

Richard Gilder Graduate School:
Academic and Conduct Policies
Ph.D. Comparative Biology

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Orientation

Incoming students participate in an orientation prior to the start of classes in the autumn semester. These activities include:

- Introduction to the Graduate School and its programs and partnerships;
- Overview of AMNH offices and policies by the office of Human Resources;
- Tours of the collections and facilities of AMNH's scientific divisions, the Research Library, public education areas, and the Exhibition Department;
- Safety training relevant to work in AMNH collections and laboratories; and
- Assistance with living in New York City and taking advantage of these resources.

Orientation also includes gatherings for students, faculty, and families.

Directions and Parking

Information on reaching AMNH by subway, bus, or automobile is available at <http://www.amnh.org/>. Discount parking is available for Graduate School students and affiliates in the AMNH parking garage entered at 81st Street between Central Park West and Columbus Avenue and the hours of operation are 8:00 AM–11:00 PM.

Guides

New York and Company <http://www.nycvisit.com/>

New York City Government <http://www.nyc.gov/>

Maps and Plans

American Museum of Natural History <http://www.amnh.org/>

Administrative Staff Directory and Office Hours

Dean Dr. John Flynn jflynn@amnh.org 212-769-5055 Office Hours: By Appointment	Administrative Director Mr. Adam Kashuba akashuba@amnh.org 212-769-5143 Office Hours: Monday to Friday, 9-5pm
Assistant Director for Student Affairs and Fellowships Ms. Maria Dickson mrrios@amnh.org 212-769-5017 Office Hours: Monday to Friday, 9-5pm	Administrative Assistant Ms. Anna Manuel amanuel@amnh.org 212-769-5055 Office Hours: Monday to Friday, 9-5pm

Academic Calendar

First Year Orientation and Fall Registration

- August 27-29, 2008

Fall Term

Start

- September 2, 2008 (day after Labor Day)

School Holidays:

- Columbus Day: October 13, 2008
- Election Day: November 4, 2008
- Veteran's Day: November 11, 2008
- Thanksgiving Recess: November 27-28 (Thursday and Friday)

Winter and Spring Registration

- December 1, 2008

Classes End

- December 12, 2008

Finals/Make-Up Days (if necessary):

- December 15-19

Winter Term

- December 22-January 16, 2009

Winter Holidays

- Winter Recess: December 25 and 26
- New Year: January 1 and 2, 2009

Spring Term

Start

- Tuesday, January 20, 2009

School Holidays:

- Lincoln's Birthday: February 12, 2009
- President's day: February 16, 2009
- Spring Break: March 16 to 20, 2009

Summer and Fall Registration

- May 1, 2009

Classes End

- May 8, 2009

Make-Up Days (if necessary):

- May 4-15, 2009

Summer Term

- May 9 to August 31, 2009

Summer Holidays

- Memorial Day: May 25, 2009
- Independence Day: July 4, 2009

Emergency Procedures

In an emergency, follow these instructions:

- Listen to public address system announcements;
- Follow instructions;
- Know your evacuation warden;
- Know your evacuation route;
- **Dial x2222**, if you see an emergency at AMNH (Dial 911, if outside AMNH); and
- Keep the Graduate School informed of any changes in personal or departmental information.

Adverse Travel Conditions

If AMNH is open during inclement weather or other adverse travel conditions, students are expected to plan for alternate transportation and allow for longer transportation time. Students may call the general AMNH number, (212) 769-5899, to determine whether AMNH (and the Graduate School) has closed. Radio or television news also usually reports whether AMNH has decided to close.

Financial Information

Costs of Attendance

This is an estimated monthly budget for one person:

Books and Supplies	\$100
Clothing**	\$100
Electricity (if not included in rent)*	\$50

Entertainment.....	\$100
Food	\$500
Furnishings and Household Items**	\$75
Healthcare (deductibles, co-payments, immunizations, medications, and supplies)**	\$50
Incidentals	\$100
Laundry	\$25
Relocation and Transportation (local and long-distance)**	\$150
Rent*	\$900
Telephone and Internet*	\$100
TOTAL ESTIMATED MONTHLY PERSONAL EXPENSES	\$2,250
TOTAL ESTIMATED ANNUAL PERSONAL EXPENSES	\$27,000
Additional estimated family budget items:	
Childcare (per child)	\$300
School Supplies.....	\$25
Health Insurance (spouse).....	\$300
Health Insurance (child)	\$150
Healthcare (immunizations, etc.)**	\$50

*Usually requires a refundable deposit of up to one month

**Pro-rated, up-front expense

NB: Further savings may be made by comparison shopping, sharing accommodations and childcare, and living in lower-cost neighborhoods.

Social Security Number or Individual Taxpayer Identification Number

All students, including non-United States citizens, must obtain a Social Security Number (SSN) or an Individual Taxpayer Identification Number (ITIN) before matriculating. ITINs are required for all international students and their dependents. The SSN or ITIN must be reported at matriculation and is required for distribution of any payments (e.g., fellowships and other financial assistance). It is very important to start the application process as soon as possible, since it can take from two weeks to several months to receive an SSN or ITIN. Either number can be used by unauthorized persons for fraudulent or illegal purposes, such as identity theft, so it must be kept secure and confidential and only used for those purposes for which it is intended. For more information, consult the Social Security Administration at <http://www.socialsecurity.gov>.

Student Accounts

Students may receive a statement that records charges and credits. Charges may include tuition and other fees. Credits may include financial assistance, personal payments, loans, and other payments. Students on AMNH fellowship should have all of

their charges covered by it. Typically, if the student is being fully funded by the AMNH, they will not receive such a statement unless they request it.

Stipend Checks, Direct Deposit, and Check Cashing

Fellowships and Research Assistantships will be paid bi-weekly starting each September. Each student must arrange for direct deposit of her or his stipend fellowship checks by completing the form provided by the Human Resources department. AMNH provides regular check-cashing services.

Housing

There is a wide variety of housing options in the greater New York City area. The Administrative Director of the Graduate School can provide housing referral services, listing searches, and placement assistance (including short-term) to ensure adequate and affordable housing is secured for all students. Good places to start are Craigslist (<http://www.craigslist.com/>), which lists apartments and apartment shares, and International House of New York (<http://www.ihouse-nyc.org/>), which is a graduate student residence open to U.S. and foreign citizens. The Administrative Director of the Graduate School can furnish documentation about current enrollment and fellowship payments for lease purposes.

Laptop Computer Purchase

Each AMNH-supported Ph.D. student will have a laptop computer purchased for them upon matriculation to the program. During their career they will also have access to shared printers, relevant software, and other peripherals in order to connect with AMNH databases, computing clusters, and the Internet for pursuing graduate studies and research. All students must adhere to AMNH policies on acceptable use of information technology equipment, networks, and resources.

NY State Immunizations

All students must be immunized before their first enrollment. Ph.D. in Comparative Biology students must complete the Immunization Form sent to them upon admission to the program. For extramural students, the Richard Gilder Graduate School will enroll them based on their having matriculated to a New York State institution and already having followed these rules.

Measles, Mumps, and Rubella (MMR)

New York State public health law requires that students taking six or more semester hours provide documentation of their immunization to MMR before their first term of

study. There are several ways to document immunity and this information is available from the Administrative Director of the Richard Gilder Graduate School. Students must certify their immunity with the Administrative Director of the Richard Gilder Graduate School before matriculation.

Meningococcal Meningitis

New York State public health law requires that students receive information about meningococcal meningitis and the vaccine that protects against most strains of the disease that occur on campuses. Students must certify their vaccination decision with the Administrative Director of the Richard Gilder Graduate School before matriculation.

Other Immunizations

Students should consider immunization against hepatitis B (three-dose series), varicella (chicken pox), tetanus and diphtheria, in addition to routine childhood immunizations.

Insurance

Health Insurance

All registered, full-time students will be offered health insurance coverage which will be paid for by the AMNH. Below is a summary table of the benefits of the plan. Each student's plan may differ based on specific options chosen or declined upon matriculation.

