A Guide
for Graduate Students
at
The Rockefeller University
2026-27

Academic Staff of the Graduate Program

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Emily Harms, Ph.D. – *Senior Associate Dean of Graduate Studies*

Andrea Morris, Ph.D. – *Assistant Dean and Director of Career and Professional Development*

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

Kristen Cullen – *Graduate Admissions Administrator and Registrar*

Mercedes Harris – *Graduate and Postdoctoral Program Coordinator*

Kevin German – *Dean's Office and SURF Program Coordinator*

Revised: November 4, 2026

NOTICE OF NON-DISCRIMINATION

The Rockefeller University supports equality of educational and employment opportunities. Qualified candidates receive consideration without regard to characteristics protected by law, including but not limited to protected veteran status.

For inquiries on the University's non-discrimination policy, please contact:

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I. Introduction

a. 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 students to develop creativity and discover their own capabilities.

II. Accreditation

The 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

Program title: Biological Sciences
Program codes: 22043 (MS), 09328 (PhD)
HEGIS code: 0401

Program title: Physics
Program codes: 22044 (MS), 09332 (PhD)
HEGIS code: 1902

III. Administrative Structure

a. Dean's Office Staff

Tim Stearns, *Dean*
Emily Harms, *Senior Associate Dean*
Andrea Morris, *Assistant Dean and Director of Career and Professional Development*
Marta Delgado, *Director of Graduate Program Finances and Student Affairs*
Kristen Cullen, *Graduate Admissions Administrator and Registrar*
Mercedes Harris*, Graduate and Postdoctoral Program Coordinator*
Kevin German*, Dean's Office and SURF Program Coordinator*

b. Graduate Program Advisory Committee (GPAC)

Gregory Alushin
Avi Flamholz
Daniel Kronauer
Daniel Mucida, Co-Chair
Vanessa Ruta, Co-Chair
Agata Smogorzewska

IV. Academic Information

a. Academic and Advisory Information

Graduate Fellows of The Rockefeller University are expected to engage full time in advanced study and research. The program requires initiative and self-discipline from the student; it offers the student freedom and the opportunity to study and learn to the limit of their ability. There is no prescribed course of study that each student must follow. An individual program should be worked out through discussions with the Dean and relevant faculty members, as described in detail below. Many options are available to the student in putting together an acceptable program of advanced study and research.

The goal for the time required for the PhD is 5 years, (4.5 years for the MD-PhD student). Students are allowed a maximum of seven years to complete all degree requirements. Students who find themselves in academic, personal or financial difficulties should feel free to discuss these matters with the Dean.

b. Dean's Office

The Dean's Office is located in the Hess Academic Center, Room 321 and is open from 9 a.m. to 5 p.m., Monday through Friday. The Dean's office staff is available to assist students with their academic needs.

c. Academic Records

Academic records are housed in the Dean's Office. These are confidential University records. A student may request a transcript at any time, but it will not be released without the student's written consent. Requests for transcript statements must be **made at least 7 days prior to the deadline for which they are required**.

Notice of Rights of Access to Student 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, 20 U.S.C. § 1232g ("FERPA"), a student is entitled to review those records, files, documents and other materials, maintained by the university, which contain information directly related to the student. Further, the student 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 ensure that the records are not inaccurate, misleading, or otherwise in violation of the student's rights. The student 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 student's access and review is subject to the following conditions:

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

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

Under FERPA, 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. Pursuant to the Solomon Amendment, 10 U.S.C. § 983, upon request, the University must release directory information to the military for purposes of military recruiting. A student has the right to inform the University that directory information should not be released to any third parties. A student wishing to withhold the release of directory information to any third parties must submit a written request to the Dean's Office.

d. Leave of Absence

Please refer to the "Policies, Procedures, and Rules" section.

e. External Fellowships

EXTERNAL COMPETITIVE FELLOWSHIPS FOR GRADUATE STUDIES

We strongly encourage students to apply for external fellowships. The Deans Office is available to provide guidance and support. **When a student obtains an external competitive fellowship, the stipend is supplemented by $5,000 annually.** To be eligible for the supplement, the fellowship must provide 50% or more than the current stipend rate. It is added to the standard stipend amount and is effective through the student's fellowship tenure.

The Office of Sponsored Programs Administration (OSPA) lists current fellowship information on their website http://www2.rockefeller.edu/sr-pd/index.php?page=PredocPrograms and they also send out email notifications about current funding opportunities.

National Science Foundation (Graduate Research Fellowship Program)
Deadlines: October (deadline varies by discipline)
Website: http://www.nsfgrfp.org

NIH Research Training Opportunities
Deadlines: Vary
Website: Research Training and Career Development | Grants & Funding

Ruth L. Kirschstein (NRSA) Fellowships (F31)
Website: NIH National Research Service Award (NRSA) Fellowships
Deadlines: April 8, August 8 and December 8

V. Academic Requirements

There is no prescribed curriculum in the life sciences; each student develops a program of advanced study that is constructed in relation to individual need. Students are required to participate actively in courses, discussions and tutorials, and fulfill designated qualifying requirements. The student's plan of study and the subsequent conference with the Dean, and/or a Faculty Advisory Committee, provide an initial review of the professional goals of each student.

Academic requirements must be completed by the end of a student's second year at the University. Exceptional circumstances may require an extension of this time limit, at the discretion of the Dean on the recommendation of the student's Faculty Advisory Committee. The procedure for assessment of competence is the satisfactory completion of specified courses, seminars, or tutorials in which the student interacts sufficiently with the instructors to permit the necessary evaluation. Each course director will be required to complete a form evaluating a student's performance in the course, and supporting the assignment of a pass/fail grade.

Most courses are scheduled on a 2-year cycle, but some are offered annually. Information about courses, participation and qualification requirements appear in the following pages. If a specialized course that is essential for a student's research is not available at Rockefeller, and if they wish to enroll in a course at another institution, the student should contact the Registrar for instructions. **Note: the Registrar will help guide the process, but it is the student's responsibility to submit the online application, waive health insurance and send the tuition bill to the Dean's Office within 2 weeks of registration.** All students need written permission from their advisors to enroll in outside courses. To obtain funding from the Dean's Office to cover tuition and fees, the letter must justify how the course is critical to his or her current research. Students may also appeal to the Dean to consider the external course for Rockefeller credit. Such requests are reviewed on a case-by-case basis. The course must include some form of evaluation, (final exam, term paper or class presentation), and the student's performance must be assessed and written comments forwarded to the Dean's Office. Students are encouraged to arrange tutorials with appropriate Rockefeller faculty members, if they feel the need. The Dean will consider granting credit for a tutorial if it includes a form of evaluation (written proposal, oral presentation, etc.)

a. Matriculation

At the time of enrollment in the program, the Dean's Office must have received final official transcripts from the undergraduate institution in which a student was enrolled, confirming that the anticipated course of study was completed and the appropriate degree was received. Transfer credit will be determined by the Dean on a case-by-case basis.

In addition, first year graduate students must comply with the New York State immunization law by submitting documented proof of immunity against Measles, Mumps and Rubella. (Please see "Immunization Law", Pg. 79.)

Incoming students are required to attend an orientation day during the first week of September. Students should plan to arrive on campus 3 to 5 days before orientation, but no later than September 8th

On joining the program, students are required to comply with general requirements of The Rockefeller University. These include, but are not restricted to: security, health and safety regulations, policies for inventions, patents, materials, computer networking and consulting agreements.

b. Selecting a Research Laboratory and Advisor

Students are encouraged to develop their research programs early during their careers at Rockefeller. An important aspect of a student's program is developing a compatible association with a research advisor (Head of Lab). Rotations through several laboratories, during the first year, are encouraged but not required. A student who wishes to arrange a rotation should contact the Head of Lab with whom he or she would like to be associated. The relationship is established after thoughtful consideration by

the student and by the prospective advisor.

Students who arrive with a particular mentor or project in mind may immediately join that laboratory. The student must obtain the approval of the lab head and inform the Dean's Office of her or his plans. All students must affiliate with a laboratory by June 30th of their first year. The student's thesis lab affiliation becomes official once the Dean's Office has been notified. After the first year, students who wish to change labs must consult the Dean before any decision is made.

In the event that a student's mentor leaves Rockefeller before the student has completed and received approval of a thesis proposal, the student may either find a new mentor at Rockefeller or transfer graduate programs (providing the mentor's new institution agrees). After the successful defense of the thesis proposal, permission to move with the mentor, but remain a Rockefeller student, is possible and will be decided by the Dean on a case-by-case basis. Funding for students who leave Rockefeller will also be determined on a case-by-case basis.

c. Ph.D. Degree Requirements

The degree of Doctor of Philosophy is awarded on the basis of satisfactory completion of academic requirements, the submission of an acceptable written thesis comprising a body of novel scientific experimental or theoretical research, the presentation of the thesis in an open lecture, and satisfactory performance in an oral examination given by the student's thesis committee. The final thesis is to be made freely accessible to anyone interested in its contents. It constitutes a scientific publication.

The academic requirements for the life sciences are discussed below. The requirements, consisting of 7 course units and yearly FAC meetings, must be fulfilled before the written thesis can be submitted to the faculty.

The written thesis must be acceptable in form and substance to the thesis committee. The final oral examination, also called a thesis defense, is scheduled prior to submission of the written thesis.

Students may complete all requirements for the PhD degree at any time of the year, but the formal ceremony for conferring of degrees is held each year in June, which will determine the official year of graduation.

PROGRAM OUTLINE:

FIRST YEAR

A student spends the first year in coursework and may rotate in one or more laboratories. **All students must notify the Dean's Office of their rotation plans. An e-mail that lists rotation start and end dates should be sent to the Senior Associate Dean and Registrar.**

Meeting with the Deans

In September, immediately following their arrival, each first-year student will meet with one of the Deans to review their preparation for graduate studies and to discuss coursework and rotations. There will be a follow-up meeting with the Deans in January, after the first rotation.

Rotations

The rotation period for first-year students begins on October 1st. Rotations through several laboratories, during the first year, are encouraged but not required. Students who arrive with a particular mentor or project in mind may immediately join a laboratory, for which the student need only obtain the agreement of the lab head and inform the Dean's Office of their plans. The student's thesis lab affiliation becomes official once the Dean's Office has been notified. Laboratory rotations should be organized by making direct contact with the lab head. Although rotating students may work closely with other members of a laboratory, the lab head is responsible for a student's progress and for the appropriateness of the assigned project. Once the rotation period begins, all students must at all times be associated with a laboratory. Any student who encounters problems arranging a laboratory affiliation should immediately seek advice from either the Senior Associate Dean or the Dean. All students should finalize their choice of laboratory by June 30th of their first year.

Coursework

First year students must attend the mandatory courses Seminars on Modern Biology, Experiment and Theory in Modern Biology, Thriving in Graduate School, the Quantitative Understanding in Biology Short Course, and the Responsible Conduct of Research (RCR) seminars.

Academic Year End Requirements

By June 1st of the first year, each student completes an annual report in the form of an Individual Development Plan (IDP). The IDP serves as a guide for self-evaluation and exploration, and identifies the courses taken or planned, status of qualification requirements, lab work, and plans for the future. **The report should be submitted to the Dean's Office and will be discussed during the June meeting with the Deans.**

In June, first-year students will meet with the Deans to review the student's activities to date as detailed in their IDP: participation in courses and laboratory rotations. Students will be expected to give an account of their laboratory experiences and their plan for the second year, with regard to choosing or confirming a thesis laboratory and assuring that their knowledge and choice of courses is appropriate to the area of thesis research.

SECOND YEAR

All academic requirements must be completed this year, unless otherwise approved by the Dean. (Students may subsequently participate in additional courses on a voluntary basis). For second year students, the TRP is due June 30th and will include a custom Individual Development Plan (IDP) Students are required to use this IDP as the basis for a conversation with their head of lab to discuss progress and set priorities and goals for the upcoming year.

Thesis Research Proposal (TRP):

Second year PhD students are required to write a Thesis Research Proposal (TRP) and defend it before a Faculty Advisory Committee by June 30th of this year. The written TRP should be sent to the Dean's Office and Faculty Advisory Committee at least one week in advance of the defense date.

The TRP should be presented in a standard format, closely following that of an NIH grant, but shorter. The proposal should start with an abstract, no more than 250 words, followed by a list of the specific aims (maximum 1 page), a scholarly review of background and significance (2-3 pages), preliminary results (if any), experimental plan, timeline and literature cited. A summary of coursework taken, highlighting academic knowledge that is especially relevant to the proposed research, should be appended. It is expected that the proposal will be written by the student and discussed with the advisor. The length of the proposal is limited to 10 pages of single-spaced type, including figures. References are excluded from the page limit.

The Graduate Program Advisory Committee (GPAC) regards this as the time at which a student's performance and prospects should be carefully evaluated. In consultation with their advisor, a student will choose a Faculty Advisory Committee (FAC). The Faculty Advisory Committee must consist of two Rockefeller heads of lab in addition to the student's head of lab. If the student wishes, the committee can be expanded with additional faculty members; in some cases, especially for interdisciplinary projects, this can be important to provide a broad range of expertise. The written TRP must be sent to a student's Faculty Advisory Committee at least one week in advance of the meeting.

The thesis proposal presentation is the point at which it is determined if the student is prepared to proceed to the second phase of graduate research. The FAC is charged with determining that the student is intellectually prepared for the project and that the project appears sound. The committee will evaluate the proposed project for its scientific foundations and feasibility, and will consider the student's presentation to ensure that he or she is enthusiastically committed to the project. The committee will also review the student's course background and can recommend that the student take specific additional courses, if considered necessary.

