of Founders Hall and can be reached at x8324.

### **Research Misconduct Policy and Procedure**

The policy and procedure regarding Allegations of Research Misconduct can be found in the Human Resources employee handbook at:

[https://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR\\_UNIVPOLICIES\\_pdf](https://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR_UNIVPOLICIES_pdf)

### **Smoking Policy**

In compliance with the New York City Smoke-Free Air Act and New York State Clean Indoor Air Act, smoking is not permitted on campus.

### **Attendance**

It is expected that Scholars attend 80% of the education activities.

### **Annual Translational Science Conference**

It is expected that first year Scholars attend the annual Translational Science Conference in Washington, D.C. and second and third Scholars are encouraged to submit abstracts and/or attend the conference.

### **Smoking Policy**

In compliance with the New York City Smoke-Free Air Act and New York State Clean Indoor Air Act, smoking is not permitted on campus.

## Substance Abuse Policy

The Rockefeller University ("University") is committed to protecting the safety, health and well-being of its employees and students. The University recognizes that alcohol abuse and drug use pose a significant threat to our community. It is the policy of The Rockefeller University to make every effort to ensure a drug-free workplace to protect the health, safety, and welfare of its employees, its students, and the public. The University also recognizes that alcohol and drug abuse and addiction are treatable conditions. Employees are encouraged to voluntarily seek help for alcohol and/or drug problems. The University will address such matters on a case by case basis. A student or employee who violates this Policy will be subject to University sanctions and criminal sanctions provided by federal, state, and local law. The following guidelines have been established to maintain a drug-free environment.

1. University policy prohibits the unlawful manufacture, possession, use, distribution, dispensation, sale, or purchase of non-prescribed controlled substances (drugs) and intoxicants (alcohol) on University premises or at off campus University-sponsored events
  - a. This does not include the lawful consumption and/or possession of alcohol by those over the age of 21 at University-sponsored events (on or off campus) or in the Abby Aldrich Dining Room, the Faculty and Students Club, or University Housing.
2. All employees are required to report to their jobs in a good mental and physical condition. Any individual whose work performance is impaired by the use of drugs, alcohol, and/or other intoxicants will be considered a threat to the safety of their work environment, and subject to immediate discipline.
3. As required by the Drug-Free Workplace Act of 1988, an employee working on projects funded through federal contracts or grants must notify Human Resources or the Deans Office of a conviction of a criminal drug violation that occurred on University property within five (5) days of such conviction. The University is required to notify the relevant federal contracting or granting agency within ten (10) days and to take the appropriate personnel action within thirty (30) days of receipt of the notice.
  - a. A conviction includes: a plea or finding of guilty, any plea of "nolo contendere", or an imposition of a fine or penalty.
4. Members of the University community who need drug and/or alcohol counseling, rehabilitation, or support services are urged to use the Employee Assistance Program (EAP), which provides immediate and confidential assistance for any work, health, or life concern. The EAP can help with addictions such as alcohol and drug abuse. The EAP can provide short-term counseling and referrals for long-term treatment, utilizing your health insurance. The EAP is available 24 hours a day, seven days a week. For more information visit [www.workhealthlife.com/Standard3](http://www.workhealthlife.com/Standard3), download the app, text MSEAP to 53342, or call 1-888-293-6948 and identify your employer as The Rockefeller University.

The Oxford also has a program available through their Oxford Live and Work Well Program. It is also available 24 hours a day, seven days a week and can be accessed at [www.liveandworkwell.com](http://www.liveandworkwell.com) and by calling its substance abuse hotline at 1-855-780-5955. Campus communities in need of substance use or abuse assistance may also contact Occupational Health Services ("OHS") by phone (212) 327-8414 or by visiting OHS in Room 118 of the Rockefeller University Hospital.

The Drug-Free Schools and Communities Act of 1990 requires that this Policy include descriptions of the health risks associated with drug and alcohol abuse and the legal sanctions under local, state, or federal law for illicit use, possession, or distribution of alcohol and controlled substances.

### **The Health Risks of Alcohol Use and Abuse**

Alcohol consumption causes several marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse.

Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce these effects.

Repeated use of alcohol can lead to dependence. Alcoholism is defined as a complex, chronic psychological and nutritional disorder associated with compulsive and/or excessive drinking. Alcohol is addictive in nature; it poisons the body, destroys the brain, heart, liver, and pancreas; it damages the digestive tract and immune system. Alcoholics are more vulnerable to heart disease, cancer, organ failure, and mental illnesses. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than others of becoming alcoholics.

### The Health Risks of Drug Abuse

Drugs are chemicals which cause physical and psychological dependence. Please review Chart A in the Substance Abuse policy at

[http://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR\\_UNIVPOLICIES\\_pdf](http://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR_UNIVPOLICIES_pdf), which describes the uses and effects of controlled substances.

### Federal Trafficking Penalties

Please review Charts B and C at

[http://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR\\_UNIVPOLICIES\\_pdf](http://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=HR_UNIVPOLICIES_pdf) for a description of federal penalties for the trafficking of controlled substances.

### Federal Penalties and Sanctions for the Illegal Possession of Controlled Substances

First Conviction - Up to one-year imprisonment and fine of at least \$1,000, or both.

After one prior drug conviction - At least 15 days in prison, not to exceed two years and fine of at least \$2,500, or both.

After two or more prior drug convictions – At least 90 days in prison, not to exceed three years and a fine of at least \$5,000, or both.

In addition, the offender may be forced to relinquish personal and real property used to possess or facilitate possession of a controlled substance if the violation is punishable by more than one year in prison. Any vehicle used to transport or conceal a controlled substance must be forfeited and a civil fine may be imposed. For first-time offenders, federal benefits, such as student loans, grants, contracts, and professional and commercial licenses, can be denied for up to one year. For the second and subsequent offenses, federal benefits can be denied for up to five years.

### New York State And City Penalties For Drug Possession

New York State law also forbids the possession, use, or distribution of illicit drugs and imposes criminal penalties, which may include imprisonment. The penalty imposed for a conviction will generally depend upon the specific drug and the amount of the drug held or sold, as well as the individual's history of prior convictions. Judges have some discretion to consider the circumstances in sentencing. The following are a few examples of potential criminal penalties for drug infractions under New York law.

- The criminal possession of 500 milligrams or more of cocaine is a class D felony, punishable by up to 2 ½ years in prison.
- The possession of one-half an ounce of cocaine or more is a Class C felony punishable by 1 - 9 years in prison.
- The criminal possession of eight to sixteen ounces of marijuana is a class E felony, punishable by up to 4 years in prison and up to \$5000.00.

This list is not intended to be exhaustive and is subject to change. The full list of NY drug crimes and their penalties can be found in the New York Penal Code. Under New York City law, a person who has been convicted of felony possession or sale of a controlled substance may be subject to a civil penalty between \$10,000 and \$100,000 for each count that resulted in a conviction and for the costs of the investigation and prosecution of the individual.

### Penalties for Unlawful Distribution Of Alcohol

Under both federal and New York State laws, selling or otherwise furnishing alcohol to an individual under the age of 21 is a misdemeanor punishable by fine and/or imprisonment. In New York State the punishment may include up to one-year imprisonment and \$1000.00 fine. Selling alcohol without a license or permit is unlawful and punishable by a fine and/or imprisonment.

### Driving While Intoxicated (DWI)

Driving while intoxicated (DWI), as determined by a blood alcohol content of .08 or higher is a misdemeanor punishable by up to a year imprisonment and/or a \$1,000 fine for a first offense plus six months license revocation; a second or subsequent offense is a felony. Driving while impaired by alcohol (DWAI, not necessarily legally intoxicated, but with a relevant level of blood alcohol content of at least .05) is also a violation, punishable by up to 15 days imprisonment and/or a \$500 fine plus a 90-day license suspension. Repeated offenses result in more serious penalties.