American Museum of Natural History

Richard Gilder Graduate School, Graduate Student Employee Plan

Summary of Benefits – Aetna Choice POS II

<u>Plan Features</u>	<u>In-Network</u> <i>When you use: Network Providers</i>	<u>Out-of-Network</u> <i>When you use: Out-of-Network Providers</i>
Deductible (per calendar year)	None.	\$300 per Individual, \$600 per Family for all services except hospital services.
Hospital Confinement Deductible (applied per confinement)	\$200 per confinement	\$200 per confinement
Maximum Annual Out-of-Pocket Expense (Excludes Deductible)	Not Applicable.	\$1,500 per Individual, per calendar year
Lifetime Maximum Benefit	\$250,000 maximum per year	\$250,000 maximum per year
Physician Services Office visits	100% after \$15 copay.	80% after deductible.
Routine Physical Exams - adult	100% after \$15 co-pay.	Not Available
Routine Physical Exams - well child checkups	100% after \$15 co-pay. (see Summary Plan booklet for frequency guidelines)	80% after deductible (see Summary Plan booklet for frequency guidelines)
Routine Gynecological Exams	100% after \$15 co-pay, includes PAP test; once per year	Not Available

Routine Mammograms - 1 baseline mammogram covered between ages 35 and 39; age 40 and above, 1 mammogram per year.	100%	80%
Specialists	100% after \$15 co-pay.	80% after deductible.
Surgery (in physician's office)	100% after \$15 co-pay	80% after deductible.
Anesthesia	100%	80% after deductible.
Maternity/OB Visits	100% after initial \$15 copay	80% after deductible.
Hospital Inpatient *	100% after confinement deductible	100% after confinement deductible
Outpatient Expenses*	100%	100%
Plan Features	In-Network	Out-of-Network
	<i>When you use Network Providers</i>	<i>When you use Out-of-Network Providers</i>
Diagnostic X-Ray and Laboratory Services* (outside of physician office)	100%	80% after deductible.
Human Organ & Tissue Transplants	100%	80% after deductible.
Emergency Room	100%	100%
Non-emergency Use of Emergency Room	No Coverage	No Coverage
Mental Health (excludes Alcohol/Substance Abuse)	Excluded from coinsurance limit	Excluded from coinsurance limit
Inpatient*	100% up to 30 days per year	100% up to 30 days per year

Outpatient	100% after \$15 co-pay limited to 30 visits per calendar per year	50% after deductible limited to 30 visits per year
Other Covered Services Skilled Nursing Facility*	If medically necessary 100% up to 100 days.	If preauthorized 80% up to 100 days.
Home Health Care*	100% up to 120 visits.	80% up to 120 visits.
Private Duty Nursing* (\$10,000 individual annual maximum)	100%	80% after deductible
Hospice Expenses - to \$10,000 individual maximum; includes up to 5 bereavement visits.*	100%	80% after deductible.
All Other Medical Expenses	100%	80% after deductible.
Allergy Treatment	100% after \$15 co-pay	80% after deductible
Prescription Drugs through retail – participating pharmacies	Generic drugs - \$5, Brand Formulary - \$15, Brand drugs -\$30; 30 day supply	not covered
through Mail Order Pharmacy	Generic drugs – \$10, Brand Formulary - \$30, Brand drugs -\$60; 90 day supply	not covered
	Oral contraceptives covered	

****In-Network and Out-of-Network benefits may be reduced if you fail to pre-certify for certain outpatient procedures and inpatient hospital, treatment facility, convalescent, home health care, hospice care and private duty nursing care.***

Coverage maximums up to a certain number of days/visits per calendar year are reached by combining either preferred or non-preferred benefits up to the limit for one or the other, but not both. (Example, if preferred benefit is for 60 days and non-preferred benefit is for 60 days, the maximum benefit is 60 days, not 120 days).

This is only a brief summary of the preferred and non-preferred benefits available; some restrictions may apply. For more specific information about the coverage details, including limitations, exclusions and other plan requirements, please refer to the summary plan booklet or contact the benefits office.

Travel Insurance

Any student participating in an official AMNH course or activity involving domestic or foreign travel is covered under the AMNH travel insurance.

Fellowships, External Grants, and Financial Aid

AMNH Fellowships

AMNH provides fellowship support in the form of tuition remission, a stipend, health insurance, and a research expense account. AMNH fellowships are provided for the first four years of study in good standing. If, after four years, a student and his or her Dissertation Committee agree that additional time is required and that the student will be able to complete the program by the end of the fifth year, the student may petition the Comparative Biology Ph.D. Program Committee for an extension. Fifth-year support requires that the student participate in developing and teaching an elective course. . A student may use funds from the research expense account for such things as travel, conferences, and fieldwork related to her or his graduate studies. To access these funds, the student should submit the appropriate expense voucher form and receipts. Consult the Administrative Director of the Graduate School about what expenses are acceptable before making a financial commitment or purchase.

Deferral and Termination of Fellowship

Deferral of a student's AMNH fellowship is not permitted, unless the student is doing externally supported research or other training away from AMNH or is on an approved leave of absence. When a student holding a Graduate School fellowship is suspended, withdraws, is dismissed, or otherwise becomes ineligible, her or his fellowship award terminates and the remainder of the stipend reverts to the Graduate School on the last day of the month when such change of status went into effect.

External Support

Every year, each student is strongly encouraged to apply for external funding. Such fellowships and grants offer a student the opportunity to hone grant-writing skills,

enhance her or his *curriculum vita*, and make invaluable contacts for the future. All eligible students (U.S. citizens, nationals, and permanent residents) are expected to apply in the second year to the National Science Foundation for Doctoral Dissertation Improvement Grants (DDIG), <http://www.nsf.gov/> or <http://www.grants.gov/>, or to other comparable programs.

Each student should consult with her or his advisor and with the Administrative Director of the Graduate School about such opportunities to participate in private or government competitive grants and the associated responsibilities and procedures. There is a formal process for the submission and administration of institutional grants which is laid out in the AMNH *Grant Manual*, which can be found at <http://museum.internal.amnh.org/supportedprograms/> or can be obtained from the Administrative Director of the Graduate School.

Visas and Immigration

The Graduate School provides information—through advising, email and the web—concerning current immigration issues, travel and re-entry and current federal policies and regulations that affect F and J visa holders. These updates are important for international students and scholars and can help to minimize difficulties around travel, work authorization, and maintaining valid visa status.

As visa sponsor for F-1 and J-1 students, the AMNH Graduate School has specific legal obligations. Students in F-1 or J-1 non-immigrant status must maintain legal status as defined by the Department of Homeland Security (DHS). The Administrative Director of the Graduate School is available to assist international students in obtaining and maintaining their immigration status. There are eight regulations that students must follow to maintain legal status which are summarized below:

- Keep passport valid;
- Maintain full-time enrollment and normal progress toward the degree;
- Accept no employment without written permission from the Administrative Director of the Graduate School or DHS;
- Notify the Administrative Director of the Graduate School of any address change within 10 days of moving;
- Always have medical insurance;
- Obtain extensions of permission to stay in the U.S. as needed;
- Meet DHS eligibility requirements when transferring to another school; and
- Leave the U.S. or change to another immigration status once studies and any authorized practical or academic training are complete.

Further Information on visa and immigration issues for students and their families is presented at the Department of Homeland Security's U.S. Citizenship and Immigration

Services site <http://uscis.gov/> and from the Administrative Director of the Graduate School.

Student Access to Facilities

Students will have 24 hours/day and 7 days/week access to the student center via the 77th Street elevators. Students will need their badges and will need to sign in during non-museum hours at the Central Park West 1st Floor Security Desk via card swipe. Students will also have access to the library during their normal business hours. If they require greater access, they should contact their advisor.

Additionally, access to scientific collections and laboratory spaces will be controlled by each department in which the facility is located (please see the **Collections Access Policy** included later in this document). Students should work with their advisor to get access to those areas. In addition, the following policies are in place for use of the student center:

Student Guest Access: Student's may bring guests to the Museum. Guests are allowed in the student center with their host, but they must be respectful of other students working and may be asked to leave if they become a disturbance. Students are limited to the number of guests allowed (about 3 or 4, or more if family). After the Museum closes, guests must be approved by RGGGS staff in advance; no one under 21 years of age w/o parental consent, no signs of intoxication, specific location to be given, and no wandering into the closed public halls, or taking photos without permission.

Student Center Food and Beverage Policy: Food and non-alcoholic beverages are permitted in the student center, but they are not permitted in laboratories or class rooms without instructor consent. The student center refrigerator may be used to store items for short periods of time, but items will be disposed of on a weekly basis (except for unopened containers, such as soda cans, etc.)

Use of Alcohol: Students may not bring alcoholic beverages into the student center except for gatherings approved by the administrative director in advance. No one under 21 may be served alcohol. Please see the **Alcohol Policy** (included later in this document) for further details.

Teaching Laboratory (7am-10pm 7 days/week)

- Only faculty teaching courses in the laboratory and students registered for classes in the laboratory or granted permission by RGGGS shall have access to the Teaching Laboratory.

Lecture Hall (Class periods or prior arrangement)

- Only faculty teaching courses in the lecture hall and students registered for classes in the lecture hall or granted permission by RGGGS shall have access to the lecture hall.

Pantry

- 24x7 for scientific staff of Museum

Degree Programs and HEGIS Information

Program name:	Comparative Biology
Degrees to be awarded:	Doctor of Philosophy (Ph.D.) Master of Philosophy (M.Phil.) Doctor of Science (Sc.D.), Honorary
HEGIS #:	0499.00, Biological Sciences, Other

There are no other degree-granting programs offered.

Mission of the American Museum of Natural History

To discover, interpret, and disseminate—through scientific research and education—knowledge about human cultures, the natural world, and the universe.

Mission of the Richard Gilder Graduate School

The Richard Gilder Graduate School of the American Museum of Natural History will oversee post-secondary training activities at the Museum in the graduate fields of study embraced by the institution’s mission. The Richard Gilder Graduate School embraces graduate training, post-doctoral fellowships, and undergraduate training programs at the Museum, both independent activities and partnerships with universities.