At this time, in the absence of exceptional circumstances, the FAC can: (1) accept the thesis proposal unconditionally; (2) accept the oral presentation but require a rewrite of the proposal; (3) provisionally accept it, but require another meeting within 3 months to evaluate progress; (4) reject the thesis proposal and require that a new one be written and presented within 3 months; (5) reject the thesis proposal and recommend that the student complete requirements for the Master's degree; (6) recommend that the student leave the program without any degree.

The Chair of the FAC will report in writing to the Dean's Office on the outcome of the meeting, and this report will form a part of the student's permanent record. The written report will be sent to the student as well.

THIRD AND SUBSEQUENT YEARS

Students should meet with their FAC whenever the student, the advisor or the Dean considers it necessary, **but at least once in any twelve-month period**. The FAC is an important complement and counterbalance to the student's advisor, and its function is to guide and evaluate thesis progress. **The student is responsible for scheduling FAC meetings**, which may be attended by the Dean or his nominee, at the Dean's discretion. Students must provide a research update for the FAC committee by completing the first page of the FAC report form and sending it to Kristen Cullen in the Dean's Office at least one week prior to their FAC meeting date. Failure to schedule a FAC meeting within a 12 month period will result in academic probation.

Any consideration of a change of laboratory must be discussed with the Dean **prior** to its occurrence. **A FAC meeting must precede and endorse any change of thesis laboratory**.

The Chair of the FAC, (who may not be the student's head of lab), is expected to write a brief report to the Dean, which will be kept in the student's file. All FAC meetings should convene in this sequence: (1) a brief discussion will take place between the FAC members and advisor in the absence of the student; (2) the student will present their research to the FAC; (3) the Chair and third member will lead the discussion and direct questions to the student, (the advisor should not participate in the discussion unless the other faculty request it); (4) the meeting will conclude with a discussion between the FAC and student in the absence of the advisor.

Students are also required to complete an Individual Development Plan (IDP), which will address research progress, courses, publications, and any additional information pertinent to the student's progress and prospects, to be submitted by June 30st. Students are required to use the IDP as the basis for a conversation with their head of lab to discuss progress and set priorities and goals for the upcoming year.

d. M.D.-Ph.D. Degree Requirements

DESCRIPTION OF THE TRI-INSTITUTIONAL MD-PHD PROGRAM

In 1991, The Rockefeller University – Cornell University Medical College MD-PhD Program became Tri-Institutional. The Rockefeller University, Weill Cornell Graduate School of Medical Sciences and Memorial Sloan Kettering merged their programs. All Biomedical Fellows earn the MD degree from Weill Cornell Medical College and choose a laboratory at the start of year three either at Rockefeller, Cornell or Sloan Kettering.

Students enter the MD-PhD program on July 1st. The first two summers and possibly the third are spent doing rotations in at least two of the three graduate institutions. The first two academic years are spent in the pre-clinical curriculum at Weill Cornell Medical College. The next three to four and a half years are spent pursuing a research topic and completing academic and thesis requirements at the chosen institution while maintaining contact with the clinical environment at Weill Cornell.

REQUIREMENTS

MD-PhD students are required to choose a thesis laboratory by August 1st of the third year. This first PhD year is spent designing a thesis project and completing qualification requirements. (Rockefeller MD-PhD students must satisfactorily complete 5 course units in order to comply with the uniform requirements of the Tri-Institutional Program). By June 30th of the third year (the end of the first year of research training) a Thesis Research Proposal (TRP) must be written and defended in front of the student's Faculty Advisory Committee (FAC). The written TRP must be sent to a student's Faculty Advisory Committee at least one week in advance of the meeting. Events then proceed as for the third year PhD students (see page 12). After completion of the PhD degree, the last year of the program is spent in clinical rotations at Weill Cornell to fulfill requirements for the MD degree.

During the research years, central financial support at Rockefeller will be limited to four and a half years. Any additional support must be provided by the advisor.

e. Tri-Institutional PhD Program in Chemical Biology (TPCB) Degree Requirements

The Tri-Institutional PhD Program in Chemical Biology (TPCB) was established in 2001 as one of the first graduate programs to focus on research and training at the interface of chemistry and biology. Students have the opportunity to conduct thesis research with outstanding faculty from across three campuses: The Rockefeller University, Memorial Sloan Kettering Cancer Center, or Weill Cornell

Medicine.

REQUIREMENTS
Students in TPCB carry out three laboratory rotations during their first year (in at least two of the three graduate institutions). Rigorous coursework is also provided to ensure that each student has the necessary fundamental knowledge base to pursue their research successfully.

TPCB students must complete 4 core courses: 1) Chemical Biology (Rockefeller), 2) Chemistry in Biology and Medicine (Weill Cornell), 3) Choice of a Core Course: Advanced Organic Chemistry, Statistical Thermodynamics or Pharmacology I (Columbia) and 4) Choice of an Elective Course.

TPCB students must also complete the Tri-Institutional Responsible Conduct of Research course and participate in regular Research in Progress' meetings in which they share and discuss their latest research results.

TPCB students select a thesis laboratory by the end of the first year. By June 30th of the second year, a Thesis Research Proposal (TRP) must be defended in front of the student's FAC. The written TRP must be submitted to the Dean's Office two weeks in advance of the defense. Upon successful completion of the oral examination, students devote their full time to thesis research.

Website: https://chembio.triiprograms.org

f. Tri-Institutional PhD Program in Computational Biology and Medicine (CBM) Degree Requirements

The Tri-Institutional PhD Program in Computational Biology & Medicine (CBM) was established in 2003 to provide a unique training opportunity that takes advantage of the exceptional educational and research resources of The Rockefeller University, Memorial Sloan Kettering Cancer Center, Weill Cornell Medicine and Cornell University in Ithaca. Students in CBM conduct thesis research with program faculty who are employing computational methods, often in conjunction with experimental approaches, to solve problems across a broad spectrum of biomedical disciplines.

REQUIREMENTS
Students in CBM carry out three laboratory rotations during their first year. In consultation with a faculty advisor, CBM students are required to complete 4 courses and are given flexibility to choose from a broad range of biological and computational offerings that provide a solid foundation for their thesis research. In addition to those at Rockefeller, students may select appropriate courses offered at Cornell-Tech, Weill Cornell, New York Genome Center and Columbia University.

CBM students must also complete the Tri-Institutional Responsible Conduct of Research course and in years 2-5, participate in the annual RCR refresher that satisfies the required 8 additional hours of training. In addition, Research in Progress meetings are held throughout the year, during which students share and discuss their latest research results.

CBM students must select a thesis laboratory by the end of the first year (June 30th). By June 30th in year 2, a Thesis Research Proposal (TRP) must be defended in front of the student's FAC. The written TRP must be submitted to the Dean's Office two weeks in advance of the defense. Upon successful completion of the oral examination, students devote their full time to thesis research.

Website: https://compbio.triiprograms.org

g. M.S. Degree Requirements

The Rockefeller University is approved to grant the degree of Master of Science (MS) to students who satisfy specific criteria. The following is a synopsis of the procedures and requirements. The Dean should be consulted if further information is required.

Procedural Criteria

- In cases where the Dean, the advisors, or other members of the faculty determine that a student is not making reasonable progress or is not conforming to the standards of responsible behavior expected of a student of the David Rockefeller Graduate Program, the student and advisor shall be so informed and the established procedures invoked to review the status of the student. If the Faculty Advisory Committee (FAC) or ad hoc committee should recommend that the student be terminated from the Graduate Program, the student will be told whether or not, and under what terms, he or she may be eligible for the MS degree. Students who voluntarily elect to leave the graduate program should consult the Dean to determine their eligibility for the MS degree.

Requirements and Curriculum

- Students must have satisfactorily completed the requirements of the Academic Curriculum of the graduate program.

- The student must write a Master's thesis. An appropriate length would be 30-50 thesis-style pages representing a scholarly review of the primary literature, which may also contain experimental data. The thesis must be presented and examined by an ad hoc committee. The committee shall consist of three Heads of Laboratory, as well as the Dean. Of the three members of the committee, one shall be chosen by the student, one by the Dean, and one shall be agreed upon mutually.

- If a student has begun thesis research, then he or she must have written a thesis research proposal (TRP), which was approved by an advisor and orally defended to a Faculty Advisory Committee (FAC). Depending upon the quality of the proposal and the work that has been derived from it, this may be allowed to replace the Master's thesis requirement described above.

- Once a student has notified the Dean of their decision to leave the Graduate Program, or has been notified that their participation will be terminated, the student, on the recommendation of the FAC or ad hoc committee and at the Dean's discretion, may continue to receive funding for a period not exceeding six months, in order to complete the requirements for the MS degree. To receive the MS degree, all of the requirements, including examination of a thesis, must be completed within twelve months of notice of termination in the graduate program. These periods shall be further limited by the established terms of the graduate program. Funding for students who have declared the intention to receive an MS degree will be at the discretion of the Dean. No student shall receive an MS degree later than the seventh anniversary of their enrollment date.

h. Thesis Preparation

When the FAC determines that a student is ready to write and defend a thesis, the FAC becomes the thesis committee by the addition of a faculty member from another institution. The external member of

the thesis committee may not be a present or recent collaborator of the student or lab, a recent Rockefeller University graduate, nor a person in whose laboratory the student intends to pursue his or her career. Additionally, the external member may not have been present at any FAC meeting prior to the thesis defense. The student must discuss external examiner possibilities with their Head of Lab before presenting them to the Dean for approval. The Dean must review and approve the external member choices before the defense can be scheduled. The student must meet with the Director of Graduate Program Finances and Student Affairs and the Graduate and Postdoctoral Program Coordinator in the Dean's Office to discuss requirements for thesis preparation, defense and graduation. Dates are set for the public lecture and defense (oral exam) and for the submission of the written thesis.

The written thesis is expected to be the student's original work and may not be submitted to the thesis committee without the research advisor's approval. **A student must submit the written thesis to his or her committee a minimum of two weeks prior to the defense.** The last possible date for the oral examination and the public lecture falls approximately five weeks before the June graduation date, so the deadline is usually April 30th.

The written thesis is to be printed for submission to the thesis committee. One copy is made for each member of the committee.

The final version of the thesis, complete with revisions required by the thesis committee, must be submitted to the Dean's Office for binding by April 30th. (Biomedical Fellows are required to submit the final version before returning to medical school.)

Students should realize that the writing of the thesis is a demanding task that takes considerable time. Failure to plan properly may result in a missed deadline for submission of the thesis, which could jeopardize a student's graduation plans.

Any changes in these plans must be made with the knowledge and approval of the Dean's Office. Following the student's public lecture and thesis defense, the Dean's Office must receive written notification from the thesis committee that the student has passed the oral defense and is qualified for graduation. The written notification takes the form of a signed defense letter that is issued immediately after the oral exam is passed. The signed defense letter should then be hand delivered to the Dean's Office.

i. Assessment of Progress

FACULTY REPORTS

Rockefeller teaching faculty do not use conventional grades to evaluate the academic progress of a student. Course performance is assessed on a pass/fail basis. Those who have taught courses or tutored students are asked to submit written reports to the Dean's Office. Satisfactory progress is determined by the Dean through the review of these reports. 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 student's academic program.

Transcript requests must be made **at least 7 days prior to the deadline** for which they are required.

STUDENT'S ANNUAL INDIVIDUAL DEVELOPMENT PLAN

Each student is required to submit to the Dean's Office an annual Individual Development Plan (IDP). The IDP is a written set of goals mapped to a timeline and includes goal setting for research projects,

professional skills development, and career planning. The IDP serves as a framework for discussion between student and HOL to help assess research progress and define experimental goals for the upcoming year. The IDP should also be used to customize career and professional development objectives. The IDP form must be completed by June 1 for students in year 1 and by June 30 for students in years 2+. For students in years 2+, the IDP process includes a meeting between the student and HOL mentor. The submitted IDP form should include the meeting date and signatures of meeting attendees (student and mentor).

THESIS RESEARCH PROPOSAL

Second year PhD students are required to write a Thesis Research Proposal (TRP) and defend it before a Faculty Advisory Committee by June 30th. Third year MD-PhD students must write and defend the TRP by June 30th. Second year TPCB and CBM students must write and defend the TRP by June 30th. The written TRP must be sent to the Dean's Office and a student's Faculty Advisory Committee at least one week in advance of the meeting. Please refer to Pg. 11 for details on the format of the Thesis Research Proposal (TRP).

FAC MEETING

Students meet with their FAC, whenever the student, the advisor, or the Dean considers it necessary or advisable, but **at least once in any twelve-month period**. (This is a program requirement. Failure to comply with the FAC system will jeopardize a student's enrollment in the graduate program.) At these meetings, the student's academic and research activities are reviewed and discussed in relation to more general expectations and plans for formulating and completing a thesis. Timely meetings are especially important for students expecting to complete their thesis research and graduate at the end of the current academic year. **Students should inform the Dean's Office of every scheduled FAC meeting (date, place, time) and notify the Dean immediately if there are changes in FAC membership. Any changes in FAC membership must be approved by the Dean**. For each meeting after the TRP defense, students must provide a research update for the committee by completing the first page of the FAC report form and sending it to Kristen Cullen in the Dean's Office at least one week prior to their FAC meeting date. If a student does not have a FAC meeting during a twelve-month period, they will be placed on academic probation (see Pg. 18). The student will then have a probationary period in which to hold a FAC meeting without penalty.