### Recreational Marijuana

Under federal law, marijuana is considered a Schedule 1 controlled substance and has no acceptable medical use. The federal government, however, does acknowledge that several states have enacted laws relation to the use of marijuana for medical purposes and personal use. The federal government has stated in various publications that it will focus its enforcement resources on 8 priorities (the 8 federal enforcement priorities concern marijuana activity relating to the distribution to minors, funding criminal enterprises, diverting state laws, trafficking other drugs, firearms and violence, drugged driving and adverse public health consequences, growth on public lands and use or possession on federal property.) and trust that state and local marijuana laws will address the enforcement of penalties relating to such activity. While the federal government allows the states to enforce marijuana infractions, the federal government has not relinquished its enforcement or penalties to the states.

In New York State, the use and possession of non-medical marijuana in any amount is illegal. The penalty for marijuana possession is determined by the amount in one's possession. While possession of up to two ounces is a violation. Possession of more than two ounces can be a misdemeanor or felony depending on amount (see above) and circumstances. In addition, operating a vehicle under the influence of marijuana is a matter of public safety may result in criminal charges.

The University recognizes that some members of the campus community may visit or reside in states where the recreational use of marijuana is legal, such as our neighboring state, New Jersey. It is the policy of The Rockefeller University to follow the laws and regulations of New York State. Therefore, use and possession of marijuana for recreational purposes is prohibited on University property.

### Medical Marijuana

New York State recognizes the medical use of marijuana in limited circumstances. Medical marijuana is not considered a drug under New York Education Law. Marijuana may be legally prescribed for severe and debilitating or life-threatening conditions when accompanied by complicating conditions. These conditions are listed in Article 33, Title 5-A of the Public Health Law and are listed below.

- Cancer
- AIDS or HIV positive
- ALS (Amyotrophic lateral sclerosis)
- Parkinson's Disease
- Multiple Sclerosis
- Spinal Cord Injury with spasticity
- Epilepsy
- Inflammatory Bowel Disease (IBD)
- Neuropathy
- Huntington's Disease
- Post-Traumatic Stress Disorder
- Chronic Pain
- As an alternative to Opioid Use
- Substance Use Disorder

When such conditions are accompanied by one or more the following associated or complicating conditions:

- Cachexia or wasting syndrome
- Severe or chronic pain
- Severe nausea
- Seizures
- Severe or persistent muscle spasms

- Post-Traumatic Stress Disorder
- Opioid Use Disorder.

### Violations of The Substance Abuse Policy

The Rockefeller University will impose disciplinary sanctions on students and employees (consistent with local, state, and federal law), up to and including expulsion or termination of employment and referral for prosecution, for violations of this Policy.

### **Vacation Policy**

Scholars may take an annual vacation of 18 vacation days plus 2 personal days for a total of 20 days, in addition to official Rockefeller University closings (Christmas and National Holidays) and major religious observances. All vacations must be discussed with and approved by the HOL. Once the vacation is confirmed, please forward dates to the Chief Scholars and Michelle Romanick.

### **Grievance Procedures**

With regards to academic matters, any Scholar who believes that she or he has received unfair treatment may appeal in writing to the Program Director. The Program Director will discuss the matter with the Scholar's HOL and/or MARC, as appropriate, and attempt to develop a mutually agreeable solution. If a solution cannot be reached, the Program Director will consult the President of the University, who will make the final decision.

### **Financial Information**

Clinical Scholars in the master's degree program receive full financial support, including the cost of tuition and salary. The Clinical Scholars pay for room and board (a combined estimated yearly sum of \$67,600 for living expenses) from the salary received.

### **Scholar Research Funds**

The research activities of Scholars are supported primarily by laboratory funds available through the HOL. In addition, Scholars receive an annual research budget of \$3,000 from the Clinical Scholars program.

**Please send ALL requests for travel and purchases to Michelle Romanick at [mromanick@rockefeller.edu](mailto:mromanick@rockefeller.edu).**

- \$3,000 budget – provided during each academic calendar year dependent on funding resources availability. **The use of these funds is limited to supplies and expenses associated with a Scholar's research. Scholar Fund does not carry over to next academic year.**
- Fund purchases can be for:
  - Computer purchase up to \$2000
  - travel to scientific meetings and conferences
  - equipment (prior approval required)
  - business cards
  - photocopying



- computer software
  - medical licensing fees
  - DEA license
- All travel requests must be pre-approved. Send request with conference program to Michelle Romanick at [mromanick@rockefeller.edu](mailto:mromanick@rockefeller.edu).