Mission of the Ph.D. Program in Comparative Biology

The mission of the Ph.D. Program in Comparative Biology is to train the next generation of biologists through an approach that focuses on the history and interactions among species, and that takes advantage of the American Museum of Natural History’s unique and unparalleled resources, including its world-renowned collections; a legacy of excellence in field discovery and theoretical advances; and a public mission in science education.

Instructional Policy and Expectations of Student Effort

The curriculum of the Ph.D. Program in Comparative Biology provides students with the environment, tools, and experiences to be scientists, educators, or civic leaders who can contribute at the highest levels. The curriculum is an intensive, immersive, flexible, and field-, lab-, and collections-based program of study. The courses students take will range from traditional lecture, to lab courses, to field-work to immersive independent studies with key faculty. Student in the program will have a demanding and intensive educational schedule during their four years in the program. Students should be independent workers and be able to manage their work and personal time effectively. All courses will be conducted at a rigorous-level indicative of the advanced nature of the program.

Learning Goals of the Comparative Biology Ph.D. Program

Students are required to complete a minimum of 62 credits. Upon completion of the program, successful students should be able to demonstrate the following abilities:

- Adhere to the highest standards of professional and scientific ethics.
- Articulate orally and in writing a mastery of the key concepts of the field.
- Maintain independent and creative research programs in her or his area of specialization.
- Teach the subject at post-secondary and graduate levels and/or contribute to public education at the K–12 level and for general audiences.
- Make substantive contributions to the field through grantsmanship and service in scientific organizations.

Reservation of Rights

This collection of policies is intended for the guidance of persons applying for or considering application for admission to the Richard Gilder Graduate School and for the guidance of its students and faculty in the Ph.D. Comparative Biology program. This collections of policies sets forth in general the manner in which the graduate school intends to proceed with respect to the matters addressed within, but the graduate school reserves the right to depart without notice from the terms of this collection. This collection of policies is not intended to be and **should not be regarded as a contract** between the graduate school and any student or other person. The faculty reserves the right to dismiss or to deny admission, registration, readmission, or graduation to any

student who in the judgment of the faculty is determined to be unsuited for the study or practice of a Ph.D. in Comparative Biology.

This collection of policies may be revised, and other relevant policies and procedures, from time to time as necessary, may supplement it. Archival copies of this policy collection are retained in the office of the Administrative Director. The current version will be posted on the web site of the Richard Gilder Graduate School (<http://rggs.amnh.org>).

Admissions Requirements

Below is a summary of admissions requirements. The complete admissions requirements and application can be found on the RGSS web site:

http://rggs.amnh.org/pages/amnh_phd_program/apply

Summary of Application Requirements

Bachelor of Arts or Bachelor of Science	Or equivalent degree
Official transcripts	From all undergraduate/graduate institutions attended
GRE (general) results	Required, taken within the past five years
GRE (specialty) examination	GRE Subject Test (in Biology or other pertinent field) recommended
Three letters of support	Required
Essay	Description of research interests/experience
Interview	Final candidates generally will be interviewed
Faculty sponsor	Through student contact or assigned by the AMNH
Application fee of \$50	Required with application
Proficiency in English	TOEFL scores for non-native English speakers must be 600 or higher (TOEFL paper, PBT), 100 or higher (TOEFL iBT computer-based), or 250 or higher (TOEFL CBT computer-based, less than 2 years old). The TWE essay score will be assessed separately.

Educational Background

Applicants must have received a Bachelor of Arts or Bachelor of Science, or equivalent degree, from an accredited college or university prior to matriculation in the Museum's program. Applications will be accepted from students who have completed some graduate work or an advanced degree at another institution. All applicants, however, will be required to complete the core courses of the RGGGS program regardless of their prior background.

Submission of Application

The application for admission, together with supporting materials in sealed envelopes, is to be sent to: The Office of Admissions, Richard Gilder Graduate School, American Museum of Natural History, Central Park West at 79th Street, New York, NY 10024 USA. Please note that all applications and supporting materials become the property of the Richard Gilder Graduate School. Since the applicant is responsible for sending official transcripts to the RGGGS and securing letters of recommendation in sealed envelopes, it is important that the applicant requests supporting documents as early as possible, to ensure that all supporting materials are secured well in advance of the application deadline.

Applicants are strongly encouraged to contact a member of the faculty prior to application. Final candidates will be invited to the Richard Gilder Graduate School for interviews, whenever possible. The interview process represents the graduate school's commitment to finding students that will most benefit from and contribute to the Ph.D. Comparative Biology program. It also enables the graduate school faculty to make the very best matches between students and faculty advisors - part of the Richard Gilder Graduate School's deep commitment to personal advising, mentorship, and guidance of students.

Advanced Standing

A student with prior, relevant graduate coursework at a regionally accredited U.S. higher education institution (or the international equivalent) may apply to the Comparative Biology Ph.D. Program Committee for up to 15 elective credits toward an AMNH degree. The Committee will make a recommendation to the Dean, whose decision will be final. In seeking such credits, the student should first speak to his or her academic advisor, who can give input to the committee and the Dean. Advanced standing does not exempt a student from the core course requirements.

Leaves Of Absence & Voluntary Withdrawal

Approved Leave of Absence

A student in good standing may petition the Administrative Director of the Richard Gilder Graduate School for a leave of absence of up to one year for medical leave, childcare leave, family leave, bereavement leave, or any other non-academic reason for which the student requests review for an approved leave. The Administrative Director and Comparative Biology Ph. D. Program Committee will make a recommendation to the Dean who will make a final determination on the petition. A student on approved leave does not receive financial support, but may elect to continue health benefits for up to one year at the student's expense. While on leave, the student may not have access to facilities or attend courses.

An approved leave of absence is the only mechanism that will "stop the clock" on the expected schedule for completion of the degree. Readmission to the program is automatic within the approved leave period (at the beginning of the autumn, spring, or summer semester), following student submittal of a written request to the Dean, with full privileges (including fellowship) being restored and documented in the student's permanent record at that time.

Under extraordinary circumstances, a student may request an extension of the approved leave of absence from the Dean at the end of the leave period, for up to one additional year. This request must be in writing and must be submitted at least 1 term before the student was scheduled to re-join the school. Re-admission will still be automatic, as long as the extension request has been approved in advance by the Dean.

National Service

A student who is drafted or enlists in the Armed Forces of the United States or who is called to active duty from the Reserves for extended periods or participates in other forms of National Service is granted an approved leave of absence for the required period of service, following submission of a written letter advising the Administrative Director of military service. While on leave, the student may not use graduate school facilities, attend courses, nor receive fellowship support. The student may elect to continue to participate in the graduate school's health insurance plan, at the student's expense, for up to 18 months (as mandated by service). Such leave does not "stop the clock" and does not reduce the total time allowed to complete the degree. A student who wishes to return to the Richard Gilder Graduate School after this period is readmitted automatically, following student submission of a written letter to the Administrative Director. This request must be in writing and must be submitted at least 1 term before the student was scheduled to re-join the school.

Jury Duty

A student may be called for jury duty, which may last from one day to several weeks. A call to jury duty is a legal responsibility of all U.S. citizens and should not be ignored or taken lightly. If called, a student should consult with the Administrative Director and the office of the Dean of the Richard Gilder Graduate School about how to avoid disruption of the academic program and whether either a deferral or an approved leave of absence may be warranted.

Unapproved Leave of Absence and Voluntary Withdrawal

An unapproved leave of absence is one that has not been approved by the Dean of the Richard Gilder Graduate School. Any student who voluntarily withdraws or fails to register for a fall, winter, spring or summer term, without an approved leave of absence from the Dean is considered to have withdrawn from the Richard Gilder Graduate School. This may lead to loss of fellowship and other funding, unsatisfactory academic performance, and the graduate school reserves the right to deny readmission. Under certain circumstances, a student may petition the Comparative Biology Ph.D. Program Committee, who in turn may make a recommendation to the Dean of the Richard Gilder Graduate School to change an unapproved leave absence to an approved leave of absence, but the decision of the Dean is final.

A student who takes an unapproved leave or has voluntarily withdrawn and who seeks readmission must apply for re-admission to the graduate school. If the absence was less than 1 term long, then the student must formally petition the Comparative Biology Ph.D. Program Committee, who will make a recommendation to the Dean in writing for re-admission. The Dean's decision will be final. If the leave is 1 term or more, then the student must re-apply to the graduate school using the graduate school's new student admissions process, in which case that decision will be final.

Religious Accommodations

It is AMNH Richard Gilder Graduate School policy to respect its students' religious beliefs. In compliance with New York State law, the RGGGS accommodates the religious observances and practices of its students. Administrators and instructors should avoid conflicts in scheduling with religious holidays as much as possible. Any student who is absent from school, because of her or his religious beliefs, will be given an equivalent opportunity to register for classes or make up any examination, study, or work requirements that she or he may have missed because of such absences on any particular day or days. If a student has additional concerns, they may consult with the Administrative Director of the Richard Gilder Graduate School for assistance.