ANNUAL REAPPOINTMENT

Satisfactory progress in advanced study and research is a minimum requirement for annual reappointment as a Graduate Fellow. Students must file IDPs by June 30 and hold FAC meetings every 12 months in order to maintain good standing and ensure reappointment. Reappointment occurs on July 1 when the Dean's Office verifies academic progress.

It is essential for students to realize that the FAC meeting requirement is not met until the Dean's Office receives a written report from the committee. The FAC Chair writes the report, but it is the student's responsibility to ensure that the report is filed in the Dean's Office. Students who fail to schedule FAC meetings or secure missing reports will jeopardize reappointment.

In the case of a student's progress not being found satisfactory, there are two possible outcomes:

1. The Dean will request a 'probationary' reappointment, during which time specified deficiencies are to be addressed. If deficiencies are remedied during this period, the appointment will continue until July 1st of the following year. Otherwise, reappointment will not be granted.

2. Reappointment will not be recommended.

In the unusual event that the Dean or the directors of the MD-PhD , TPCB or CBM program do not support a student's reappointment, a committee will be formed to review the situation. This committee will include the Dean (and, in the case of an MD-PhD, TPCB or CBM student, the program directors from Rockefeller and Cornell) and the student's Faculty Advisory Committee or research advisor. The student's past performance will be reviewed and problems discussed by the committee. A written report will be issued to the President and the student summarizing the committee's deliberations and recommendations.

In order to be reappointed, it is entirely the student's responsibility to be sure that his or her annual IDP is submitted and that he or she is up-to-date with the FAC system.

For students engaged in experimental research, the goal is that all work towards the degree of Doctor of Philosophy will be completed within five years of the student's enrollment date, and within four and a half years of the MD-PhD student's affiliation date. The Dean's Office will provide stipend, health insurance and a research budget for each student during this period. After this time, the research advisor becomes responsible for providing stipend and health insurance. Students who remain actively engaged in full-time work leading towards degree requirements, will retain their student privileges (e.g. access to housing and other University facilities and medical insurance). PhD students are allowed a maximum of 7 years to complete all degree requirements. MD-PhD students are allowed a maximum of 6.5 years to complete all degree requirements.

j. Academic Disciplinary Action

ACADEMIC PROBATION AND DISMISSAL FROM PROGRAM

In situations where a student is not progressing in the graduate program, he or she may be placed on academic probation. The length of the probationary period will be determined by the Dean. The student should use this probationary time to rectify the specified deficiencies in his or her record. If the probationary period expires without adequate progress, the student may be asked to leave the program, or be suspended without pay until the deficiencies are rectified. Reasons for dismissal include, but are not limited to:

- Failure to complete and/or pass course requirements
- Failure to write and/or receive approval for a thesis research proposal
- Inadequate progression of thesis research

DISMISSAL FROM LAB

In the unusual event that an advisor wants a student to leave his or her lab, the following procedures will apply:

If the student has not submitted and defended a TRP, the student should look for another laboratory in which to conduct their thesis research.

If the student has already completed a successful TRP defense, and if the student wants to remain in the lab:

1. The student and advisor will first meet with the Faculty Advisory Committee and the Dean to address the issue.

2. In the event that a successful resolution cannot be attained, the student and advisor will meet with the Dean and the Graduate Program Advisory Committee. The final decision resides with the Dean.

VI. Course Descriptions and Requirements

In addition to attending the mandatory Seminars on Modern Biology (about 15 two and one half-hour sessions), Experiment & Theory in Modern Biology (about 10 two-hour sessions), Thriving in Graduate School (about 8 two-hour sessions), the Quantitative Understanding in Biology short course (about 10 two-hour sessions) and the Responsible Conduct of Research (RCR) seminars (on-line course work and group meetings), students must satisfactorily complete seven units of coursework. One unit typically consists of 12 two to three-hour classes. Some courses consist of 24 classes and most of these count as 2 units. Evaluation of satisfactory course completion typically consists of a written or oral examination, or preparation of a short research review or proposal. Courses are grouped into 6 major areas (Biochemistry, Structural & Chemical Biology & Biophysics; Cell, Molecular & Developmental Biology; Genetics; Microbiology & Virology; Neurosciences; Bioinformatics, Mathematics and Programming), but students can complete the curriculum requirements by participation in any combination of courses, provided that courses that are particularly relevant to the intended area of thesis research are adequately represented. **Students must complete their curriculum requirements before the end of the second year**, although additional courses may be taken in later years.

SEMINARS ON MODERN BIOLOGY

This series is designed to give the incoming class a chance to interact with faculty in an intensive series of seminars. Participation is mandatory for and limited to first-year PhD students. Participation is not required for MD-PhD, TPCB or CBM students, who will have participated in similar Tri-Institutional sessions. Each session runs from 1-3:30 pm weekdays in September, with some exceptions. In each session, 2-4 faculty members survey their area of research, first with a short, formal presentation and then by participating in a student-led discussion.

EXPERIMENT AND THEORY IN MODERN BIOLOGY

This course is designed to introduce first year PhD students to the methods and principles behind current biological research. Students will meet with the faculty organizers on Monday, Wednesday and Friday from 10 am – 12 pm during the month of September to discuss pre- selected papers that illustrate methods of biological deduction. With guidance from the faculty mentors, students will present papers, discuss them, and formulate conclusions regarding the experimental results. By the end of the course, students should be able to critically read a scientific manuscript and to understand principles used in interpreting scientific data. There are no prerequisites for the course.

THRIVING IN GRADUATE SCHOOL

This series is designed to introduce PhD students to the skills needed to succeed in the first year of graduate school and beyond. Session topics include: Scientific Writing, Finding Yourself in Science at RU, Using AI for Science, Thinking Quantitatively and Creatively, and Integrity in Presenting and Publishing Science.

QUANTITATIVE UNDERSTANDING IN BIOLOGY SHORT COURSE

This course prepares students to apply quantitative and statistical techniques to the analysis of experimental data. To emphasize both practical and theoretical skills, the course involves hands-on exercises and homework using the GraphPad Prism program. Students will be well positioned to meet the emerging requirements of funding agencies for formally planned experiments and fully reproducible and documented data analysis methods. Specific topics include: graphical, mathematical

and verbal communication of quantitative concepts; selection of appropriate statistical tests and the interpretation of their results; the design of appropriately sized experiments; the formulation, evaluation and analysis of mathematical models of biological function, with an emphasis on linear and non-linear regression, determination of model parameters; and the critical comparison of alternative models with regard to over-parameterization.

RESPONSIBLE CONDUCT OF RESEARCH (RCR)

Rockefeller's RCR training course is provided in collaboration with neighboring Memorial Sloan-Kettering Cancer Center and Weill Cornell Medical College. The course heightens the awareness of trainees to ethical considerations relevant to the conduct of research, informs them of federal, state and institutional policies, regulations and procedures, and provides trainees with critical analysis and problem-solving skills for ethical decision-making. The course is offered twice per year and is mandatory for all first year Rockefeller students.

Overview of Courses in the Biological Sciences 2026-2028

Most courses are offered on a two-year cycle. Participation in a course requires students to attend all sessions. The most widely used format for courses consists of twelve sessions of two to four hours, comprising a lecture, discussions and review of relevant articles from the literature. Students desiring more information about course content and participation or qualification requirements are encouraged to approach the organizers.

2026-27	Fall	Winter	Spring and Summer
	Chemical Biology Kapoor/Vinogradova/Lyu	**Cell Cycle Control** F. Cross/Funabiki	**Bioinformatics** Carroll
	Experiment and Theory in Modern Biology Simon/Stearns	**Introduction to Programming for the Life Sciences** Syberg	**Cell Biology of Nuclear Processes** Smogorzewska
	Molecular Basis of Cancer Tavazoie	**Science Diplomacy** Ausubel/Holford	**Quantitative Understanding in Biology Short Course** Banfelder/Skrabanek
	Responsible Conduct of Research Tri-Institutional Faculty	**Virology** Hatziioannou	**Topics in Neuroscience** Members of the Rockefeller Faculty
	Seminars on Modern Biology Rockefeller Faculty		**Virology (continued)** Hatziioannou
	Thriving in Graduate School Stearns/Harms/Morris		

2027-28	Fall	Winter	Spring and Summer
	Biochemical and Biophysical Methods I Alushin/Darst/Liu/Rout	**Biochemical and Biophysical Methods II** Alushin/Darst/Liu/Rout	**Bioinformatics** Carroll
	Cellular and Organismal Metabolism Birsoy/Cohen	**Cell Biology** Simon/Stearns	**Biology by the Numbers** Flamholz
	Chemical Biology Kapoor/Vinogradova/Lyu	**Introduction to Programming for the Life Sciences** Syberg	**Cell Biology (continued)** Simon/Stearns
	Experiment and Theory in Modern Biology Simon/Stearns	**Science Diplomacy** Ausubel/Holford	**Genetics and Evolution** Cross/Kronauer/Zhao
	Math Review for Biologists Magnasco		**Mathematical Modeling** Magnasco
	Responsible Conduct of Research Tri-Institutional Faculty		**Microbial Pathogenesis** Marraffini/Rock
	Seminars on Modern Biology Rockefeller Faculty		**Quantitative Understanding in Biology Short Course** Banfelder/Skrabanek
	Stem Cells in Tissue Morphogenesis and Cancer Fuchs/Brivanlou		**Social Evolution and Behavior** Kronauer
	Thriving in Graduate School Stearns/Harms/Morris		

Fall 2026 – September 9 – October 2

Hour	Monday	Tuesday	Wednesday	Thursday	Friday
10	Experiment and Theory in Modern Biology	Thriving in Graduate School	Experiment and Theory in Modern Biology	Thriving in Graduate School	Experiment and Theory in Modern Biology
11					
12					
1	Seminars on Modern Biology	Seminars on Modern Biology	Seminars on Modern Biology	Seminars on Modern Biology	Seminars on Modern Biology
2					
3					
4			Responsible Conduct of Research		

Fall 2026 – October 5 – December 18

Hour	Monday	Tuesday	Wednesday	Thursday	Friday
9					
10	Molecular Basis of Cancer Lectures				
11					
12	Molecular Basis of Cancer Journal Clubs				
1		Chemical Biology			
2					

Winter 2026-27: January 4 – March 26

Hour	Monday	Tuesday	Wednesday	Thursday		Friday
10		Virology Lectures				
11						
12		Virology Lunch Discussions				
1				Cell Cycle Control		
2						
3			Introduction to Programming for the Life Sciences		Science Diplomacy	
4						
5						

Spring 2027: March 29 – June 18

Hour	Monday	Tuesday	Wednesday	Thursday	Friday
10		Virology Lectures	Cell Biology of Nuclear Processes		
11					
12		Virology Lunch Discussions			Bioinformatics
1	Bioinformatics				
2					
3					
4					
5			Quantitative Understanding in Biology Short Course		
6					
7					

Course descriptions are listed alphabetically within subject areas. The course unit value is indicated in parentheses. Participation in seminars, tutorials, journal clubs and minor courses for which no value is indicated cannot be used as part of the curriculum qualification.

Biochemistry, Structural & Chemical Biology & Biophysics

Biochemical and Biophysical Methods I & II (2 for each part)

Gregory Alushin, Seth Darst, Shixin Liu, Michael Rout

This course presents the fundamental principles of biochemistry and biophysics, with an emphasis on methodologies. In addition, case studies are discussed, examining how physical and chemical methods have been used to establish the molecular mechanisms of fundamental biological processes. The course is offered in two consecutive semesters. Part I introduces biological macromolecules and experimental tools for dissecting their three-dimensional structures and assembly principles. Part II covers methods aimed at delineating the conformational fluctuations, chemical turnovers, and kinetic trajectories of biological complexes at molecular, cellular, and evolutionary scales. There will be a two-hour session biweekly. The recommended reading is The Molecules of Life: Physical and Chemical Principles by John Kuriyan et al.; Molecular Biology of the Cell by Bruce Alberts et al.; Physical Biology of the Cell by Rob Phillips et al. The method of evaluation for Part 1 will be a written specific aims page and five-minute oral presentation of an original research proposal. Part II will be a two-page written review and five-minute oral critique of a topical preprint.

Chemical Biology (1)

Tarun Kapoor, Katya Vinogradova, and JK Lyu

The spirit of this course is to explore the complexities of modern biology using the tools of chemistry. The lectures cover amino acid chemistry, nucleic acid chemistry, posttranslational modifications of proteins, discovery and use of chemical probes to examine cellular mechanisms, membrane chemistry, chemical tools for imaging, and natural product biosynthesis. The method of evaluation is class attendance, active participation in the discussions and exams (midterm and final).

Cell, Molecular & Developmental Biology

Cell Biology (2)

Sanford Simon and Tim Stearns

This is an advanced course covering major topics in modern cell biology, taught by faculty and visitors who are specialists in various disciplines of Cell Biology. A good knowledge of textbook cell biology is a prerequisite for effective participation. The course will be completed with an oral exam. Recommended text for cell biology: *Molecular Biology of the Cell* by Alberts et al., Garland Publishing, Inc. Recommended text for histology: *Basic Histology* by Junquera, Kaniero and Kelly, 2016 edition.