These funds may **not** be used to equip or supply a Scholar's personal accommodation, to support hobbies, or to pay for other personal expenses. Any equipment item(s) purchased with Scholar supply funds must remain in the laboratory and will become part of the Scholar equipment pool

**The Scholar must receive permission if any purchase or activity is to use RU funds and work time. The Scholar is responsible for all receipts obtained for expenses accrued. Receipts must be itemized and reimbursement submitted within 30 days of the expense date.**

### **Computer Purchase Guidelines and It Connected Back-Up Program**

Scholars may spend up to \$2,000 of their research funds for a one time purchase of a computer. Computers must be purchased through the RU Purchasing Department. **Direct purchases from the outside will not be reimbursed.** All computer purchases must be **pre-approved** by the Clinical and Translational Research Training Coordinator, Michelle Romanick.

Scholars are strongly encouraged to back up their electronic data. All laptops must be encrypted. The IT department charges a minimal fee of \$20/month per workstation and it can be charged to a Scholar's research budget. To obtain this service, email IT Help Desk ([helpdesk@rockefeller.edu](mailto:helpdesk@rockefeller.edu)) or call the helpdesk at (212) 327-8940 to request back-up services. Special-purpose computational facilities are available for Scholars' use through the Information Technology department.

### **SCHOLAR TRAVEL FOR MEETINGS AND CONFERENCES**

Funds for travel to meetings and conferences can be used for registration, travel expenses, and room and board. All charges must be documented with itemized receipts. The maximum amount per day for food is \$50.

Car rentals require **prior approval** from the Clinical and Translational Research Training Coordinator.

### **Housing and Meals**

#### **HOUSING**

Rockefeller University provides a variety of subsidized housing accommodations in support of the scientific needs of the University. Apartments and dormitories are available to full-time faculty, Scholars and members of the scientific community. The monthly rent range is \$1,300 - \$4,000 dependent on housing location and number of bedrooms.

Since Clinical Scholars hold full-time academic appointments, they are eligible for University housing. If a Scholar requires University housing, a housing application should be completed and returned to Maria Lazzaro in Human Resources, either by mail or fax at (212) 327-8699, for approval. Once approved, this application will be forwarded to the University Housing Office, which will then contact the

individual. All questions concerning details of University housing should be directed to Sharisse Brown at [browns@rockefeller.edu](mailto:browns@rockefeller.edu).

## MEALS

The University's Bass Dining Commons is open for breakfast (7:30 – 10:45 a.m.) and lunch (11:30 a.m. – 2:30 p.m.) on weekdays year round. The Collaborative Research Center (CRC) cafe is open from 8 a.m. – 6 p.m.

## **Resources**

### **Information Technology (IT)**

#### Academic Computing

The campus network is a gigabit Ethernet backbone network that provides high-speed access to the Internet. PC, Macintosh and Linux computers can connect to the network remotely and securely (using VPN software). Wireless access is also available in most areas of the campus via the RUGuest and RUWirelessSecure network. Visit <http://it.rockefeller.edu/campus-network#wireless> for additional information.

Public computers are available 24 hours a day on the 2nd floor of the The Rita and Frits Markus Library. There are Mac and PC workstations with Internet access and office productivity software. A Training/Classroom is available on the A-level of The Rita and Frits Markus Library and is equipped with Mac and PC laptops with Internet access and Microsoft Office. The facility is additionally equipped with a self-service projector and screen. To reserve the training room, use the university's online room reservation system. The Training/Classroom is not available for general/public computer use.

#### Available Resources

A number of resources are available for general and scientific use, including: e-mail, research databases, virus scanning software, sequencing programs, DNA/protein databases, statistical packages, mathematic analysis, graphic visualization tools, encryption, file sharing and campus mailing lists. Remote access to most electronic resources from off campus requires that you login to the campus network using the university VPN system. Information about and links to available IT resources, including some site- licensed software available for free download and paid can be found on the IT Web site at <http://www.rockefeller.edu/it>. The IT homepage is updated frequently with important campus IT news and alerts. Product and service announcements are also communicated to the campus via e-mail through a weekly newsletter, iNews.