Disability Accommodations

The graduate school provides an environment that is supportive of students with disabilities. A student who requires reasonable accommodations in connection with her or his work at the graduate school should discuss her or his needs with the Administrative Director of the Richard Gilder Graduate School who can provide a list of compliant facilities and assist with access to these and other facilities.

Ph.D. Comparative Biology Program Structure and Degree Requirements

Course Work

Core Courses (11 credits)

Core courses are typically scheduled at least once per year. They are required of all students in the Ph.D. Program in Comparative Biology, regardless of any previous coursework or other experience. Students may also take Elective courses at the same time as Core courses, provided that they have satisfied the prerequisite requirements for the elective course.

Core Course List:

Evolution: 4 credits

Systematics and Biogeography: 4 credits

Grantsmanship, Ethics, and Communication: 3 credits

Elective Courses (15 credits)

These courses are offered for a variety of credits. Some elective courses may be offered in short, intensive terms not corresponding to the academic calendar, or they may be offered by special arrangement. Fifteen credits are to be completed during the student's tenure, to qualify for the Ph.D. degree.

First year students should select elective courses based on their individual research interests and to broaden and deepen their experience. These courses are selected through consultation with their academic advisor, and approval by the Comparative Biology Ph.D. Program Committee.

Students in candidacy should consult with their Dissertation Committee on which elective courses to take.

Teaching and Symposia (All Required)

Teaching Assistantship (6 credits)

Students must participate in teaching two different AMNH courses, AMNH-approved courses at partner institutions, or comparable pre-approved AMNH educational projects during the course of study. The total teaching load must be equivalent to 6 RGGGS credits.

Weekly Museum Seminar Series (2 credits)

First-year students are required to attend the scheduled weekly Museum Seminar Series events, and will receive 1 credit per semester for two semesters. All Ph.D. students are encouraged to attend as well, although their attendance will not earn additional credits after the first year.

Student Symposium (1 credit)

First-year students organize a symposium on research interests/activities.

Research (27 Credits--3 per term)

Research will be directed by individual faculty members, or groups of faculty, at the RGGGS or at another institution (with prior approval).

Qualifying Examination

In the fall of the second year, students will be required to take a comprehensive qualifying examination. The goal of this exam is to assess the student's depth of knowledge and expertise both in general and specific knowledge to his or her research interests. Satisfactory completion of the qualifying exam, in combination with passing grades in all of the Core Courses, will establish a student's doctoral candidacy in the second year.

Questions (4)

- 1 from the *Systematics and Biogeography* Core Course (geared towards each student's areas of research interests)
- 1 from the *Evolution* Core Course (geared towards each student's areas of research interests)
- 1 from the student's advisor
- 1 from the student's dissertation committee members
- 5 page maximum length (following the [NSF Proposal Guidelines](#)) answer per question
- written, "take-home" format

Time Limit & Time Line

- First Monday in October to the following Monday morning.
- 1 week (7 days)
- The exam will be emailed to each student.
- Students will return the completed exam to the Administrative Director by email by the following Monday morning.
- The exam will be graded by the Qualifying Exam Committee (below) and the students will be notified of their grades by the third Monday of October.
- This exam is, like all exams, subject to the Academic Integrity Policy which means in part that all work on the examination questions is to be independent and that you may consult inanimate sources. You may not consult or collaborate with anyone about the questions. Such collaboration is a violation of the Academic Integrity Policy. During the exam if you have any questions, you are to contact a member of your exam committee.

Qualifying Exam Committee (QEC)

- One instructor from each *Systematics and Biogeography* and from *Evolution* (2—coordinated by the lead instructor to share workload and avoid duplication of committee members)
- Principal advisor (1)
- Dissertation Committee member (1—chosen by the student's principal advisor, in consultation with the student)
- By June 15 QEC should be formed

Remediation Process

- In case of a Failing grade for any single or multiple questions, the student will be asked to appear for an oral examination of up to 1 hour per question with the QEC to be scheduled the first Monday in November.
- The QEC will notify the Administrative Director of the student's grade by 5pm the next day.
- In case of a second failure, the student must appear before the CBPPC by November 15 for an oral examination for up to 1 hour per failed question.
- The CBPPC will notify the Administrative Director of the student's grade by 5pm the next day.
- In case of two failures, the student may be dismissed from the program.

Appeals Process

- A student may appeal second failure of the qualifying exam to the Dean within 10 days of the second failure. The Dean may form a committee to investigate. The Dean will reach a final decision within 90 days of submittal of an appeal of the second failure grade. The Dean's decision will be final and not subject to further appeal.
- The Dean may uphold the failure or direct the student to complete other remedial measures as determined by the Dean and CBPPC. In the case of remedial measures, the Dean and CBPPC will review remediation efforts and

determine if they have been satisfactorily completed within the specified time frame.

Dissertation

Reflecting and describing the student's individual research—approach, methods, and conclusions—the dissertation is the ultimate focus of a student's graduate training, representing the credentialed attainment of expertise in the chosen area of research. It also is expected to be an original scientific contribution, worthy of publication. This is the culmination of the Ph.D. and requires working closely with your Advisor and Dissertation Committee to come up with a suitable topic and to carry it to successful completion. The formal stages of this process are:

- 1) Writing a proposal and having it accepted by your Dissertation Committee, as part of successful completion of the Dissertation Proposal Examination.
- 2) Writing the dissertation per the standards set forth in this document.
- 3) Oral and written defense of your dissertation to your Dissertation Committee and other members of the RGGGS community.

In addition, the Richard Gilder Graduate School strongly encourages students to publish during their graduate training. Although not required, a major element of graduate training can therefore be seen to include chapters of the dissertation as published papers. Published papers included in the dissertation should be presented in the format of the journal in which they are to be published. While these may include papers with multiple authors, the student must issue a statement of her or his particular input and effort into each piece of work.

Maintenance of Full Time Registration and Residency Status

All students must maintain full time status throughout their entire academic career in the RGGGS. The RGGGS Ph.D. Program in Comparative Biology is a year-round program with Fall, Winter, Spring and Summer terms of varying length. Students must enroll for course credits, directed research, teaching, symposia and/or residency units for all terms.

Students are not permitted to register for less than full time residency unless approved in advance by the Dean of the Richard Gilder Graduate School.

International students may never drop to less than full time status due to U.S. visa regulations.

Residency Units

Residency units are used to maintain full time status and to form the basis for calculating tuition, but are not credit bearing. Students attain full time status by registering for one (1) residency unit every term including Fall, Winter, Spring and Summer. Students need at least 12 consecutive residency units to graduate.

Credits

Students must earn a minimum of 62 credits in order to graduate. The specific list of credit requirements appears in the program section of this handbook.

Time Limit in Program

The RGGGS Ph.D. Program in Comparative Biology is designed for students to complete their degrees in continuous, full-time residency and matriculation during a period of four years.

The minimum matriculation for a RGGGS Ph.D. is three years. If, under special circumstances, a student and his or her Dissertation Committee agree that additional time beyond four years is required, the student may petition the Comparative Biology Ph.D. Program Committee and the Dean for an extension. If approved, the student typically will be required to undertake a more comprehensive teaching or educational assignment (such as developing and teaching an entire elective course, or designing and implementing a Museum public education program or project). Students may continue to work on their research and dissertation up to the eighth year, though such a long term will be strongly discouraged, and funding generally will not be provided by the RGGGS. Regardless of the source of funding, no degree will be awarded past the end of the eighth year of matriculation, exclusive of approved leaves of absence.

Certification of Full-Time Enrollment Status

Upon request, the Administrative Director of the Richard Gilder Graduate School will formally certify that a student meets the full time enrollment guidelines set forth in this document.

Full Time Status and Outside Income

All students in the Comparative Biology Ph.D. Program are considered to be students full time during the entire calendar year. As such, they may not hold other positions or engage in employment of any kind without the prior written consent of the Dean of the RGGGS. Students who are found in violation of this policy may forfeit their stipend, tuition benefits or any other income and benefits from the RGGGS, as well as face dismissal.

Students with questions about what constitutes outside income are encouraged to contact the Administrative Director before agreeing to any outside work that may result in additional income, so that they may avoid any potential problems during their academic career.

RGGGS Course Registration Procedure

Adding Courses

First Year

First Year students will automatically be enrolled in the Core Courses when they are scheduled, as well as the Seminar Series and 3 credits of Research per term. Additional enrollment in elective courses will be up to each individual student based on the following dates and criteria,

Registration Period:

Fall and Winter: May 1

Spring and Summer: December 1

Registration Procedure for Elective Courses and After First Year

Students must complete the RGGGS Course Registration form in the forms section and have it signed by their Principal Advisor or Dissertation Committee Chair in order to register for classes. It is the student's responsibility to return the signed form to the Administrative Director's office before the last day of registration. Failure to do so may result in non-registration or non-enrollment.