Cell Biology of Nuclear Processes (2)

Agata Smogorzewska

The eukaryotic cell nucleus is a highly specialized organelle that carries the cell's genetic information and coordinates biological activities such as cell growth, metabolism, protein synthesis, and reproduction. This course will cover various aspects of nuclear function, with sessions focused on gene transcription, RNA processing and modification, the nuclear envelope and nuclear pore complexes, cell cycle control, DNA replication, DNA repair, DNA damage response and telomeres, genome organization, chromatin structure and function, and chromosome segregation. The course will be taught by the Rockefeller faculty (Titia de Lange, Bob Roeder, Mike O'Donnell, Mike Rout, Viviana Risca, Fred Cross, and Agata Smogorzewska) and invited speakers from Tri-I institutions, including John Maciejowski and Steven Josefowicz.

Cell Cycle Control (1)

Frederick Cross and Hironori Funabiki

This seminar explores the current understanding of eukaryotic cell cycle control. Topics include the construction of a biochemical oscillator and overall structure of cell cycle control; positive and negative control of DNA replication; spindle morphogenesis and function; chromosome cohesion control; surveillance mechanisms (checkpoints) monitoring spindle and DNA integrity; and control of proliferation (start/restriction point control). The seminar relies heavily on studies in model organisms, but the emphasis throughout will be on aspects of cell cycle control conserved among eukaryotes. The method of evaluation is class attendance, homework exercises and active participation in the discussions.

Cellular and Organismal Metabolism (1)

Kivanc Birsoy and Paul Cohen

This course covers fundamental aspects of cellular (biochemical pathways) and organismal metabolism, as well as exciting new applications of these pathways to diseases such as obesity, diabetes, and cancer. Lectures are given by the two course directors, as well as outside experts in the field. The format consists of a weekly, two-hour lecture, followed by discussion. The main prerequisite is an undergraduate biochemistry course. The required reading consists of a biochemistry textbook and discussion papers. Recommended texts are Biochemistry (Lehninger), Navigating Metabolism (Navdeep Chandel). The method of evaluation is classroom attendance, active participation in discussions, and presentations.

Molecular Basis of Cancer (2)

Sohail Tavazoie

This course is designed to teach modern concepts in the regulation of growth control and its significance to cancer. The format consists of a weekly, two-hour lecture followed by informal discussion over lunch. Each lecture is accompanied by a review and a research article to be discussed at lunch. The required textbook is *The Biology of Cancer*, by Robert A. Weinberg, 2nd edition, Taylor and Francis, Inc., 2013. A reference list is distributed at the first session. The method of evaluation is class attendance, active participation in the discussions and a take home final exam.

Stem Cells in Tissue Morphogenesis and Cancer (2)

Elaine Fuchs and Ali Brivanlou

This course aims to present and discuss key concepts in stem cell biology drawing on research from planaria, *Drosophila*, zebrafish, mouse and human. We cover basic principles of stem cells from self-

renewal to tissue development, homeostasis, wound-repair and cancer. In addition to the basic lectures, there are 6-7 guest speakers who are world renowned leaders in the field. Although these lectures are open to the public, they are geared towards students enrolled in the course. Following each of these lectures, speakers lead a discussion with the class. Course credit is awarded based upon participation in lectures and class discussions, as well as a written paper. Students are required to attend lectures and class.

Systems Biology: Process, Relation & Scale (1)

Amy Shyer and Alan Rodrigues

Systems biology has been defined as the study of biological systems whose behavior cannot be reduced to the linear sum of their parts. Today, systems biology has become synonymous with studies of large numbers of components. However, vast datasets are not sufficient for a systems approach. A systems biology approach also attempts to understand how the 'whole' or system-level properties emerge from the *interactions* between the parts. Using this approach, this course will investigate the formation, maintenance, and breakdown of biological systems. Invited guests will participate in discussions grounded in specific research areas within the fields of developmental biology, regeneration, cell biology, cancer, and neuroscience. Students are expected to absorb the fundamental principles of systems biology including self-organization, emergence, complexity, and causality in networks. They will also be expected to articulate how such principles could play a role in defining contemporary research questions in the lab. Course credit is awarded based on participation in weekly discussions, as well as a written paper.

Genetics

Genetics and Evolution (2)

Frederick Cross, Daniel Kronauer, and Li Zhao

This seminar covers the basic mechanisms of genetics and evolution including the generation of mutations and genetic segregation; linkage and recombination (with emphasis on linkage/segregation in eukaryotes). The course also considers changes in population genotypes when these basic genetic mechanisms are operating in the presence or absence of selective pressure. Changes in population genotypes can have effects ranging from polymorphism at neutral loci to the evolution of distinct species. Such changes are also used in historical analysis to trace migrations, evolution and coevolution in diverse biological contexts. The method of evaluation is class attendance, homework exercises, and active participation in the discussions.

Bioinformatics, Mathematics and Programming

Biology by the Numbers (2)

Avi Flamholz

Beneath the surface of every diagram or fundamental concept in a biology textbook is an essential set of numbers: counts, concentrations, rates, sizes, and energies. What are these numbers, and what can we learn from them?

The goal of this course is to introduce students to quantitative reasoning about biological systems. While knowing numbers at an approximate level (e.g., typical rates of transcription and translation) is an

important goal, equally important is learning to reason quantitatively using these numbers (e.g., learning to formulate problems such as: “How does diffusion constrain cell sizes?”).

Mathematical knowledge required for this course will be mainly simple arithmetic – we will focus on formulating and assessing “order-of-magnitude” estimates about biological systems. The course will culminate in an open-ended project where students will take on an ambitious estimation problem from any area of biology and carry out a rigorous quantitative analysis. Students present these projects to the class and elaborate on them in a written report.

Bioinformatics (2)

Thomas Carroll

In this course, the analysis of high-throughput sequencing using R and Bioconductor will be introduced. Students will learn the fundamentals of data handling in R, review the standard high-throughput sequencing data types, and manipulate this data using the Bioconductor R libraries. The course will then step through the processing and analysis of published RNA-seq, ChIP-seq, and ATAC-seq data.

The course will conclude with sessions introducing emerging AI-assisted approaches for bioinformatics analysis. Students will explore how these tools can support project organization, workflow development, code review, troubleshooting, documentation, and interpretation, while emphasizing best practices for reproducibility, transparency, and critical evaluation of computational results.

Introduction to Programming for the Life Sciences (2)

Seth Syberg

In this course, students learn how to write code in a single programming language. The course focuses primarily on learning to write general purpose programs in the Python programming language. Towards the end, students learn about shell scripting and the R programming language. The method of evaluation is class attendance, active participation in the discussions, programming exercises during class and a weekly programming challenge outside of class. Students who wish to take the course for credit must complete a final project.

Mathematical Modeling (1)

Marcelo Magnasco

This is an introduction to important topics in mathematical modeling and quantitative biology. A representative selection of subjects includes basic dynamics, fixed points and bifurcations, spiking neuron models, diffusion, chemical kinetics and systems biology, and stochastic simulation. Lectures introduce each topic and lab sessions cover programming methods in Python. The course is intended to be accessible to students who have taken Math Review for Biologists, or who have a similar level of facility with calculus, linear algebra, and basic Python programming. Students are expected to attend a two-hour lecture and discussion session and a two hour coding lab session each week. The method of evaluation is completion of a final project.

Math Review for Biologists (0)

Marcelo Magnasco

This is an intensive skill development course, starting with calculus and linear algebra and leading up to

differential equations, Fourier transforms, and related computational methods for model simulation. A concurrent journal club explores the major historical papers as well as contemporary biological modeling papers proposed by the students in full line-by-line detail. The method of evaluation is weekly attendance, active participation in the class discussions and journal clubs.

Quantitative Understanding in Biology (2)

Jason Banfelder and Luce Skrabanek

This course prepares students to apply quantitative techniques to the analysis of experimental data. To emphasize both practical and theoretical skills, the course involves several hands-on workshops, and requires the completion of several projects. Students will be well positioned to meet the emerging requirements of funding agencies for formally planned experiments and fully reproducible and documented data analysis methods. Specific topics include: practical aspects of data formatting and management: graphical, mathematical and verbal communication of quantitative concepts; a review of statistics, with emphasis on the selection of appropriate statistical tests, the use of modern software packages, the interpretation of results, and the design of experiments; the formulation, evaluation and analysis of mathematical models of biological function, with an emphasis on linear and non-linear regression, determination of model parameters, and the critical comparison of alternative models with regard to over-parameterization. Grades are determined based on several take-home problem sets, and a midterm and final exam.

Microbiology & Virology

Microbial Pathogenesis (2)

Luciano Marraffini and Jeremy Rock

Infectious diseases continue to be a leading cause of human morbidity and mortality worldwide as well as an important cause of economic loss and the 'poverty trap' in developing countries. Microbial Pathogenesis focuses on the molecular mechanisms of host-pathogen interactions and pathogenesis of representative bacterial, fungal and protozoan diseases. Topics include malaria, trypanosomiasis, toxoplasmosis, selected gram-negative and gram-positive bacterial infections, pathogenic mycobacteria, opportunistic mycoses, the evolution of pathogenicity and the impact of the host microbiota during microbial pathogenesis, and the development of antimicrobials and vaccines. The course is taught by Rockefeller and Cornell faculty and selected guest speakers. Each class includes a lecture followed by an in-depth discussion of assigned papers with the lecturer. The discussion can be continued at lunch with the speaker.

Each class includes a lecture, followed by one or two (depending on the number of students) 20-minute presentations by students on a paper suggested by the speaker in which they outline follow-up experiments. Lunch with the speaker follows for a set of interested students. Course requirements include attendance, participation in the discussions, individual presentations and a three-page research proposal at the end of the course.

Virology (2)

Theodora Hatziioannou

In this course, Rockefeller faculty and selected visitors give lectures and lead discussions about virology with major emphasis on the cellular and molecular biology of animal viruses. Topics include virus structure, replication, molecular genetics and gene expression, interactions with host cells, immunology,

pathogenesis, viral vaccines, antiviral therapy and resistance. A number of model systems are discussed, including cytocidal, steady-state and tumorigenic virus-cell interactions. Session- specific papers will provide background material and topics for discussion at the weekly journal clubs. Course requirements include class attendance, active participation in the discussions, presentations during journal club and a written grant proposal.

Neurosciences

Social Evolution and Behavior (2)

Daniel Kronauer

This intensive one-week course held at The Rockefeller University Center for Field Research in Millbrook, NY includes lectures, workshops, paper discussions, student presentations and field outings. The course explores complex questions from a variety of angles including genetics, behavioral ecology, ethology, neuroscience, as well as evolutionary and theoretical biology. It covers a broad range of biological systems, ranging from single genetic elements, social microbes, insects and vertebrates, to mutualistic interactions between species. Course requirements include active participation in the discussions, student presentations and hands on workshops.

Topics in Neuroscience (2)

Members of The Rockefeller University Faculty

In this course, Rockefeller neuroscience faculty will present a common core of concepts in modern neuroscience, including biological membranes, ions and electrical signaling; synaptic function and plasticity; neuronal cell biology, neuroanatomy, neurogenesis and neural degenerative diseases; processing and coding of sensory information, neural integration and evolution. The course emphasis is on reading and assessing primary literature to develop quantitative reasoning and experimental design skills to better understand mechanisms across levels of biological organization and functioning within the nervous system.

General

CSHL and MBL (1)

One unit of graduate credit will be granted for courses taken at Cold Spring Harbor Laboratory (CSHL) and the Marine Biological Laboratory at Woods Hole (MBL). In order to qualify for credit, the course must meet for a minimum of 2 weeks (a week being defined as 40+ hours of lecture/lab work) and the Dean's Office must receive written evaluation of the student's performance from the course instructor. A student may only receive credit for one CSHL or MBL course during his/her tenure as a graduate student. Courses at institutions other than CSHL or MBL will be evaluated for credit on a case by case basis.

Mini-Courses (0.5)

Mini-courses provide short, intensive learning opportunities on emerging topics, specialized methods, or interdisciplinary themes that complement the regular graduate curriculum. They allow members of the Rockefeller community to respond quickly to developments in bioscience, share specialized expertise, and try new approaches to teaching. Each mini-course will carry 0.5 units. A maximum of 2 units of mini-course credit, equivalent to four mini-courses, may be applied toward graduate degree course requirements.

Science Diplomacy: Thinking Globally about the Biological and Medical Fields (0)

Jesse Ausubel and Mande Holford

The shorthand term 'Science Diplomacy' spans wide-ranging activities connecting science and technology with international affairs. With an emphasis on global health and medicine, this course considers the larger context of dealing with nations in conflict, the role of finance, women and technology in development, innovation in the public and private sectors, and views of Science Diplomacy from outside the United States. This six-week course of seminars samples the current landscape of Science Diplomacy issues, programs, and organizations. The goals of the course are to help early career biomedical scientists: (a) think more systematically about the global potential of their work, including ethical, political, and economic implications and (b) become acquainted with the people, networks, and resources available for scientific cooperation involving nations with whom cooperation may be especially difficult. As a conclusion to the course, clusters of participants are challenged to develop a concept or proposal for a Science Diplomacy activity that connects importantly to their own current research and interests. Ten of the most engaged students are invited to join a field trip in March to Washington, DC to meet with prominent Science Diplomacy practitioners and tour relevant institutions.

Care and Use of Laboratory Animals

Comparative Bioscience Center (CBC) staff
Call x8642 for schedule information.

This seminar introduces the student to federal and state regulations and NIH policy governing the use of laboratory animals in research. Instruction is also offered on preparation of a protocol for approval of animal use, resources available at the CBC, aseptic technique, anesthesia, euthanasia, and common zoonotic diseases. Once a student attends this course, key card access to the facility is approved. Announcements for upcoming hands-on animal training events are posted on the bulletin board outside the CBC first floor elevator.