#### Training

Information Technology offers ongoing education programs including seminars, training classes and coordination of classroom, in-lab, off-site and one-on-one training is available upon request. For more information, visit the Help, Support & Training section of the IT Web site.

#### Technical Support

The Help Desk is a single point of contact for computer support. Help is available Monday through Friday from 8 a.m. until 6 p.m. From basic software installation and questions to hardware related failures, the Help Desk staff attempts to provide immediate tech support over the telephone, via e-mail, remotely or in person. The Help Desk is located in the IT Pavilion and can be reached by e-mail at [helpdesk@rockefeller.edu](mailto:helpdesk@rockefeller.edu) or by telephone at x8940. Service requests can also be submitted online from the IT Web site at <http://www.rockefeller.edu/it>

## Laboratory Safety and Environmental Health

The Office of Laboratory Safety and Environmental Health (LS&EH) offers assistance and advice to all members of the University in designing safe working environments and practices and developing procedures for the handling, containment and disposal of biological, chemical and radioactive materials. The University's mandatory new employee safety orientation course is offered monthly; please call LS&EH for the exact dates. All first year Rockefeller students (including affiliating 3rd year MD-PhDs) are required to attend this course. Additional safety training, available online, must be completed as well. Information about the University's safety policies and procedures and The Rockefeller University Safety Manual are available in hardcopy on request from LS&EH or electronically from the LS&EH website <http://www.rockefeller.edu/lab/>).

LS&EH, in coordination with the Laboratories and in compliance with regulatory requirements, maintains electronic inventories of the radioactive and biological materials and chemicals used in the labs. In accordance with the conditions of the University's radioactive materials license, all radioisotope packages are received by LS&EH, checked for contamination, and given an inventory number before release to the laboratories. A complete inventory of all radioisotopes on campus is supervised by LS&EH through an interactive computer program. Through this program, individual laboratories order, obtain information, enter use and disposal information about the laboratory's radioisotopes, and order personal dosimeters. The Laboratory biological and chemical inventories are managed through additional modules of the same program. Please check with the Safety Officer assigned to your laboratory for more information on how to access these inventories.

All biological, chemical and radioactive waste is collected directly from the laboratories and shops by LS&EH staff. Guidelines for preparation, containing, and labeling hazardous waste are available on the safety poster mounted near the elevator on laboratory floors, in the Safety Manual, at the LS&EH website and in hardcopy from the LS&EH office. Questions about waste procedures can be directed to the Laboratory Safety Officer and/or to LS&EH.

LS&EH coordinates with the Occupational Health Service on workplace incident investigation and follow-up, ergonomic issues, and medical surveillance programs, including vaccination and respiratory protection programs.

LS&EH has extensive reference materials on biological, chemical, and radioactive agents and maintains the Safety Data Sheet (SDS) collection for all laboratory chemicals received at the University. LS&EH has specialized equipment for the detection of hazards and supplies for containment and personal protection. Pre-chilled -80 and -20 ultra-low freezers can be borrowed by laboratories during the defrosting or emergency repair of their ultra-low freezers. The annual certification and routine maintenance of all biological safety cabinets is managed by LS&EH. In addition, LS&EH staff certify and monitor fume hood performance and respond to many ventilation problems, including odor complaints. The staff also measures the efficiency of laboratory survey meters and performs quarterly contamination checks of all laboratories using radioisotopes. LS&EH routinely performs site visits and safety audits of the laboratories, conducts risk assessments, participates in disaster and emergency planning and preparedness and LS&EH staff are key first responders to emergencies affected laboratories and/or presenting possible safety or environmental impacts.