Three outstanding obligations will prevent a student from registering or changing her or his courses:

- A financial obligation;
- An academic issue; or
- A lack of immunization compliance.

Only the Administrative Director of the Graduate School may apply or remove any registration holds.

Dropping Courses

Students may drop a class up to 50% of the way through the course, with no mark appearing on their transcript, with the approval of their Principal Advisor. A simple email petition to the advisor, forwarded with an OK to the Administrative Director is all that is necessary.

If a student wishes to drop a course after 50% of the course has been completed, they must they may use the same process. At the discretion of the Dean a grade of W may be placed on their transcript for that class.

No student may drop below Full Time status as defined in this handbook, without the prior written consent of the Dean.

Extramural Course Registration Procedure

Although the RGGGS faculty will teach its own core and elective courses, with prior approval by the RGGGS, students seeking or needing to take courses in areas not offered at the RGGGS may register for courses at other universities. Agreements between the AMNH and collaborative universities may enable RGGGS students to take an array of courses offered by those partner universities. The RGGGS Comparative Biology Ph.D. Program Committee maintains a list of generally approved courses offered by the partner universities, but specific course enrollments must be approved by the student's Principal Advisor and the Comparative Biology Ph.D. Program Committee.

Complete the RGGGS Collaborative University Registration Form

Obtain signatures in the following order only: (signatures will not be given out of order)

1. Student's Principal Advisor
2. Chair of the Comparative Biology Ph.D. Program Committee

Return the form to the Administrative Director who will provide further instructions based on which collaborative school the student wishes to enroll in.

Grading

RGGGS Courses

Evaluation in core and elective courses is either by means of traditional examination, structured take-home examination, research paper, or other means as appropriate to the subject matter, as determined by the instructor(s), and as approved by the pertinent RGGGS faculty, committees and administration. Schedules for these evaluations (if they are research papers or take-home exams) may extend beyond the term of formal instruction.

The following grades are used:

P	Pass
F	Fail
I	Incomplete
W	Withdrawal After 50% of Course Taken
R	Progress (for a course that continues into

	the following term)
AU	Audit
NC	No Credit

Only courses with a passing grade may be counted for residency, course credit, or progress toward an RGGGS degree. A change in the type of grade to be awarded in a course must be approved by the instructor, and, after the change period, by the Dean of the Richard Gilder Graduate School as well.

The grade of Pass means that the student mastered the course objectives and satisfactorily completed all of the course assignments with a distinguished level of overall achievement.

Extramural Students' Grading Scale

A or A-	Excellent
B or B+	Good
C or C+	Fair
D or C-	Passing but poor
F or D+	Failure
I	Incomplete
W	Withdrawal After 50% of Course Taken
R	Progress (for a course that continues into the following term)
AU	Audit

Extramural Courses

Only grades of B better will be assigned a Pass (P) grade at the RGGGS, and will be accepted for credit for any approved courses taken outside of RGGGS.

Incomplete Grades

When assigned work is not completed during a term, the instructor may assign a grade of I (incomplete). If the work is not completed within one subsequent term (including winter and summer), the Richard Gilder Graduate School will change the grade from I to F (fail). In extraordinary circumstances, the student may petition the Comparative Biology Ph.D. Program Committee for an extension for a completion deadline no greater than one year.

Grade Appeals

A student who believes that an assigned grade or evaluation is incorrect should first discuss the assignment of the grade or the evaluation with the instructor. A student who does not agree that the problem has been resolved in this manner

should address the concern or submit an appeal in writing (email or paper) to the Comparative Biology Ph.D. Program Committee of the graduate school (via the Administrative Director), who will seek to resolve the matter with the instructor and student. If no agreement can be reached, then the matter will be referred to the Dean, who may refer it to the Academic Affairs and Fellowships Committee or to an ad hoc committee for review. The ultimate decision of the Dean is final and all grade appeals will be resolved within 90 days of the official complaint being received by the Administrative Director. This appeal process is restricted solely to the class, assignment or examination in question, and will not prejudice the student's status in any other facet of the graduate school.

Transcripts

A transcript is the official record of a student's coursework and grades listed by term. Other information on the transcript includes the student's name as it appears in the Richard Gilder Graduate School records, degree, degree conferral date, and honors earned. Transcripts cannot be produced for anyone whose record has been put on hold for an outstanding AMNH obligation. A student or alumna/us may request a transcript by signed, written request (in person or by mail), including the student's name, social security number, approximate dates of attendance, number of copies requested, and the address to which the transcripts should be sent.

Personal Information Changes

It is the responsibility of students to keep their personal information current with the RGGGS. Each Term you will be able to notify the School of any updates to your Personal Information when you register for courses or research credits. Any changes outside of this schedule should be directed to the Administrative Director of the Richard Gilder Graduate School. International students must register with the Administrative Director each term under the rules of the F-1 visa.

Academic Certification

An academic certification is an official document provided by the Administrative Director of the Richard Gilder Graduate School that verifies degrees(s) earned, student attendance, and status (full time, part time, or half time) by term.

Course Evaluations

Students must complete anonymous course evaluations as a requirement of the course, prior to assignment of a final grade. These evaluations will be distributed to students or conducted on-line before the final exam, final project, or final course grade is due.

Course Evaluations will evaluate the content of the course, the course materials and the instructor's ability to engage and teach students. Course Evaluations always are anonymous and the primary evaluations may only be viewed by the Provost, Dean,

Administrative Director, and the specific instructor who taught the course. Summary reports may be prepared from all the evaluations of any individual course and can be made available to students upon request.

Course Evaluations will assist the administration and faculty members in evaluating the effectiveness of course material and presentations in meeting the needs of the students and broader academic programs of the RGGS, and will assist faculty by giving valuable feedback on their teaching practices.

Appointment of Advisors

Upon entry to the Comparative Biology Ph.D. Program, each student will be assigned a Principal Advisor, who must be a graduate school faculty member with a curatorial appointment, and they may choose at least one co-principal advisor, who may be faculty with or without a curatorial appointment. Both of the advisors are responsible to guide degree candidates through comprehensive and effective formal instruction in the curriculum and through the candidate's individual research on dissertation. They also provide academic guidance and support as well as a confidential source for the student to voice concerns on academic, administrative or life issues.

The advisors, and specifically the Principal Advisor, will act as an active advocate for the student, by serving as the main point of contact between the student and school. Additionally, a student may contact the Assistant Director for Student Affairs and Fellowships, the Administrative Director and/or the Dean of the school at any time for additional advising and mentoring.

Advisor appointments to student committees are made annually, but are intended to be renewed for the duration of the student's work. Appointments require the review and affirmative recommendation of the Comparative Biology Ph.D. Program Committee and final approval and appointment by the Dean.

Advising Guidelines

Academic Advisors

At the center of student advisement is formal academic advising from faculty. Upon entry to the Ph.D. Program in Comparative Biology, each student is assigned a **Principal Advisor** selected by the Comparative Biology Ph.D. Program Committee and the Dean based on a close alignment of research interests.

- The **Principal Advisor** must be a Richard Gilder Graduate School faculty member with a professorial and curatorial appointment (a ranked Curator).
- Students also may request a **co-Advisor**, which also must be approved by the Comparative Biology Ph.D. Program Committee and the Dean.
- This **co-Advisor** may be another curatorial faculty member or an Affiliated Faculty member (Affiliated Faculty are professional staff member appointed to

the faculty by the Provost upon recommendation of the Academic Affairs and Fellowships Committee).

- Students are expected to meet with their **Principal Advisor** on a frequent basis to discuss coursework and research progress.
- The students may retain these advisors throughout their course of study and these advisors may make up part of the dissertation committee.

Non-Academic Mentors and Student Counselor and Facilitator

In addition to formal academic advisors, students are provided with non-academic mentors, who serve as informal role models and sources of information about a range of matters. Each of these mentors is an American Museum of Natural History staff member, including Directors of a variety of other major Museum programs and other scientific staff.

All students also have access to the support of the Student Counselor and Facilitator, who serves as an unofficial ombudsperson, acting with confidentiality and neutrality. The role of this counselor is to provide informal, confidential counsel and advice to the students, especially in personal and non-academic matters, and to help resolve problems or informal complaints related to their training (but as a facilitator, not an arbiter).

Year 1: Additional Advising

During the first year, students are further advised by the Dean and faculty members of the Comparative Biology Ph.D. Program Committee. The Comparative Biology Ph.D. Program Committee and the Dean have two formal advising interactions with the students and Principal and co-Advisors throughout the academic year at one **Fall Meeting** and one **Spring Meeting**.

Prior to every confidential meeting each student submits a short statement of progress to their Principal Advisor, who checks that the student is making satisfactory progress and adds additional comments if desired. The reports cover:

- Narrative/bullet points on coursework, general research project ideas/themes (not "thesis prospectus"), fieldwork, advising
- Principal Advisor evaluation (check box progress, comments encouraged)

This combined report is then sent to the Administrative Director for distribution to the Comparative Biology Ph.D. Program Committee prior to the formal meeting.