VII. Policies, Procedures, and Rules

a. Standard of Conduct

Students are expected to be knowledgeable of and comply with the rules and regulations in the Graduate Student Guide, as well as the University Policies Handbook. The University strives to maintain an atmosphere in which freedom of expression, intellectual inquiry and mutual respect are valued. Students, in accepting admission to the graduate program, agree to act responsibly and respectfully of the Rockefeller University community and all of its individual members. Students 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.

b. The Rockefeller University Policy for Allegations of Sexual Misconduct Concerning a Student (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 cases involving sex discrimination, sexual harassment,

sexual violence, relationship violence, sexual assault, and/or stalking involving a student.[1]

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 student 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").

A. 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 student'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.

B. Article 129-B: Article 129-B is a New York State Law, which affords protections for students 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 student, regardless of whether the accused is a

[1] This policy may be applied when the complainant is an employee in certain, limited circumstances.

student, 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 student 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 student who is the victim of sexual violence, relationship violence, and/or stalking is afforded the protections outlined in the Students' 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

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.

Non-Discrimination in Application

The requirements and protections of this policy apply equally regardless of race, color, national origin, religion, creed, age, disability, sex, gender identity or expression, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, criminal conviction, or other protected classes covered by federal or state law. All requirements and protections are equitably provided to individuals regardless of such status or status as a Complainant, Respondent, or Witness. Individuals who wish to file a complaint about the University's policy or process may contact the Department of Education's Office for Civil Rights using the following contact information available at https://ocrcas.ed.gov/contact-ocr.

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 student behavior, rights, and responsibilities, while such student 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 conduct that a reasonable person would determine is so severe, pervasive, and objectively offensive 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[2] 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 student 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

[2] 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.

complainant that are made without unreasonably burdening the other party.[3]

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, or online during business and non-business hours to the office address listed for the Title IX Coordinator.[4]

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.

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

- Department Heads of the Dean's Office, Human Resources, Housing, and Security;
- Michael Murphy, Assistant Director of Security, Emily Harms, Senior Associate Dean; Andrea Morris, Director of Career and Professional Development; Marta Delgado, Director, Graduate Program Administrator of Finances and Student Affairs; and Kristen Cullen, Graduate Admissions Administrator and Registrar, Tania Granados, Director of Employment, Kimberly Preston, Director of HR Compliance.

Online

[3] See "Non-Investigatory Measures Available Under Title IX and Article 129-B Grievance Policy" of this policy.

[4] A reported violation of this policy does not of itself necessitate an investigation. See, "The Grievance Process" for requirements of an investigation.

Non-Emergency Reports May be Made Using the following link.
https://cm.maxient.com/reportingform.php?RockefellerUniv&layout_id=0

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 officials 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 may wish to contact 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 University Health & Wellness. 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 consents to the 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 Department and/or has the right to request that a confidential resource provide assistance in reporting to the Title IX Coordinator.

Confidential Resources:
Confidential Resources are available through University Health & Wellness, ("UHW"), which is located in The Rockefeller University Hospital, Room 118. The Director of UNW is:

- Janica L. Barnett, Director, OHS
  email: jbarnett@rockefeller.edu

The University offers on-site counseling with Weill-Cornell affiliated Mental Health Specialists. Please contact UHW (X8414) or call (212) 327-7257 to schedule an appointment:

- Eric Goldwaser, DO, Ph.D., Psychiatrist
- Lorraine Lothwell, MD, Psychiatrist

- Laura Bhatt, LCSW.
- Lauren Rosenblum, LCSW

Outside Confidential Resources:
If an individual prefers to make an anonymous report and/or speak with someone who has no affiliation 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 cataloged 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;
- 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).
- Weill Cornell Psychiatry Center: (646-962-2820)

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 students. 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 formal grievance (complaint under this policy). Supportive measures are non-disciplinary and non-punitive. Supportive Measures may be 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 student 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-student 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 students 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 student 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 the 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 the 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 student 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 and129-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 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 students to participate in the process directly and not through an advocate or representative. Students 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 additional 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 parties must submit any evidence they would like included in the investigation prior to beginning of the 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. An 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.

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 student. 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 is 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.
    a) 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, which 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.

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 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 student at the University is of utmost importance. The University recognizes that students 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 students to report any of the above misconduct to the University. 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 under this policy 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 STUDENTS' BILL OF RIGHTS RELATING TO SEXUAL VIOLENCE, RELATIONSHIP VIOLENCE, AND/OR STALKING

All University students 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 student; 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 concerning University students' 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 student 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

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

These individuals are trained in interviewing victims of sexual assault and will offer information about a student'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 student privacy, if not confidentiality, and will inform the student of other reporting options. They will also offer a student 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 Students

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 (UHW) is available free of charge to all University students.

- UHW 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 student receiving private medical attention.
- UHW 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.

UHW 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 UHW 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 students and employees. EAP, which is offered through Health Advocate, 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.

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/; and by contacting The New York State Office of Victim Services: tel: 800-247-8035 or www.ovs.ny.gov.

University Protections and Accommodations for Its Students

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

- No Contact Order: When the accused is a student, 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 student may request that the University's Director of Security or other appropriate University representative assist the student in obtaining a court order of protection and/or explain to the student the order and the consequences of violating the order. The University will provide to the student, 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 University student 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 student 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 student 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 students found responsible for a violation pursuant to the University's investigation and appeal process that the student 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 students that they "withdrew with conduct charges pending." Such notation will not be removed prior to one year after the 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.

c. Sexual Assault, Domestic Violence, Stalking and Bias-Related and Hate Crime Policies and Procedures

The following information about various criminal laws is provided pursuant to Article 129-A of the New York State Education Law.

I. Sexual Assault, Domestic Violence, and Stalking

A. Sexual Assault

1. What is Sexual Assault?
Sexual assault includes any unwanted physical contact of a sexual nature perpetrated against another person. It includes vaginal, anal, or oral penetration, forcible touching, rape, attempted rape, and child molestation.

2. Applicable Laws and Penalties for Commission of Sexual-Assault-Related Offenses
Various provisions of New York State criminal law relate to sexual assault, including the following sections of Article 130 of New York State Penal Law:

Section 130.20 - Sexual Misconduct. This offense includes sexual intercourse without consent. The penalty for violation of this section includes imprisonment for a term not to exceed 364 days.

Section 130.25/.30/.35 - Rape. This offense includes sexual intercourse with a person by forcible compulsion or because the person is incapable of consent by reason of being mentally disabled, mentally incapacitated, or physically helpless, or when the other person is below a certain age. The penalties for violation of these sections include imprisonment for a term of one-and-one half years to a term of 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 term not to exceed 364 days.

Section 130.55/.60/.65 - Sexual Abuse. This offense includes sexual contact with a person by forcible compulsion, or with a person who is incapable of consent due to physical helplessness, or when the other person is below a certain age. The penalties for violation of these sections include imprisonment

for a term not to exceed three months to a term not to exceed seven years.

Section 130.65-a/.66/.67/.70 - Aggravated Sexual Abuse. This offense occurs when a person inserts a finger or foreign object in the vagina, urethra, penis, rectum or anus of another person by forcible compulsion, when the other person is incapable of consent by reason of being mentally disabled, mentally incapacitated, or physically helpless, or when the other person is below a certain age. 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 include imprisonment for a term of one and one-half years to a term of 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. The penalty for violation of this section includes imprisonment for a term of two years to a term of seven years.

3. Sexual Assault Prevention

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).
- 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, restaurants, businesses are open late at night?

B. Domestic Violence and Dating Violence

1. What are Domestic Violence and Dating Violence?

Domestic violence and dating violence include a single incident or pattern of abusive behavior, committed by a current (or former) spouse or intimate or dating partner, to gain or maintain power and control over the other spouse or 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 can happen to persons who are (or were) married, living together, or dating. This includes any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.

2. Applicable Laws and Penalties for the Commission of Domestic-Violence and Dating-Violence-Related Offenses

Various provisions of New York State and federal law relate to domestic and dating violence, including:

Family Protection and Domestic Violence Intervention Act of 1994, N.Y. Family Court Act § 812, N.Y. Crim. Proc. Law § 530.12 (and other sections) – This New York State law strengthens the procedures for law enforcement response to, and increases penalties for, acts of violence within the household, including enhanced procedures for orders of protection.

Article 120 of the New York State Penal Law includes the following provisions related to domestic

violence and dating violence:

Section 120.00/.05/.10 - Assault. This offense includes the intentional or reckless or criminally negligent causing of physical injury to another person or to a third party. The penalties for violation of these sections include imprisonment for a term not to exceed 364 days to a term not to exceed 25 years.

Section 120.13/.14/.15 - Menacing. This offense includes following a person, 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. The penalties for violation of these sections include imprisonment for a term not to exceed three months to a term not to exceed 25 years.

The Violence Against Women Act of 1994 (VAWA), 18 U.S.C. § 2261-2266 and other sections – These federal offenses include causing physical injury or stalking and are applicable to violence against a spouse, intimate partner, or dating partner when the perpetrator crossed state lines to commit the offense. VAWA also provides 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 of these sections include imprisonment for a term of not more than five years to a term of life, if the crime of violence results in death.

C. Stalking

1. What is Stalking?

Stalking includes a pattern of unwanted attention, harassment, contact, or any other course of conduct directed at a specific person that may cause a reasonable person 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, app-based messages, text messages), contacting the person's family, friends, neighbors, or work, repeatedly sending unwanted items or gifts, direct or indirect threats to harm the person (and/or family members and friends) or damage property, following the person, trespassing, hiring private investigators, and surveillance or other types of observation.

2. Applicable Laws and Penalties for the Commission of Stalking-Related Offenses

Various provisions of New York State criminal law relate to stalking, including the following:

Articles 120 and 240 of New York State Penal Law include the following provisions related to stalking: Section 120.45/.50/.55/.60 – Stalking. This offense 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. It includes conduct that can cause material harm to the mental or emotional health of the person, or conduct that is likely to cause the person to reasonably fear that his or her employment, business or career is threatened. The penalties for violation of these sections include imprisonment for a term not to exceed three months to a term not to exceed seven years.

Section 240.25/.26 - Harassment. This offense includes intentional and repeated harassment by following a person in or about a public place or places, by committing acts which alarm or seriously annoy such 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 person to physical contact, or attempts or threats to do the same. The penalties for violation of these sections include imprisonment for a term not to exceed fifteen days to a term not to exceed three months.

Section 240.30/.31 – Aggravated Harassment. This includes the conduct constituting harassment described in Section 240.25/.26 as well as communication of a threat to cause physical harm to, or unlawful harm to the property of, a person or a member of such person's family or household, which the actor knows or reasonably should know will cause such person to reasonably fear harm to such person's or family or household member's physical safety or property, and harassment because of a bias-related belief or perception, regardless of whether such belief or perception is correct. (See also II(B) below). The penalty for violation of this section includes imprisonment for a term not to exceed four years.

II. Bias-Related and Hate Crimes

A. What is a Bias-Related or Hate Crime?
A bias-related or hate crime is a crime involving violence, intimidation or destruction of property because of a belief or perception regarding the race, color, national origin, ancestry, gender, gender identity or expression, religion, religious practice, age, disability or sexual orientation.

B. Applicable Laws and Penalties for Commission of Bias-Related and Hate Crimes:
Various provisions of New York State and federal law relate to bias-related and hate crimes, including the following.

Hate Crimes Act of 2000, N.Y. Penal Law Art. 485 – This law enhances criminal penalties for a list of enumerated offenses when a perpetrator intentionally selects a person or intentionally commits the acts constituting an offense because of a belief or perception regarding the person's race, color, national origin, ancestry, gender, gender identity or expression, religion, religious practice, age, disability, or sexual orientation.

N.Y. Penal Law § 240.30/.31 – Aggravated harassment. This offense includes harassment of a person because of a belief or perception regarding such person's race, color, national origin, ancestry, gender, gender identity or expression, religion, religious practice, age, sexual orientation, regardless of whether the belief or perception is correct. The penalty for violation of this section includes imprisonment for a term not to 364 days to a term not to exceed four years.

N.Y. Civil Rights Law § 40-c/40-d – This offense includes discrimination or harassment in the exercise of civil rights because of race, creed, color, national origin, sex, marital status, sexual orientation, gender identity or expression, or disability. The penalties for violation of this section includes imprisonment for a term not to exceed 364 days.

Hate Crimes Prevention Act, 18 U.S.C. 249, 34 U.S.C. § 30501-30507 – These federal offenses include causing bodily injury or death because of the actual or perceived race, color, religion, national origin, gender, sexual orientation, gender identity or disability of a person. The penalties for violation of these sections include imprisonment for a term not to exceed ten years to life, if the crime results in death.

Hate Crimes Sentencing Enhancement, 18 U.S.C. Appx. § 3A1.1 – The federal sentencing guidelines provide for a longer sentence where a crime against a person or property was because of actual or perceived race, color, religion, national origin, ethnicity, gender, gender identity, disability, or sexual orientation.

III. Reporting Sexual Assault, Domestic Violence, Dating Violence, Stalking, or Bias-Related and Hate Crimes

Sexual Assault, Domestic Violence, Dating Violence, Stalking, or Bias-Related and Hate Crimes

occurring on campus should be reported to the Security Department as promptly as possible. The campus emergency number is Ext. 1111, or (212) 327-7111, and reports can 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/7 days per week.

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 student, the guard will inform the Security Director, the Dean of Graduate and Postgraduate Studies or their designee immediately.