**The Rita and Frits Markus Library** <http://inside.rockefeller.edu/library>

Location: Welch Hall (enter through Founder's Hall lobby) Access Hours: 24/7 with Rockefeller ID

Staff Hours: 9:00-5:00, M-F  
Contact: libcirc@rockefeller.edu or ext. 8904

The library offers diverse resources and services to support scientific research at the university, as well as physical spaces and amenities to facilitate thinking, writing, studying, collaborating and socializing. These amenities include:

- Public access computers
- WiFi throughout the building
- Meeting room with projector and whiteboard
- Small group study rooms
- Lounge with large screen TV and cable, magazines, daily newspapers, recreational reading, games, video courses
- Lockers for personal storage
- Kindles, fully loaded with hundreds of popular books and available for checkout
- Individual and group study spaces

The library houses an extensive print and electronic collection of scholarly books and journals to support scientific research and is accessible via this link <https://www.rockefeller.edu/markus-library>. The library's integrated catalog (Alma/Primo) also contains information on the collections of the libraries of Memorial Sloan-Kettering Cancer Center and Weill Cornell Medical College. Members of The Rockefeller University have access to the collections of MSKCC and WCMC. Students can find out what is new at the library via the Library Blog and other social media accounts.

If unable to locate a book or journal article among the Markus Library's collection, students should note the entire universe of publications and information is available through the library's extensive InterLibrary Loan Service. Students can submit requests via the InterLibrary Loan Request Page <http://markuslibrary.rockefeller.edu/pub-req/>, e-mail [librequest@rockefeller.edu](mailto:librequest@rockefeller.edu) or phone ext. 8904 or ext. 8916. Please be aware that there are copyright protections and license restrictions that regulate the use and distribution of published materials.

The university's policy regarding the ethical use of electronic resources can be found on the library website: [https://formspolicies.rockefeller.edu/getfile.php?type=Guideline&file=library\\_ERGuidelines\\_pdf](https://formspolicies.rockefeller.edu/getfile.php?type=Guideline&file=library_ERGuidelines_pdf)

The majority of requests for articles and papers are delivered the same day (Monday through Friday). Some requests may take longer, but the library staff will make every effort to minimize delays. The delivery of a book often takes longer, as it must be delivered from the library that holds a copy.

Primary library services are: access to important scientific literature and databases (digital or print); information research assistance and consultation; document delivery; digital repository; research data management; reference management; training on library resources; NIH public access compliance assistance; public access computers; study rooms and social space.

## **Services and Programs**

### Athletic Facilities

Athletic facilities on campus include a tennis court and a gym.

In order to be granted access to the gym, you must sign the “Fitness Center Informed Consent for Exercise Program Participation and Waiver of Claims” form. This form is available in Human Resources. The signed form should be returned to the security desk in Founder’s Hall.

To reserve either the tennis court or the squash court, please register to use the online reservation system with Security at the Founder’s Hall Front Desk or at the Security Office (NR 105) Monday - Thursday, 12 noon to 4 p.m.

### **The Faculty and Students Club**

The Faculty and Students Club, founded in 1958, encourages social interaction and scientific collaboration among the faculty, postdocs and students. The use of the club is limited to members and their guests only. Membership is free for 1st year students and the student membership fee is \$10 per year thereafter. Membership is renewable on a yearly basis. Questions regarding membership may be directed to Chad Ethier, Director of Hospitality Services at (212) 327-8051 or [cethier@rockefeller.edu](mailto:cethier@rockefeller.edu).

Members may also use the club for lab related functions such as farewell parties, thesis celebrations, barbecues, etc., during its normal operation hours. For a modest fee, members may also use the facility for small private functions during weekends only. The member booking the event must be present at the function and must abide by the club rules.

Location: B floor, Abby Aldrich Rockefeller Hall

Hours of Operation: 4-11 p.m., Monday through Friday

Staff: Brad Mathias, Club Manager, ext. 8078

Rockefeller University Forms and Policies can be accessed via VPN at

<https://formspolicies.rockefeller.edu/index.php?title=&dept=HR&type=ALL&search=Search>

### **Emergency Assistance**

Many students and their dependents are not familiar with the different health services in this city or in the country. All students should be informed, so that they know how to handle an emergency. Any student or dependent who is in immediate need of medical assistance should contact the Emergency Room of New York-Presbyterian/The University Hospital of Columbia and Cornell (525 East 68th Street and York Avenue) at (212) 746-5454.