During the **Fall Meeting** term each student meets with the Dean and the Comparative Biology Ph.D. Program Committee, to discuss:

- Course work
- Research interests/directions (general)
- Advising/Mentoring

This meeting allows the Dean, Committee and student to identify and address any questions or concerns about advisement early so that the student's progress toward degree completion is not delayed. (NB: If a student's Principal Advisor is on the Comparative Biology Ph.D. Program Committee that faculty member is recused from the discussions for that student.)

During the **Spring Meeting**, the Dean and Comparative Biology Ph.D. Program Committee meet with each student and their Principal Advisor. This meeting is:

- More research focused
- Occurs as part of the **Annual Progress Review** (see below)
- Occurs after Student Self-Evaluation and Principal Advisor Evaluation have been completed and turned into Comparative Biology Ph.D. Program Committee.
-

Years 2-4: Advising

By the end of the spring term of the first year, students must select a Dissertation Committee, which is approved by the Dean.

- After the committee is formed, it will take the place of the Comparative Biology Ph.D. Program Committee in terms of advisement.
- The Dissertation Committee will meet with the student as needed for the student to complete and twice a year formally to issue a report of satisfactory progress on the dissertation to the Dean.
- During this time the student may also seek advisement from the Dean, any faculty member, or non-academic mentors or the Student Counselor and Facilitator as needed.

Academic Advising During Candidacy

By the end of the Spring Term of the First Year, the student will select a Chair of their Dissertation Committee, who also serves as their Principal Advisor using the following form <http://museum.internal.amnh.org/rggs/>. This selection must be approved by the Dean. The Principal Advisor will sign all registration forms for classes during candidacy.

Changing a Principal Advisor

There are many reasons why a student may wish to change a Principal Advisor such as change in academic focus, personal conflict or because the Principal Advisor left the graduate school. In all cases, the student or Principal Advisor should notify a member of the school administration or a member of the Comparative Biology Ph.D. Program Committee. The Committee will convene a meeting with the student and Principal Advisor, either together or separately, to construct a solution that keeps the student's academic career on track and resolves the issue for the student. A change in Principal Advisor will in no way prejudice the student to any member of the faculty or graduate school. In any event, any change requires the affirmative recommendation of the

Comparative Biology Ph.D. Program Committee and final approval and appointment by the Dean.

Career Counseling and Professional Development Opportunities

The Administrative Director of the Graduate School assists students and alumnae/i in exploring career options, clarifying the connections between skills and career opportunities; adjusting to the different stages of graduate study; navigating their programs; and achieving short- and long-term goals. Consultation is provided about both academic and non-academic careers. The program prepares graduates to pursue careers in a wide variety of settings including universities, museums, governmental organizations, non-governmental organizations, and the private sector.

The faculty advisor and the dissertation committee provide individual career counseling. Career placement information (job announcements, information on funding opportunities, grant support functions) are maintained by the office of the Dean and made available to all students.

There is a diverse array of career opportunities for U.S. doctoral graduates from an AMNH program in comparative biology, from traditional academic careers at undergraduate colleges, research universities, museums, zoos, botanical gardens, and aquaria to employment by government agencies and non-governmental organizations and by the private sector. Private sector opportunities include the fields of biotechnology, food industry, and health. For those trained primarily in the molecular aspects of evidence gathering, there are paths for industry-related positions, such as pharmaceutical research and development, phylogenetically informed searches for origins, vaccine development for existing diseases, environmental consulting, and bio-defense.

Graduates may also find opportunities open in public advocacy and research policy organizations, private foundations, and think tanks as well as through global efforts. Additional careers include aquaculture, genetic engineering and biotechnology, environmental law, science writing and journalism, and high school teaching. Some zoologists hold public outreach positions such as interpretive naturalists for environmental education centers and national parks. The need in the field internationally continues to grow. More and more, governments and non-government agencies, particularly in the developing world, require in-country expertise and students from those countries can choose fundamental systematics studies to prepare them to conduct the biotic surveys and bio-geographic studies necessary to biodiversity conservation.

Maintaining Academic “Good Standing”

A student must remain in academic “good standing” to be eligible for continuing in the AMNH Ph.D. Program in Comparative Biology, holding the AMNH and other AMNH-

administered fellowships and grants, and requesting copies of transcripts and other documents (not covered under FERPA). The criterion for the determination of academic good standing is academic progress.

Academic Progress

During each spring semester, all RGGGS students will be evaluated as to their academic progress in their program. First year students will be evaluated by the Comparative Biology Ph.D. Program Committee. Students beyond the first year will be evaluated by their Dissertation Committee. Based partly on the recommendation of the appropriate committee, as well as other data, the Dean will confer either a status of Satisfactory Progress or Unsatisfactory Progress.

Each student will receive a letter confirming their standing no later than June 30 of each calendar year. This letter will be mailed to the mailing address submitted by the student to the files of the Administrative Director. A copy will also be placed in the student's file located in the Dean's Office.

Students in Candidacy

The Dissertation Committee meets periodically with the student, as well as conducts an annual review of the student's progress. The student should correspond with and meet with individual members of the Dissertation Committee or the entire committee as often as needed to discuss progress and concerns. The Dean of the Richard Gilder Graduate School will schedule six-month progress reviews for which the student will present a brief written report, and the advisor will provide a written assessment and a summary report of the biennial committee reports. Any changes in the composition of the Dissertation Committee must first be raised with the student's dissertation advisor and subsequently approved by the Comparative Biology Ph.D. Program Committee, in consultation with the Dean of the Graduate School.

Annual Self-Evaluation Policies and Procedures

Each student must provide a progress report and self-evaluation during the spring term. This report is first submitted to the student's academic advisor or dissertation sponsor, who will present it for review to the Dean of the Richard Gilder Graduate School and the Comparative Biology Ph.D. Program Committee and, if formed, the Dissertation Committee. The report must include updates on completion of coursework, internships, teaching responsibilities, research planning and progress, fieldwork, funding, and presentations and publications. A letter from the student's advisor or sponsor, commenting on the student's progress, must accompany each report.

The Comparative Biology Ph.D. Program Committee or Dissertation Committee will then meet with each student individually to review the progress report and self-evaluation,

and the Administrative Director's office will issue a letter to the student reflecting the assessment of the pertinent committee.

Satisfactory Progress

Satisfactory Progress in the Comparative Biology Ph.D. Program is made up of many variables, some of which include:

- Student has maintained Full Time Registration status or Full Time Residency for the previous academic year unless approved by the Dean;
- Student has passed all classes for which they were registered;
- Student completes and submits an annual self evaluation on time which is reviewed and approved by the Comparative Biology Ph.D. Program Committee or the student's Dissertation Committee;
- Student enrolls in sufficient courses to complete the Ph.D. degree in the intended timetable;
- Student documents sufficient skills and abilities to undertake and complete independent scientific research.

Academic Advisement and Planning Chart (Individual Student Mentoring Plan)

	<u>Required Advising/Assessment Interactions</u>	<u>Recommended Evaluations/Benchmarks</u>					<u>Milestones</u>
YEAR 1	Each Term: Regular meetings between advisor and student.	<i>Course Work</i>	<i>Research</i>	<i>Funding</i>	<i>Presentations/ Publications</i>	<i>Teaching</i>	<i>Progress to Degree</i>
Fall 1	Individual student meeting with the Comparative Biology Ph.D. Program Committee.	Pass 2 Core Courses, Pass Seminar		Apply for NSF fellowship if available			
Winter 1			Identify research area, techniques, field components required				
Spring 1	<u>Formal Annual Progress Review of Student consisting of:</u> 1) Student Annual Report to Advisor 2) Advisor Report to Dean and Comparative Biology Ph.D. Program Committee 3) Individual student and advisor meeting with the Comparative Biology Ph.D. Program Committee and Dean. 4) Dean Memo on Progress	Pass remaining Core course, Pass elective Course	Refine research area Learn techniques, field components required				Form dissertation committee and register for PhD Qualifying exam
Summer 1			Refine research area. Learn techniques, field components required				

	<u>Required Advising/Assessment Interactions</u>	<u>Recommended Evaluations/Benchmarks</u>					<u>Milestones</u>
YEAR 2	Each Term: Regular meetings between advisor and student.	<i>Course Work</i>	<i>Research</i>	<i>Funding</i>	<i>Presentations/ Publications</i>	<i>Teaching</i>	<i>Progress to Degree</i>
Fall 2	At least 1 formal meeting between Dissertation Committee and Student to provide feedback to Dean.	Pass 2-4 elective courses; participate in student symposium	Thesis research topic identified	1st Application for NSF DIG ¹		1st teaching option (fall or spring)	<ul style="list-style-type: none"> Pass qualifying exams Advance to candidacy
Winter 2			Thesis research topic identified				
Spring 2	Formal Annual Progress Review of Student consisting of: 1) Student Annual Report to Dissertation Committee 2) Dissertation Committee Chair Report to Dean 3) Dean Memo on Progress	Pass 2-4 elective courses	Complete first fieldwork experience, publish or present first paper and apply for first grant		Presentation of initial work	1st teaching option (fall or spring)	Present Dissertation Proposal
Summer 2			Thesis research including field and lab work				