Persons wishing to report a crime or incident in confidence can do so by contacting the Security Office at Ext. 8506/ 212-327-8506. 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, including:

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

IV. Counseling and Support Services:

Confidential access to personal counseling and mental health care for Graduate and Biomedical Fellows is available through our on-site psychiatrist and social workers. To schedule a confidential appointment, please call 212-327-7257. Other counseling and mental health resources include medical staff within the University Health and Wellness Center (212-327-8414), and mental health services that are covered by the University's insurance.

Students also have access to the University's Employee Assistance Program (EAP), which provides immediate and confidential assistance for many work, health, or life concerns. The EAP can provide short-term counseling and referrals for long-term treatment. The EAP is available to you and your family. It's confidential - information will be released only with your permission or as required by law. Visit workhealthlife.com/Standard3 or call 888.293.6948, 24 hours a day, seven days per week for assistance. Be sure to identify The Rockefeller University as your employer.
Off-campus resources include the NYS Sexual Assault Forensic Examiner (SAFE) Designated Hospital Program for Sexual Assault Survivors, Safe Horizon's Rape/Sexual Assault and Domestic Violence Hotline, and other resources, further information about which is available on the Human Resources Department website (Title IX tab).

d. Maintenance of Public Order

Students, 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.

e. 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 student 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.

f. 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.

g. 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://formspolicies.rockefeller.edu/getfile.php?type=Policy&file=IT_CompElecCommPolicy_pdf for further information.

h. Intellectual Property and Copyright

A student 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 student uses some material to make a patentable invention, he or she might discover it is the supplier of those materials and not the student who owns the invention!

i. Internship Policy

Graduate students who have successfully defended their TRP and are in good academic standing may conduct short internships in various disciplines while still enrolled in the graduate program. To conduct an internship, approval from the Dean and Faculty Advisory Committee (FAC) is required. The Dean's Office must receive written approval of the proposed internship (including start and end dates) from the student's Faculty Advisory Committee (including advisor). The length of the internship must also be approved by the Dean.

For internships up to one month, students may continue to receive a graduate student stipend and retain housing eligibility. Students will not be paid a graduate student stipend for paid internships. Details for longer internships will be determined on a case-by-case basis.

Annual report and FAC meeting requirements must still be fulfilled while on an internship.

j. Laboratory Care and Animal Use

Students who plan to be working with research animals are urged to contact the Comparative Bioscience Center (CBC) as soon as they recognize their 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 x8642. 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.

k. Leave of Absence

In special circumstances, a student may be granted or requested to take a leave of absence.

Requests for a leave of absence must be made in writing to the Dean. A leave of absence with automatic reinstatement as a Graduate Fellow may be granted for up to one year. The request for a leave of absence will be reviewed by the Dean and research advisor. They may wish to consult with a faculty committee convened for that purpose. If a leave of absence is granted for a period longer than one year, the Dean, the research advisor and 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 student must submit a letter from a physician knowledgeable about the student's situation recommending that a medical leave of absence be granted. Re-entry into the graduate program will be contingent upon receipt of a written recommendation by the student's physician stating that the student is ready to return to the program. The Dean, research advisor and FAC (if convened) may wish to request a separate evaluation of the student by a physician of their choice prior to granting re-entry.

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

l. Personal Relationships Policy

The Rockefeller University is committed to the highest standards of professional conduct and integrity and expects all members of the University 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 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 Cori Bargmann, 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

m. 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.

n. Research Misconduct Policy and Procedure

The policy and procedure regarding Allegations of Research Misconduct is available in the Human Resources Office and in the University Policies Guide.

o. 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.

p. Student Employment Policy

University policy does not permit students to accept activities for compensation; exceptional circumstances may be discussed with the Dean in advance.

q. 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 illicit drug use pose a significant threat to our community. The Rockefeller University's policy is to make every effort to ensure a drug-free workplace to protect the health, safety, and welfare of its employees, students, and the public. It is a condition of employment that each university employee complies with the terms of this policy. A student or employee violating this Policy will be subject to university sanctions and potential criminal penalties under federal, state, and local law. The following standards of conduct have been established to maintain a drug-free environment.

A. STANDARDS OF CONDUCT

(1) University policy prohibits the unlawful manufacture, possession, use, distribution, dispensation, sale, or purchase of non-prescribed controlled substances (drugs), marijuana, and intoxicants (alcohol) on university premises or at off-campus University-sponsored events. This does not include the lawful and moderate 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 must report to their jobs in good mental and physical condition. As a federal contractor, the University prohibits employees from reporting to work and/or working at the university while under the influence of drugs or alcohol. Any individual whose work performance is impaired by the use of illegal drugs, alcohol, marijuana, and/or other intoxicants will be considered a threat to the safety of their work environment and subject to immediate discipline, up to and including termination of employment.

(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 Dean's Office of a conviction of any criminal drug violation that occurred on university property within five (5) days of such conviction. The University must notify the relevant federal contracting or granting agency within ten (10) days and take the appropriate personnel action within thirty (30) days of receipt of the notice. A conviction includes a plea or finding of guilt, any plea of "nolo contendere", or an imposition of a fine or penalty.

(4) The University is a smoke-free campus in compliance with the NYC Smoke-Free Act. Accordingly, there is no smoking of any substance, including but not limited to tobacco or cannabis) permitted on campus.

B. DRUG AND ALCOHOL TREATMENT ASSISTANCE

The University acknowledges the existence of substance abuse and use disorder (also known as drug and alcohol addiction) and that individuals may require assistance with respect to drug and/or alcohol abuse or misuse. The University will address such matters on a case-by-case basis. Members of the campus community who are in need of drug and/or alcohol counseling, rehabilitation, or support services are urged to seek such help. Such assistance is available on and off-campus.

On-Campus Resources Include:

- The University's Employee Assistance Program (EAP) provides immediate and confidential assistance for any work, health, or life concern. Provided by the Standard Life Insurance Company of New York (The Standard), employees, their dependents (including children to age 26), and all household members can contact master 's-degreed clinicians 24/7 by phone, online, live chat, email, and text. There is also a mobile EAP app. Through the EAP, referrals may be made to support groups, a network counselor, community resources, or health plans. If necessary, the EAP will contact emergency services. EAP services can help with depression, grief, loss and emotional well-being; family, marital, and other relationship issues; life improvement and goal-setting; addictions such as alcohol and drug abuse, stress or anxiety, in addition to financial and legal concerns. Employees can call 888-293-6948 and identify The Rockefeller University as the employer or register at: www.workhealthlife.com/Standard3

- 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 and by calling its substance abuse hotline at 1-855-780-

5955.

- University Health & Wellness (UHW) by phone (212) 327-8414 or by visiting UHW in Room 118 of the Rockefeller University Hospital.

- Counseling – To schedule an appointment with the University's Weill-Cornell contracted psychiatrist or social worker, please contact UHW at (212) 327-7257

(1) Off-Campus Resources:

- Alcoholics Anonymous (212) 647-1680 - http://www.nyintergroup.org or http://www.aa.org/
- Narcotics Anonymous (212) 929-NANA (6262) – www.newyorkna.org or www.na.org
- New York City Department of Health 24/7 hotline – 888-692-9355
- New York City Department of Mental Health, Bureau of Alcoholism and Substance Abuse Services – (877) 846-7369
- The Alcoholism Council of New York Help Line - (212) 252-7022
- National Council on Alcoholism and Drug Dependence - (800) NCA-CALL (622-2255) www.ncadd.org

To report an incident of concern related to drug or alcohol use or abuse, please contact Campus Security at (212) 327-8506 or ext. 1111 from an on-campus telephone. You may also contact Human Resources at (212) 327-8300. In the case of a medical emergency, please call 911.

C. HEALTH RISKS OF DRUG AND ALCOHOL USE AND ABUSE

The Drug-Free Schools and Communities Act as amended in 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.

- 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.

- Drug Use and Abuse

The United States Drug Enforcement Agency classifies drugs into five categories based on the drug's

acceptable medical use and the drug's abuse or dependency potential.[5] The abuse rate is a determinate factor in the scheduling of the drug: for example, Schedule I drugs have a high potential for abuse and the potential to create severe psychological and/or physical dependence[6]. As the drug schedule changes—Schedule II, Schedule III etc., so does the abuse potential-Schedule V drugs represent the lease potential for abuse. A comprehensive list of controlled substances and their health risks may be found in Chart A attached. Some commonly used/abused drugs and their associated health risks are listed below.

- Marijuana[7]: (cannabis, weed, pot, or dope) refers to the dried flowers, leaves, stems, and seeds of the cannabis plant. The cannabis plant contains more than 100 compounds (or cannabinoids). These compounds include tetrahydrocannabinol (THC), which is impairing or mind-altering, as well as other active compounds, such as cannabidiol (CBD). CBD is not impairing, meaning it does not cause a "high"[8]. Marijuana use may have a wide range of health effects on the body and brain. Marijuana use, especially frequently (daily or nearly daily) and in high doses, can cause disorientation and sometimes unpleasant thoughts or feelings of anxiety and paranoia. People who use marijuana are more likely to develop temporary psychosis (not knowing what is real, hallucinations, and paranoia) and long-lasting mental disorders, including schizophrenia (a type of mental illness where people might see or hear things that are not really there).

- Synthetic cannabinoids[9]: (spice, K2, and other names) are man-made chemicals and, despite the name, are not marijuana or cannabinoid medicines.[20] Synthetic cannabinoids are often sprayed onto dried plant material that can then be smoked or sold as liquids to use in vaping devices.
  Synthetic cannabinoids can affect the brain much more powerfully than marijuana, creating unpredictable and, in some cases, life-threatening effects, including nausea, anxiety, paranoia, brain swelling, seizures, hallucinations, aggression, heart palpitations, chest pains, severe injury, and death.

- MDMA[10]: (Molly/Ecstasy) People who use MDMA usually take it as a capsule or tablet, though some swallow it in liquid form or snort the powder. The popular nickname Molly (slang for "molecular") often refers to the supposedly "pure" crystalline powder form of MDMA, usually sold in capsules. However, people who purchase powder or capsules sold as Molly often actually get other drugs such as synthetic cathinones ("bath salts") instead. Some people take MDMA in combination with other drugs such as alcohol or marijuana. MDMA increases the activity of three brain chemicals:

  - Dopamine—produces increased energy/activity and acts in the reward system to reinforce behaviors.
  - Norepinephrine—increases heart rate and blood pressure, which are particularly risky for people with heart and blood vessel problems.
  - Serotonin—affects mood, appetite, sleep, and other functions. It also triggers hormones that affect sexual arousal and trust. The release of large amounts of serotonin likely causes the emotional closeness, elevated mood, and empathy felt by those who use MDMA. Other health effects include nausea, muscle cramping, involuntary teeth clenching, blurred vision, chills, and sweating. MDMA's effects

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[5] www.dea.gov/drug-information/drug-scheduling.com
[6] Ibid
[7] https://www.cdc.gov/marijuana/health-effects/index.html
[8] Ibid, citing: Rosenberg EC, Tsien RW, Whalley BJ, Devinsky O. Cannabinoids and epilepsy. *Neurotherapeutics.* 2015; 12(4) 747-768
[99] https://www.cdc.gov/marijuana/health-effects/index.html

[10] www.drugabuse.gov/publications/drugfacts/mdma-ecstasymolly

last about 3 to 6 hours, although many users take a second dose as the effects of the first dose begin to fade. Over the course of the week following moderate use of the drug, a person may experience irritability, impulsiveness and aggression, depression, sleep problems, anxiety, memory, and attention problems, decreased appetite, decreased interest in and pleasure from sex. High doses of MDMA can affect the body's ability to regulate temperature. This can lead to a spike in body temperature that can occasionally result in liver, kidney, or heart failure or even death.

- Cocaine[11]: (Coke/Blow) Users primarily administer cocaine orally, intranasally, intravenously, or by inhalation. When people snort the drug, they inhale cocaine powder through the nostrils, where it is absorbed into the bloodstream through the nasal tissues. Users also may rub the drug onto their gums. Dissolving cocaine in water and injecting it (intravenous use) releases the drug directly into the bloodstream and heightens the intensity of its effects. When people smoke cocaine (inhalation), they inhale its vapor or smoke into the lungs, where absorption into the bloodstream is almost as rapid as by injection. Cocaine is a powerfully addictive stimulant drug. Severe medical complications can occur with cocaine use. Some of the most frequent are cardiovascular effects, including disturbances in heart rhythm and heart attacks; neurological effects, including headaches, seizures, strokes, and coma; and gastrointestinal complications, including abdominal pain and nausea. In rare instances, sudden death can occur on the first use of cocaine or unexpectedly thereafter. Cocaine-related deaths are often a result of cardiac arrest or seizures. In addition to the increased risk for stroke and seizures, other neurological problems can occur with long-term cocaine use[12]. There have been reports of *intracerebral hemorrhage*, or bleeding within the brain, and balloon-like bulges in the walls of cerebral blood vessels. Movement disorders, including Parkinson's disease, may also occur after many years of cocaine use.

- Specific Dangers of Drugs Used to Facilitate Sexual Assault[13]: There are three specific drugs that are commonly used in drug facilitated sexual assaults. They are GHB, Ketamine, and Rohypnol. Each of these drugs can cause sedation, drowsiness, difficulty breathing, hallucinations, unconsciousness, seizures, and death. If you believe your or someone you know has consumed any of these drugs, it is important to seek medical treatment and obtain care for sexual assault, including a forensic examination.