<http://nypemergency.org/wcmc.html?name1=New+York+Weill+Cornell+Medical+Center&type1=2>

There is a 24 hour emergency-response service on campus. Call x1111 for acute emergencies before calling the off-campus 911 (all-around-the-country emergency number).

### **Health Benefits**

Clinical Scholars are offered the choice of two comprehensive medical insurance plans and one dental insurance plan. The University’s health insurance plans are administered by Human Resources and the terms and benefits are under continual review. **To enroll, you must contact Human Resources at x8300 within 31 days of your start date to complete and submit the appropriate enrollment forms. If you do not sign up within this period, you will waive your right to health benefits.**

After making your choice, you will be eligible to change your enrollment during the annual Open Enrollment period, which is in the fall of every year. Enrollments and changes made during Open Enrollment are effective from January 1<sup>st</sup> of the following year. In addition, you are allowed to add a spouse or dependent child due to marriage, birth or adoption within 30 days of the actual event. All necessary enrollment forms are available in Human Resources or on the HR internal website,

**Health Insurance Plans**     <http://www.rockefeller.edu/hr/benefits>

### **Flexible Spending Accounts (FSA)**

You may elect to participate in the Health Care and/or Dependent Care Flexible Spending Accounts. If you participate in these accounts, you contribute pre-tax dollars to help pay for eligible health care and/or dependent care expenses and save on your taxable income.

### **Immunization Law**

For the purposes of the college immunization law\*, documented proof of immunity against Measles, Mumps and Rubella shall mean the following:

Measles – two (2) doses of live measles vaccine given on or after the first birthday, physician documented history of disease, or serological evidence of immunity.

Rubella (German measles) – one dose of live virus rubella vaccine given on or after the first birthday, or serological evidence of immunity.

Mumps – one dose of live mumps vaccine given on or after the first birthday, a physician documented history of disease, or serological evidence of immunity.

If the above documentation is not presented, a student will be required to receive immunizations and/or titer tests for immunization to these diseases. The required vaccinations (MMR and Meningitis) can be obtained from the Occupational Health Services Office at no cost to the student. Please contact Ashley Foo, ANP-BC, Director of OHS at x8414 if you require vaccination. Students not in compliance with this requirement will be excluded from all school activities per New York State law. You are strongly recommended to complete and document your immunizations before arrival on campus.

### **Family Medical Leave Act**

Under the Federal Family and Medical Leave Act (FMLA), eligible employees may take up to 12 weeks of unpaid, job-protected leave in 12-month period for the any of the following reasons:

- (a) For incapacity due to pregnancy, prenatal medical care or child birth;
- (b) To care for the employee's child after birth, or placement for adoption or foster care;
- (c) To care for the employee's spouse, son or daughter, or parent, who has a serious health condition;
- (d) For a serious health condition that makes the employee unable to perform the employee's job

Review the policy and eligibility requirements at

[https://formspolicies.rockefeller.edu/getfile.php?type=Form&file=HR\\_Family\\_Medical\\_Leave\\_Act\\_Policy\\_Request\\_Form\\_-\\_10-2019.pdf](https://formspolicies.rockefeller.edu/getfile.php?type=Form&file=HR_Family_Medical_Leave_Act_Policy_Request_Form_-_10-2019.pdf)

### **Paid Parental Leave**

Parental Leave (Birthing Parent) Effective July 1, 2019, if you become the parent of a new-born while employed at the university, you may take up to six (6) weeks off with pay in the first year of the child's life. Week one (1) must be taken consecutively on the workday(s) immediately following the birth of the child. This leave may run concurrently with FMLA. Documents must be submitted to and processed by Human Resources. Please consult a member of Human Resources in Founders Hall, Room 103 or call extension 8300

Parental Leave (Non-Birthing Parent) Effective July 1, 2019, if you become the parent of a new-born while employed at the university, you may take up to six (6) weeks off with pay in the first year of the child's life. Week one (1) must be taken consecutively on the workday(s) immediately following the birth of the child. This leave may run concurrently with FMLA. Documents must be submitted to and processed by Human Resources. Please consult a member of Human Resources in Founders Hall, Room 103 or call extension 8300

## **Mental Health Care**

On site counseling services are available.