¹ Dissertation Improvement Grant

Summer 4	Registrar Audit of Degree Completion		Complete thesis research/writing		Publication/Presentation of thesis research components		Submit thesis, graduation (expected)
YE 3	and student.						
Fall 3	At least 1 formal meeting between Dissertation Committee and Student to provide feedback to Dean.	Finish course work (if necessary)	Thesis research including field and lab work	1st attempt NSF-DIG funding (2nd Application for NSF DIG Receive)		2nd teaching option (fall or spring)	
Winter 3			Thesis research including field and lab work				
Spring 3	Formal Annual Progress Review of Student consisting of: 1) Student Annual Report to Dissertation Committee 2) Dissertation Committee Chair Report to Dean 3) Dean Memo on Progress		Complete second fieldwork experience, publish or present second paper and apply for second grant		Publication/Presentation of initial work	2nd teaching option (fall or spring)	
Summer 3			Thesis research including field and lab work				
Fall 4	Meetings between Dissertation Committee and Student		Thesis research including field and lab work	Receive 2nd attempt NSF-DIG funding	Publication/Presentation of thesis research components		
Winter 4			Thesis research/writing				
Spring 4	Formal Annual Progress Review of Student consisting of: 1) Student Annual Report to Dissertation Committee 2) Dissertation Committee Chair Report to Dean 3) Dean Memo on Progress		Thesis research/writing				

	<u>Required Advising/Assessment Interactions</u>	<u>Recommended Evaluations/Benchmarks</u>					<u>Milestones</u>
Year 5 (if necessary)	Each Term: Regular meetings between Dissertation Committee and student.	<i>Course Work</i>	<i>Research</i>	<i>Funding</i>	<i>Presentations/ Publications</i>	<i>Teaching</i>	<i>Progress to Degree</i>
Fall 5	Regular meetings between dissertation committee and student.		Thesis research/writing		Publication/Presentation of thesis research components	Teaching mandatory	
Spring 5	Registrar Audit of Degree Completion		Thesis research/writing		Publication/Presentation of thesis research components	Teaching mandatory	Submit thesis

Unsatisfactory Progress

The Richard Gilder Graduate School defines unsatisfactory academic performance as:

- Receipt of a grade F in any RGGGS course or less than an A- in any extramural course (unless student had successfully petitioned the Richard Gilder Graduate School);
- Receipt of more than one incomplete in a semester;
- Failure to clear an incomplete by the end of the following semester; and
- Accumulation of a second incomplete in the same academic year.

A student whose academic performance is deemed unsatisfactory will be placed on academic probation.

If progress is deemed unsatisfactory, the Comparative Biology Ph.D. Program Committee will determine a remedy, which will be formally communicated to the student in writing. The student's faculty advisor or sponsor is responsible for supervising the implementation of remedial efforts and provide a report to the Comparative Biology Ph.D. Program Committee within six months on the student's subsequent progress. In the event that remedial efforts are unsuccessful, the appropriate Comparative Biology Ph.D. Program Committee and the Dean must meet to determine appropriate action.

Candidacy

Students are expected to apply for candidacy no later than June 30 at the end of their first year. After this application, students must attain candidacy no later than October 30 of their second year, or request an extension from the Comparative Biology Ph.D. Program Committee.

Candidacy Application Requirements

In order to apply for candidacy students must:

- Pass all three core courses, the two first-year seminar courses, and the first-year fall semester symposium;
- Achieve "Pass" (or equivalent) grades in all courses;
- Form a Dissertation Committee;
- Pass the qualifying examination

To apply for candidacy, complete this form, have your advisor sign it and return it to the Administrative Director.

Qualifying Examination

In the fall term of the second year, typically in October, students will be required to take a comprehensive qualifying examination. The goal of this exam is to assess the student's depth of knowledge and expertise both in general and specific knowledge to his or her research interests. Satisfactory completion of the qualifying exam, in combination with fulfillment of the required coursework, will establish a student's doctoral candidacy in the second year.

Dissertation Committee Formation and Composition

Students should begin to form their Dissertation Committee and have it approved as early as possible, and no later than May 1 of their first year.

The Dissertation Committee should consist of at least 3 members:

- The Committee Chair must be an RGGGS Curatorial Faculty.
- 2 additional committee members should also be selected from the Curatorial or Affiliated Faculty.

In addition to these 3 "core members", if approved by the Dean, the Dissertation Committee may include up to 2:

- Any other RGGGS graduate faculty members, from the ranks above, and/or experts from outside the AMNH (typically holding the rank of adjunct, assistant, associate or full professor or curator from an accredited university or other approved institution).

At least 50% of the committee members must be RGGGS Curatorial Faculty.

A Dissertation Committee generally will not have more than 5 members. In cases where there is a tied vote in a dissertation examination, the case will be referred to the Comparative Biology Ph.D. Program Committee for evaluation and a recommendation to the Dean, who will make the final decision.

The student should complete this form MyRGGGS, have each of the Dissertation Committee members sign the form, and return the form to the Administrative Director. Additional supporting documentation may be required prior to the Dean's approval of the Dissertation Committee. The student will be notified by email once the Dissertation Committee structure is approved.

If the student wishes to change the Dissertation Committee Chair, application should be made to the Dean who will confer with the Comparative Biology Committee. The Dean's approval is required. If a member of the Comparative Biology Committee is closely tied to the issues at hand, the Dean may ask the member to recuse themselves. If the issue is with the Dean, the Provost may ask the Dean to recuse himself.

Dissertation Proposal and Proposal Examination

By the end of the second year, students are expected to present a proposal of their dissertation research to their Dissertation Committee. This includes an eight-page written proposal, an oral presentation of its contents, and an elaboration of preliminary research results documenting work during the first two years in the program.

Students will be questioned and examined by the Dissertation Committee on the merit and feasibility of the proposed study, as well as on their preparedness to achieve their outlined goals. A report summarizing the results of this examination will be submitted to the Dean's office.

Dissertation Requirements

Style and formatting

Final deposit of the dissertation and copies must follow certain guidelines, which are provided upon submission of the Application for Admission to Candidacy form. Published papers included in the dissertation should be presented in the format of the journal in which they are to be published. While these may include papers with multiple authors, the student must issue a statement of her or his particular input and effort into each piece of work. Unpublished papers should be formatted for the target journal to which that chapter is to be submitted. As a consequence, different chapters within a single dissertation may have different formats. Successful defense of the dissertation, and deposit of complete copies of the approved dissertation in the AMNH Library and the Office of the Dean, must take place before the Dean of the Richard Gilder Graduate School is able to certify completion of all Ph.D. requirements (see below). The candidate is then given or sent a letter of completion by the Dean.

Dissertation Examination Format

Award of the AMNH Ph.D. degree in Comparative Biology is based on the written dissertation based on original research, which must be approved by the principal advisor and the dissertation committee, the candidate's presentation of a public seminar on the dissertation research, defense of the written dissertation in an oral examination by the dissertation committee and other RGGGS faculty; and review of the approved written dissertation and certification of the dissertation's compliance with RGGGS guidelines by the Office of the Dean.

Degree Conferral Requirements

Each student must complete and submit the Graduation Candidacy form, co-signed by the student's dissertation advisor/sponsor, to the Administrative Director of the Richard

Gilder Graduate School, during the first month of the term preceding the semester in which the student will graduate.

Financial Obligations Clearance

All financial obligations to AMNH must be cleared before the student can graduate. Failure to settle outstanding charges will result in holds being placed on diplomas, transcripts, and other student records (not covered under FERPA). Only the Administrative Director or Dean of the Richard Gilder Graduate School may apply or remove such holds.

Registration

The student must meet residency and/or registration requirements through the term in which she or he receives the degree.

Survey of Earned Doctorates

A graduating PhD candidate must complete the U.S. National Science Foundation's Survey of Earned Doctorates (SED) form and submit it to the Administrative Director of the Richard Gilder Graduate School, along with the specified number of copies of the bound dissertation. The Survey of Earned Doctorates (SED) began in 1958 to collect data continuously on the number and characteristics of individuals receiving research doctoral degrees from U.S. institutions. The results of the survey are used to assess characteristics and trends in doctorate education and degrees.

University Microfilms Agreement

All RGGGS PhD candidates must complete the University Microfilms Agreement form and attach a copy of the abstract and the abstract cover page to this form. A student deciding to copyright her or his dissertation must submit the required payment.

Conferral of Degrees

Conferral of degrees is made twice annually, during the fall and the spring terms, for approved candidates and a single annual commencement ceremony is held after the end of the spring term.