C. Federal Penalties and Sanctions

(3) 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,

[11] https://nida.nih.gov/publications/research-reports/cocaine and https://nida.nih.gov/publications/research-reports/cocaine/what-are-long-term-effects-cocaine-use

[12] Ibid, citing: Riezzo I, Fiore C, De Carlo D, et al. Side effects of cocaine abuse: multiorgan toxicity and pathological consequences. *Curr Med Chem*. 2012;19(33):5624-5646, and Büttner A. Neuropathological alterations in cocaine abuse. *Curr Med Chem*. 2012;19(33):5597-5600.

[13] www.drugabuse.gov/drug-topics/commonly-used-drugs-charts

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.

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 permit the use of marijuana for medical purposes and personal use[14]. The federal government has stated in various publications that it will focus its enforcement resources on 8 priorities[15] 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. It is illegal to cross state or country borders with any cannabis product, even if you have a prescription for it or are traveling to another state where it is legal[16]

(4) Trafficking Penalties Please review Charts B and C below for a description of federal penalties for the trafficking of controlled substances.

D. New York State and City DRUG Penalties and sanctions

(1) Illegal 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.

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.

(2) Driving While Impaired by Drugs (DWAI) It remains illegal to operate a motor vehicle while under the influence of marijuana. Driving while under the influence of marijuana (cannabis) can result in a charge against you. To date, no legal limit THC, the active ingredient in marijuana/cannabis, has been established in New York State.

(3) 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.

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[14] There are currently federal proposals to reclassify marijuana from a Schedule I drug to a Schedule III drug.

[15] 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.

[16] https://www.nyc.gov/site/doh/health/health-topics/marijuana.page

(4) 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.

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.

Marijuana (Cannabis) for Recreational Use

The New York State Marijuana Regulation and Taxation Act (MRTA) of 2021 permits adults over the age of 21 to purchase and possess marijuana in limited amounts for recreational use. When outside their homes, individuals over the age of 21 may possess up to 3 ounces of cannabis (marijuana) and 24 grams of cannabis concentrate. The rules for home possession and home growth are specified in the MRTA. With certain restrictions, employers may not discriminate against employees for the recreational use of marijuana when conducted outside of work hours.

Adults can buy cannabis at adult-use or medical dispensaries licensed by the State Office of Cannabis Management. Licensed dispensaries post a New York State Licensed Cannabis Dispensary decal on or near their main entrance[17].

Medical Cannabis[18]

Medical cannabis is legally available to New Yorkers through the State's medical cannabis program. People may be eligible to use medical cannabis to treat their health condition if a state-registered healthcare provider certifies that medical cannabis is clinically appropriate. Patients must also register with the state to be able to purchase medical cannabis.

The new law expands the eligibility of medical cannabis, increases the number of caregivers allowed per patient, allows prescriptions for as many as 60 days (up from 30), and allows smokable cannabis to be purchased in medical cannabis dispensaries. You can find a list of medical cannabis dispensaries in New York State using the medical dispensary locator.

Once regulations are finalized, certified medical cannabis program patients will also be able to grow up to six plants at a time at home.

Medical cannabis is not FDA-approved and, therefore, is not currently eligible for insurance coverage. However, there are a few FDA-approved prescriptions for cannabis-derived products, such as CBD, and for some synthetic products related to cannabis.

For more information about whether medical cannabis could help you, talk to your healthcare provider.

As a federal contractor, Rockefeller University must comply with federal law. Accordingly, the university must weigh its obligations under federal law against those of New York State when considering the use of medical marijuana at the workplace on a case-by-case basis.

E. DISCIPLINARY SANCTIONS FOR VIOLATIONS OF the UNIVERSITY'S 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.

[17] https://www.nyc.gov/site/doh/health/health-topics/marijuana.page
[18] https://www.nyc.gov/site/doh/health/health-topics/marijuana.page

r. Vacation Policy

Students may take an annal vacation of up to two weeks, in addition to official Rockefeller University closings (Winter Break and National Holidays) and major religious observances. The timing of vacations should be agreed upon between the student and thesis advisor. Students in the first year, who do not have a thesis advisor, should note that vacation may not be taken while participating in courses and vacation plans should be discussed with their rotation advisor or the Dean's Office.

s. Prohibition on the Marketing of Credit Cards

The University prohibits the advertising, marketing, or merchandising of credit cards to students on the University campus. Any violation of this rule should be brought to the attention of Ms. Marta Delgado, Director of Graduate Program Finances and Student Affairs, at delgadm@rockefeller.edu.

t. Grievance Procedures

Any graduate student who believes that he or she has been dealt with unfairly in an academic matter may appeal in writing to the Dean of Graduate Studies. The Dean will call a meeting of the student's FAC Committee to discuss and work out a mutually agreeable solution. If a solution cannot be found, or if a FAC has not yet been formed, the matter will be referred to the Graduate Program Advisory Committee. If an agreement is still not reached, then the Dean will consult the President of the University. The Rockefeller University prohibits retaliation against any individual who files an academic complaint.

VIII. Financial Information

Students in the Ph.D. program are guaranteed full financial support, including the cost of tuition and a stipend. For the academic year 2026-27, the stipend is $55,620. The student pays for room and board from the stipend received (a combined estimated yearly sum of $25,000 for living expenses). The stipend is designed to be sufficient to cover room, board and personal expenses. Students are expected to engage full-time in advanced study and research. University policy does not permit students to accept activities for compensation; exceptional circumstances may be discussed with the Dean in advance.

Interest free stipend loans are available from the Dean's Office to pay for computer balances, housing deposits, and emergencies. Please contact the Director of Graduate Program Finances & Student Affairs for more information.

a. Student Research Funds

The research activities of most students are supported in large part by funds available to the laboratories in which they work. However, students receive an annual research budget ($2,500 in the first year and $1,500 in years 2-5) to assure some fiscal independence.

The use of the research budget is limited to supplies and expenses associated with a student's research.

Incoming students can get up to $1,000 reimbursed for moving expenses from their budget.

Students are provided with RUFirst/iprocurement passwords upon enrollment to the program for use with personal research account numbers. If a student experiences a problem with his or her IAS account, please contact the Purchasing Department at x8204 or purchasing@rockefeller.edu.

All university purchases must be purchased through RUFirst/iprocurement, otherwise, reimbursement may be denied.

The research funds may be used to travel to scientific meetings and conferences, and to provide modest support for specific equipment needed for student research that cannot be provided by the advisor. Please see below for more information on using your student budget for computer and/or equipment purchases and student travel. Stationery items stocked by Purchasing and reasonably needed for study and research may also be charged to these funds. Student supply funds also may be used to reimburse a student for the purchase of scientific books.

All travel receipts and reimbursement forms should be sent via email to Mercedes Harris and Kevin German for processing. The Director of Finance & Student Affairs will review and approve all orders and reimbursements.

Unspent research funds are carried forward to the next fiscal year and overspent budgets will be deducted from the next fiscal year's budget. Each fiscal year is effective from July 1st - June 30th.

These funds may not be used to equip or supply a student's personal accommodation, to support hobbies, or to pay for other personal expenses. Any equipment item(s) purchased with student supply funds (with the exception of personal computers) cannot be moved into the student's room. All equipment purchased with such funds must remain in the laboratory.

COMPUTER/PERIPHERALS PURCHASE GUIDELINES

Students may purchase two computers and one iPad/tablet using their student research budgets during their tenure as a graduate fellow. The two computer purchases should be a minimum of 3 years apart. There is no restriction as to type, but they must be purchased through the RU Purchasing Department. **Direct purchases from the outside will not be reimbursed.** Send computer quotes/specs to Kevin German and/or Mercedes Harris for processing your computer/peripherals purchases.

The computers/tablets are the students' personal property. Students are reminded that commercial software is subject to strict copyright and licensing restrictions and must not be duplicated. Considering the amount of valuable information that can be stored on a computer, students should make provisions to routinely backup their electronic data. Special-purpose computational facilities are available for students' use through the Information Technology department. All software purchases should be processed through the RUFirst/iprocurement system.

INFORMATION TECHNOLOGY

All computers are required to be compliant with the university's minimum security requirements as noted here: The Rockefeller University » Information Security. If you need assistance or have questions, please contact the IT Helpdesk (WRB 6th Fl.; walk-in M-F; 10am – 5pm).

Hard drive encryption is required for any laptop that accesses the university's network. IT is available to assist with the encryption process as well as enable automatic OS and software updating, and installation of VPN and endpoint protection software. Having an up-to-date operating system and endpoint protection is required to connect to the campus network. In addition, access to MS Office 365 applications is available free through a university license.

For backups, the university provides and recommends the "Crashplan" backup service for a monthly fee - see the IT Rates page for the current fee. These fees can be charged to the student budget. If interested in having access to the CrashPlan service please contact the IT helpdesk or visit the IT Self

Service Portal.

EQUIPMENT FOR STUDENT RESEARCH

If purchase or construction of equipment costing $500-2,999 is anticipated, approval and assignment of funds by the Dean's Office must be requested in advance. Purchase of major equipment ($3,000 or more) may require approval and assignment of funds by the President's Office; a letter of justification from the student(s) needing the equipment, together with a letter of endorsement from the advisor and the head of the laboratory, should be submitted through the Dean's Office.

STUDENT TRAVEL FOR MEETINGS AND CONFERENCES

Up to $1,500 per fiscal year (July 1st to June 30th) may be used, from individual student budgets, for attendance at meetings and conferences. The $1,500 allowance can cover expenses for meeting and conference registration, travel, room and board. Registration, travel and room charges must be documented with receipts. An allowance of $75 per day may be used for food. On occasion, the student's advisor may also cover meeting expenses and we would need the lab account number to process the reimbursement.

For international meetings exceeding $1,500, the Dean's Office will supplement a student's budget up to a maximum of $500. This supplement may be used twice during a graduate student's career. To qualify for the supplement, you must present a poster or oral presentation at the meeting.

Use of this money and the administration of travel advance and travel reimbursement forms are approved by the Director of Graduate Program Finances & Student Affairs in the Dean's Office.

Car rentals will not be reimbursed unless there is prior approval from the Dean's Office. Approval will be based on acceptable justification from advisor and student.

TRAVEL FELLOWSHIPS

On an annual basis, travel fellowships are offered to all graduate students. Detailed research proposals are due in the Dean's Office by May 31st. The chosen candidates will be notified by June 15th.

RU Abroad Program Under the terms of this program, the Dean's Office provides travel and housing funds to permit two students to do research abroad. To apply, students should submit a detailed research proposal to the Director of Graduate Program Finances in the Dean's Office. The proposal should contain a description of the proposed work and its relation to the student's research at RU. The lab and the professors with whom the student would work should be mentioned in the proposal, although it will not be necessary for the student to have their approval by the May 1st deadline. As in the past, travel money and a housing allowance of $1,500 will be awarded to each selected student.

John R. Segal Memorial Fellowship This fund provides up to $1,500 for a student at RU to travel to Italy to do research or attend conferences. To apply for this fellowship, students must submit a detailed research proposal similar to that described for the RU Abroad Program.

Alexander Mauro Fellowship This fund provides up to $1,500 for a student to travel to a foreign university to study. To apply for this fellowship, students must submit a detailed research proposal similar to that described for the RU Abroad Program.

Sumi Koide Fellowship This fund provides up to $1,000 to permit two biomedical fellows in their final clinical year to travel to conferences and meetings. A brief letter indicating what your plans are is all that is required. This fellowship is offered on a first-come first-served basis with no fixed submission

date.

b. Tuition Defrayment

Upon the recommendation of the student's Faculty Advisory Committee or research advisor, the Dean's Office may authorize the University to defray the cost for a course at another university (including field stations and marine biology laboratories) when the course is clearly important for the student's professional development. Students must obtain an "External Course Request Form" from the Registrar, discuss course plans with their research advisor **and receive the approval of the Dean prior to enrolling in a course for which they will seek tuition defrayment. No reimbursements will be made without prior written approval.**

The Dean's Office will cover up to $4,000 of the course tuition for Cold Spring Harbor Laboratory (CSHL) and Marine Biological Laboratory (MBL) courses taken for academic credit. Courses at institutions other than CSHL and MBL will be evaluated on a case by case basis. Students can receive this course supplement once while enrolled in the graduate program.

c. Bronk Fund

The Bronk fund was established for the improvement of student life on campus. Students are reimbursed half up to $175 each for memberships to health clubs, aerobics classes, swimming pools, dance classes, marathons, etc. The funds can also be used for language/art classes, skiing lessons, and theater/concert/sporting event tickets. (Only students in years 1-5 are eligible to submit receipts for reimbursement.) These funds cannot be used to purchase items/equipment of any sort. Please send receipts to Mercedes Harris or Kevin German for reimbursement.

The fund also provides student lottery ticket subscriptions to concerts, the opera and the ballet. The Bronk Fund student organizer will inform students when to apply for the lottery tickets via e-mail.

IX. Information for International Students

The Human Resources Office of Immigration and Academic Appointments provides immigration services to international students. The staff will advise international students on obtaining and maintaining lawful status while at the University. Additionally, this office stays apprised of all relevant immigration regulations, procedures and developments to ensure the community is informed and in compliance. All international students are required to register with this office upon their arrival and notify this office upon their departure. For more information, please contact Benjamin Lasalata, Immigration Manager, at ext. 8057 or blasalata@rockefeller.edu.