- Dr. Nisha Mehta-Naik, M.D. and Lauren Rosenblum, LCSW are available four days a week to meet privately with members of the RU community. If interested in scheduling a confidential appointment, please contact Occupational Health Services at (212) 327-8414.
- Oxford has a program through their Oxford Live and Work Well Program. In-network providers may be found by searching this website - <https://provider.liveandworkwell.com/content/laww/providersearch/en/home.html?siteId=9402&lang=1> .
- New York State Emotional Support Line: If you are overwhelmed right now, the line is staffed by specially trained volunteers who can help. Call 1-844-863-9314.
- Employee Assistance Program (EAP) provided by The Standard. Call 888-293-6948 and identify your employer as The Rockefeller University, or register here <https://www.workhealthlife.com/>

## **Wellness Programs**

Please visit our website at <http://inside.rockefeller.edu/hr/wellness> for several free on-site wellness services.

## **University Health and Wellness Office**

In addition to wellness screenings and immunizations, the Occupational Health Services Office is staffed by Nurse Practitioners who can provide assessment, diagnosis, and treatment (including prescriptions) for minor illnesses and injuries. This is available on an appointment or walk-in basis and is also free of charge. OHS is not meant to replace someone's primary care practitioner but can serve as a convenient supplement on-campus. Additionally, OHS can provide referrals to new students who have yet to link up with a new general practitioner or specialist. Please refer to our website. <http://inside.rockefeller.edu/hr/occupationalHealthServices>



## **Mail Room**

### Shipping Personal Packages to Rockefeller

All personal packages, large or small, shipped to the University, should be addressed as follows – The Rockefeller University, Box #, 1230 York Avenue, New York, N.Y. 10065. Please provide both the Dean's Office and the Mail Room with your home and lab phones as soon as they are established, so that you can be informed of the arrival of your packages.

All students, especially those about to join Rockefeller, should note that you must time the shipment of packages so that you are on campus when they arrive. The Mail Room does not have space to store your packages, nor can it accept responsibility for the security of your property. You must be available to coordinate the transfer of all shipments to your apartment.

## **Security**

The Security Office is located on the first floor of Nurses Residence. General matters concerning Security should be referred to James K. Rogers, Director of Security, x7339. In case of an on-campus emergency, dial 1111 from a university extension. To reach security from the Graduate Student Residence or Sophie Fricke Hall rooms, or by cell phone, dial 212-327-7111. Further information is available on our website: <http://www.rockefeller.edu/security/>.

The University has an Advisory Committee on Campus Security that reviews current campus security policies and procedures and makes recommendations for their improvement, and reports to the University President on an at least annual basis. The reports are available upon request. The composition of the committee's membership is consistent with the requirements of Article 129-A of the New York State Education Law.

The Advisory Committee on Campus Security will provide upon request all campus crime statistics. For copies of these statistics, please contact James K. Rogers, Director of Security, at (212) 327- 7339 or [jrogers@rockefeller.edu](mailto:jrogers@rockefeller.edu). These statistics also are posted on the University website at <https://www.rockefeller.edu/security/>

## **Friday Lectures**

The University's Friday Lecture Series is held every Friday during the academic year in Caspary Auditorium from 3:45 to 5 p.m. Tea is served at 3:15 in the Abby Lounge

## **Tickets for Museums and Other Cultural Activities**

Opportunities to enjoy some of New York's premier cultural activities become available, from time to time, through the generosity of Trustees and other friends of the University. Passes are available allowing students and guests to visit and enjoy the amenities of the Museum of Modern Art or The Metropolitan Museum without charge. (Please note that two guests are permitted for The Met and five for the MOMA). A deposit of \$20 is required to ensure return of these passes, which can be signed by the Dean's Office. From time to time, tickets are available for performances at the Metropolitan Opera.