X. Housing and Meals

HOUSING

Subsidized housing for all Ph.D. students is guaranteed. Accommodations include studios with kitchenettes, double and triple suites with a shared kitchen and one-bedroom apartments. M.D.-Ph.D. students spend their first six years in Cornell housing, then live in Rockefeller housing for the duration of the program. Like the laboratories, all on-campus student rooms have high-speed computer access lines. Current rents range from $941 to $1,622 a month. Please contact Joe Alonzo (alonzoj@rockefeller.edu; ext.7544) or Marnel Herbert (herberm@rockefeller.edu; ext.8670) if you have any questions regarding student housing. Students interested in being placed on the postdoc housing waiting list should contact Sharisse Brown at browns@rockefeller.edu.

MEALS

The University's Bass Dining Commons is open for breakfast (7:30 – 10:30 a.m.) and lunch (11:30 a.m. –2:00 p.m.) on weekdays year-round. The Collaborative Research Center (CRC) cafe is open from 8 a.m. – 5 p.m.

The student pays for room and board (a combined estimated yearly sum of $25,000 for living expenses) from the stipend received.

XI. Resources

a. 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 https://rockefeller.cherwellondemand.com/CherwellPortal/IT?Locale=en-US&_=3683022f#0

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. 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. Telephone and Remote assistance is available

Monday through Friday from 9 a.m. until 6 p.m. Walk-in service is available (Weiss, 6th Floor) from 10 a.m. to 5 p.m. Monday through Friday. You can also reach the helpdesk by e-mail at helpdesk@rockefeller.edu or by telephone at x8940. The IT self-service web portal is available anytime at https://itportal.rockefeller.edu.

b. 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, as well as other potential occupational hazards. 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 form 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 in the Safety Manual, and 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 University Health and Wellness 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 other occupational hazards 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. LS&EH staff are key first responders to emergencies affecting laboratories and/or presenting possible safety or environmental impacts.

c. Library

Rita and Frits Markus 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
Circulation Desk Hours: 2:00-3:00, M-F
Contact: markuslibrary@rockefeller.edu or ext. 8904
Library website: : https://www.rockefeller.edu/markus-library

The library provides a range of resources and services to support scientific research at the university, along with physical spaces and amenities that facilitate thinking, writing, studying, collaboration, and socialization. These amenities include:

- Public access computers and printer/scanner/photocopier (copy card purchased with cash is required for printing – contact library staff if you would like one)
- WiFi throughout the building
- Meeting room with projector and whiteboard (Reservation is available for 2 hours at a time)
- A Small group study room (Reservation is available for 2 hours at a time)
- Café Lounge for eating, conversations, Zoom calls, and socializing. There are couches, recreational reading, and games.
- Lockers for personal storage
- Level A study area offers numerous study areas with study carrels and spacious areas for socializing and reading.

The library maintains an extensive collection of scholarly books and journals, both in print and electronic formats, to support scientific research. You can browse the library's integrated catalog online, which 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 physical collections and spaces of MSKCC and WCMC libraries. Students can stay up-to-date on the latest library news via the Library Blog.

To borrow a physical book, you will need a barcode sticker on your RU ID. Contact the library staff to get a sticker.

If unable to locate a book or journal article among the Markus Library's collection, students should note that 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, by emailing librequest@rockefeller.edu, or calling ext. 8904 or ext. 8916.
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.

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 here.

The Library can help you with -

- Locating and providing access to articles, data, and other scientific information (digital or print)
- Creating complex search strategies for literature searching
- Research data management
- Selecting an electronic lab notebook
- Sharing and accessing datasets in data repositories
- Thesis writing, including copyrights questions, thesis templates, and publishing theses in the Rockefeller University's institutional repository Digital Commons @ RU
- Selecting a journal for research articles, including our read and publish opportunities which allow you to publish open-access for free
- NIH Public Access Policy and Data Management and Sharing Policy
- Reference management tools, including access to EndNote
- Training on other library resources

The Library maintains a collection of LibGuides on a variety of topics, which can be found here.

d. Student Representative Committee (SRC)

DESCRIPTION

The Student Representative Committee's goal is to improve both academic and extra-curricular student life at Rockefeller. The committee holds meetings at which ideas for new educational, housing, or leisure programs are originated, discussed, and acted upon. When the need arises, the SRC acts as a spokesperson and advocate for the student body.

The committee consists of 8 members: one from each class for the first 5 years, one MD/PhD representative, and one representative from each tri-institutional PhD program. The representatives for the tri- institutional programs can be drawn from any year. Each member is elected for a term of two years (so representatives should start on odd years).

Current Representatives:
1st Year – Daniel Guevara Diaz
2nd Year – Michelle Yinfei Yaochai
3rd Year – Vitoria Murakami Olyntho
4th Year – James Tang
5th Year – Isaac Ilyashov
MD-PhD – Anirban Chakraborty
CBM Program – Sherry Nyeo
TPCB Program – Emily Scheib

SRC MEETINGS

SRC meetings are held approximately twice a year, or more frequently as needed. When voting on proposed items, the SRC takes all expressed views into consideration.

ELECTIONS

SRC elections will be held once a year. They will take place in the fall via e-mail, so that the first years can get to know one another before the vote.

STUDENT PROPOSALS AND FINANCES

The SRC has a limited budget; however, the Dean's Office welcomes proposals for projects, events, or items that will enhance the Rockefeller student experience. Anyone interested in making a proposal should write a one-page summary and submit it to the SRC.

All proposals received will be reviewed at the next SRC meeting. If reasonable, the SRC will approach the Dean's Office to request the funds necessary. By working such proposals through the SRC, there is a process for demonstrating general student support for such proposals, which should help screen out weakly supported ones, while improving the odds of funding for those with support.

Each student class year represented by the SRC will receive an annual budget of $2,000 to spend on events as a group. Please speak to your class year SRC representative about ideas for the use of these funds. Planned events must be reviewed and approved by the Dean's Office in advance.

REGULAR MEETINGS WITH THE PRESIDENT AND DEAN'S OFFICE

The SRC has yearly meetings with the President and more frequent meetings with the Dean to discuss student issues and to propose new initiatives.

XII. Services and Programs

a. Athletic Facilities

Athletic facilities on campus include a tennis/pickleball 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. After registering, you may use the online court reservation pages at https://appint.rockefeller.edu/ords/tcourt/t_logins . The tennis court is open 24 hours a day, weather permitting.

b. Brooke Astor Student Life Center

The late Mrs. Brooke Astor, a former University Trustee, is the benefactor of the Student Life Center. Located in Sophie Fricke Hall, the Brooke Astor Student Life Center includes a TV lounge, a full-size kitchen (all appliances), conference table, sofa, and ping-pong table. Only graduate students have access to this area.

c. University Perks

Consult our website at http://inside.rockefeller.edu/hr/perks

d. 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.

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: 5-11 p.m., Monday through Friday

Staff:
Brad Mathias, Club Manager, ext. 8078

The Rockefeller University Faculty & Students Club Board of Directors

Ali Brivanlou, President
Tim Stearns
Romayne Botti
Juliana Rhee (Postdoctoral Advisor)
Jorge Almagro Santiago (Postdoctoral Advisor)
Will Doyle (Student Advisor)
Kirubel Belay (Student Advisor)

e. Friday Lectures

The University's Friday Lecture Series is held every Friday during the academic year in Caspary Auditorium from 3:30 to 4:45 p.m. Tea is served at 3:00 in the Abby Lounge. Students have the opportunity to meet with the guest speaker over lunch.

f. Health Services

EMERGENCY ASSISTANCE

University Health and Wellness (UHW) and Security will respond to on-campus medical emergencies during normal business hours. Students should call RU Emergency Response at extension 1111 (212-327-1111) to report an injury or illness. Students should provide the nature of the medical emergency, their location, and whether they are ambulatory or require assistance or escort to the Emergency Department.

Outside of normal business hours, students should seek medical attention off campus via ER or Urgent Care. Students may still call Ext. 1111 and Security will respond, but UHW will not be open to provide medical assistance. 911 can also be called after hours if the emergency warrants it.

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.

The policy on Medical Emergencies on campus can be found here:
https://inside.rockefeller.edu/hr/assets/file/Management%20of%20Medical%20Emergencies%20Update%202026.pdf

HEALTH BENEFITS

All MD-PhD students are enrolled in the Weill Medical College of Cornell University insurance program throughout all phases of the program. Please check with Cornell as to the type of coverage available.

PhD students are enrolled in medical, dental, and vision insurance plans through The Rockefeller University, which is a graduate program requirement. Spouses, certified domestic partners, and dependent children are also offered coverage in the medical, dental, and vision insurance plans. If a spouse, domestic partner, or dependent child is added to your plan, then the value of their coverage is considered taxable as imputed income. You are required to report this amount to the Internal Revenue Service and New York State/City and pay the applicable income tax to the aforementioned taxing authorities. These University health insurance plans are administered by Human Resources and the terms and benefits are under continual review. **In order to make changes to your plans, you will need to submit to Human Resources a completed RUFirst Opt-In Agreement to access your online benefits account. You will have 31 days from your start date to add any dependents to your coverage. If you do not sign them up within this period, you will have individual Oxford medical, Aetna dental, and EyeMed vision coverage.** After this time, you will be eligible to make changes during the annual Open Enrollment period, which is in the fall of every year. Enrollments and changes made during Open Enrollment are effective January 1st of the following year. In addition, you may add or remove dependents from coverage within 30 days of a life event (ex. birth, adoption, marriage, divorce).

HEALTH INSURANCE PLAN

The following is a summary of the medical insurance plan offered:

The Oxford Freedom Plan (POS)

The Oxford Freedom Plan provides its members with benefits received on an in-network and an out-of-network basis. To enroll you must choose a Primary Care Physician (PCP) for everyone covered under the plan. All benefits received on an in-network basis are through the PCP and co-payments are $10 per visit. To see a specialist or type of doctor other than your PCP, you must get a referral from your PCP. To receive benefits on an out-of-network basis, you may choose any doctor, and these services will be covered at 80% of reasonable and customary charges after the annual deductible of $300 per individual (up to three people for family coverage - $900) is met. All prescriptions are provided on an in-network basis. The co-payment is $7 for generic and $20 for brand name drugs at participating pharmacies.

The following is a summary of the dental insurance plan offered:

Aetna Dental Plan

Type A expenses (preventive and diagnostic services) are covered at 100% of reasonable and customary charges with no deductible. Type B expenses (basic restorative services) are covered at 80% of reasonable and customary charges after deductible. Type C expenses (major restorative services) are covered at 80% of reasonable and customary charges after deductible. The annual deductible for Dental coverage is $50 for individual and $150 for family for types B, C & D services.

The maximum annual benefit is $2,000 per person. Type D expenses (orthodontic services) are covered at 50% of reasonable and customary charges up to a $2,000 lifetime benefit (dependent child to age 19 only).

The following is a summary of the vision plan offered:

EyeMed Vision Care

EyeMed Vision Care covers LensCrafters, Pearle Vision, Sears Optical, Target Optical, JCPenney Optical as well as various private practitioners. For a complete list of providers near you, use the Provider Locator on eyemedvisioncare.com. The plan allows for an annual comprehensive eye exam with dilation as necessary, with a $10 copay. You also receive an annual $200 allowance for frames and an additional $200 allowance for lenses (either contact lenses or eyeglasses' lenses). Using Plus Providers, the benefit becomes $0 copay for an annual comprehensive eye exam and annual $250 allowance for frames and lenses.

Further information on insurance coverage may be obtained at http://inside.rockefeller.edu/hr/handbook or by calling Human Resources at x7788.

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 University Health and Wellness Office at no cost to the student. Please call x8414 or stop by the office 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.

PARENTAL LEAVE

Students who are expecting a child should inform the Dean's Office. Birthing parents are allowed six weeks of paid maternity leave. If more time is required due to special circumstances, the Dean will consider a request for an extension of leave without pay. Your advisor should be consulted on this matter.

Students who are non-birthing parents may apply for up to 6 weeks leave with pay. The first week must be taken immediately following the birth or placement of the child.

MENTAL HEALTH CARE

- On site counseling services are available. Mental health on-site staff, Eric Goldwaser, DO, Ph.D., Laura R. Bhatt, LCSW and Lauren Rosenblum, LCSW, are available Monday through Friday from 9 am – 5 pm. For an appointment, call (212) 327-7257 and your call will be returned. Our on-site specialists are a great resource for academic-related issues too, such as:

How do you talk to/help a colleague in need? Have a conflict, but want to speak to someone before going to the Dean's Office? Anxiety over projects and expectations?

- 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 SERVICES

In addition to wellness screenings and immunizations, the University Health and Wellness Office is staffed by a clinical team 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. This office is not meant to replace someone's primary care practitioner, but can serve as a convenient supplement on-campus. Additionally, University Health and Wellness can provide referrals to new students who have yet to link up with a new general practitioner or specialist. Please refer to our website. https://inside.rockefeller.edu/hr/university-health-wellness

g. 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.

h. 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.

Current Committee Members:

Student Members: Viren Baharani, Charlotte Bell
Faculty Members: Agata Smogorzewska, Tim Stearns (Alternate: Emily Harms)
President's Designees: Virginia Huffman (Alternate: Kimberly Preston); James K. Rogers (Alternate: Michael Murphy)

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. These statistics also are posted on the University website at https://www.rockefeller.edu/security/.

i. Student Retreat

The Dean's Office sponsors an annual student retreat. Its usual location is about 2-3 hours from New York City. Students are encouraged to participate. Students volunteer to coordinate presentations and other activities. This year's retreat will take place at the Woodloch Pines Resort in Hawley, Pennsylvania from September 14-15, 2026.

j. 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 out from the Dean's Office. From time to time, tickets are available for performances at the Metropolitan Opera.