Diplomas

A diploma will be mailed to each student's permanent address after the commencement ceremony. The student's name will be printed exactly as it appears on the student's transcript. The student should check her or his transcript before filing an application for degree conferral. See "Personal Information Changes" for directions if a change must be made. To request a replacement diploma, complete and submit an application for a replacement diploma, with necessary administrative fees, to the Administrative Director of the Richard Gilder Graduate School. The replacement diploma will include the original graduate date but the signature of the current Dean.

Master of Philosophy Degree

The American Museum of Natural History Graduate School will not offer matriculation to students seeking the M.Phil. degree. Under special circumstances, however, students in the school may petition the school to award the M.Phil. degree. This degree will be awarded only if the student has successfully reached the candidacy phase and has met all of the requirements for the Ph. D. degree except for writing the dissertation. The awarding of the M.Phil. degree must be approved by the Dean upon recommendation of the Academic Affairs and Fellowships Committee. A student may use this form to petition the Dean <http://museum.internal.amnh.org/rggs/>.

AMNH Code of Ethical Practices

All students at the AMNH, regardless of their home institution or other external affiliation, as well as all faculty and staff at the Museum and the Richard Gilder Graduate School, are bound by the AMNH *Code of Ethical Practices*, as approved by the AMNH Board of Trustees. It may be found at the following link: http://museum.internal.amnh.org/general_counsel/documents/AMNH_Code_of_Ethical_Practices_2007.pdf.

Academic Integrity Policy

Each graduate student bears the responsibility to observe traditional canons of scholarly discourse, scientific research, and academic honesty. Students as well as faculty are expected to exhibit the high level of personal and academic integrity required of members of an academic community. Plagiarism, cheating, and fraud in research will not be tolerated.

The following examples illustrate some of the different forms that academic fraud or misconduct can take:

- Cheating on examinations or tests;
- Fabrication of data or results;
- Plagiarism, the failure to acknowledge adequately the ideas, language, or research of others in papers, essays, dissertations or other work;
- Knowingly assisting others in plagiarism by making one's papers, essays, or written work available for such use;
- Misstatement or misrepresentation in connection with an academic matter, such as in an application for admission or financial aid or during a formal inquiry by AMNH officials;
- Misuse, alteration, or fabrication of AMNH documents, records, and credentials, including transcripts and identification cards; and

- Misconduct in carrying out teaching or research responsibilities.
- Submitting the same or only slightly modified paper for more than one assignment or course.

This policy applies to all courses, programs, and learning contexts in which academic credit is offered, while a student is enrolled in one of the three RGGGS graduate programs, or in residence at the AMNH. If an instructor or faculty member finds that a student has violated the Academic Integrity Policy, the appropriate initial sanction is at the instructor's discretion. However, the instructor must report the violation to the Administrative Director who will record it in the student's permanent file.

Actions taken by the instructor do not preclude the Richard Gilder Graduate School or the American Museum of Natural History from taking further action, including dismissal from the Richard Gilder Graduate School. Conduct that is punishable under the Academic Integrity Policy could also result in criminal or civil prosecution.

Provost's Statement of Policies Regarding Research, Scholarship, and Teaching

All students additionally are bound by the AMNH *Provost's Statement of Policies Regarding Research, Scholarship, and Teaching*. It is the responsibility of all students to read and understand all of these policies, which are available on-line via the link below: http://museum.internal.amnh.org/provost/documents/Statement_on_Research_Scholarship_Teaching_1-28-08_Final_Clean.pdf

Academic Freedom

AMNH core functions of research, scholarship, and teaching depend upon an atmosphere in which freedom of inquiry, thought, expression, publication and peaceable assembly are given full protection. Accordingly, the Scientific Staff and Richard Gilder Graduate School community are entitled to freedom in the classroom and academic venues in discussing their subjects; freedom in research and in the publication of its results and other scholarly activities; and freedom in the expression of opinions or in associations in their private or civic capacity, while remaining mindful of their responsibilities arising from their position in the academic community. Expression of a wide range of viewpoints should be encouraged, free from internal or external coercion or institutional association.

In furtherance of these general principles, decisions concerning:

1. the search for, and appointment and promotion of, tenure-track positions;
2. the assignment of teaching and other primarily academic responsibilities;

3. the allocation of research and teaching space, facilities, funds, and other resources;
4. the support and sponsorship of scholarly research; and
5. student examination, assessment and grading

shall be based on the scholarly and educational merits and shall be made without regard to a person's political, social, or other views not directly related to academic values or to the assumption of academic responsibilities; and in compliance with the AMNH equal employment and affirmative action policies.

Integrity and Quality in Research and Scholarship

AMNH believes in fundamental values of integrity and quality in scientific research and scholarship. In the scientific research enterprise of AMNH, researchers and scholars are guided by a deep conviction of the value and dignity of the advancement of knowledge and by a sense of intellectual honesty. They are open to new scientific contributions and participate in the ongoing process of questioning, reviewing and revising by which ideas are collectively judged, sorted, and gradually emerge into accepted scientific knowledge.

Researchers and scholars at AMNH comprise a diverse academic community, yet it is one that holds in common the ideals of trust and freedom of inquiry, where hard work and achievement are appropriately recognized. Researchers and scholars at AMNH:

- accept the responsibility, in carrying out the work, to adhere to AMNH policies, procedures, and practices with personal integrity in relationships with each other and in associations with collaborating institutions, government, sponsors, donors, suppliers, and vendors
- are guided by professional practices and ethical standards in their respective fields, value the public trust in science, and do not allow subsidiary interests or the desire to be collegial outweigh our shared responsibility for ethical research and scholarship
- are committed to participating in the informal exchange of ideas, of presentations at seminars and conferences, of submittal of research theories, methods and results of research to peer reviewed journals, of discussions and deliberation.

Acceptance of research results by the scientific and lay communities is based on the reputation and integrity of the scientist and institution presenting them, and everyone involved in the research process must uphold the standards on which the reputation of AMNH and its staff are based. Accordingly, researchers are expected to understand and apply the following principles:

- Plagiarism, deception, or the fabrication or falsification of results is regarded as a serious disciplinary offense.

- Researchers are required to report any instance of suspected academic fraud or misconduct to the Provost, and to do so in a responsible and appropriate manner.

AMNH has established policies and procedures for responding to allegations of research misconduct or academic fraud and for conducting resulting inquiries and investigations. Researchers at AMNH are required to cooperate fully in any inquiry or formal investigation of such allegations, *e.g.*, by providing all required documents and information. See the AMNH policy *Protocol for Responding to Allegations of Scientific Misconduct in Research* which can be found at the following site:

https://museum.internal.amnh.org/provost/documents/AMNHPolicy_ScientificMisconduct5_6-23-05_Final.pdf

Publication of Research Results and Authorship Responsibilities

AMNH encourages the responsible publication of and dissemination of results of high quality research. Researchers (including RGGs students) should take into account the following guidance when publishing or disseminating their research or research findings including any plans they may have to publish or publicize research at conferences or on web sites:

- Generally researchers should make sound effort to have the research peer reviewed prior to it being published, publicized or disseminated.
- All funding sources should be acknowledged in publications and publicity, except where proper confidentiality conditions or publisher restrictions apply.
- It is understood that an author must be truthful in presenting methods, data or conclusions of his or her research as his or her own, and that an author must provide acknowledgement to the methods, data and conclusions from others upon which the author has relied.

Principal investigators, curators, faculty, laboratory directors or expedition leaders are expected to give appropriate recognition to participants in a project, whether professionals or students, and to sponsors. Such recognition should fairly and accurately represent the level of contribution and involvement in the project, and may range from the designation of authorship to formal acknowledgement in resultant publications.

However, the allocation of responsibility for research or scholarly work can become complex when it involves multi-investigator research teams that consist of colleagues from different disciplines and institutions who perform different, specialized functions. It is possible for participants to have little knowledge or understanding of parts of the work performed by their colleagues. Sometimes, there is no single person who understands all the research.

With this in mind, the following guidelines for scholarly manuscripts apply to all scholarly collaborations and research projects in which multiple-authorship is anticipated.

- Anyone listed as an author should accept responsibility that he or she is familiar with the contents of the paper and can identify his or her contribution to it. The practice of honorary authorship is not acceptable practice.
- Principal investigators and senior Scientific Staff have special responsibilities to make a good faith, diligent effort to assure the validity and the overall cohesiveness of the publications on which they appear as coauthors.
- All authors in a group effort have a shared responsibility for the published result and should have the opportunity to review all sample preparation procedures and data, as well as all data acquisition and analysis procedures.
- Senior authorship should only be conveyed in cases where such status is warranted by the author's primary and active role as a researcher, team leader or invested author.
- Authors must consider and meet obligations to external research sponsors.
- Publications where authorship is designated as a named organization (e.g. "The Sea Urchin Gene Sequencing Project", or "The Committee on Biodiversity Loss") are becoming more frequent and are now regularly cited by major scientific journals. The name of such an authorship entity should be subject to review and approval of all authors and each author should have the option to choose between conventional individual attribution and the proposed organizational name.
- Each author in a group effort should have access to the manuscript prior to its being submitted for publication, and should agree in writing to his or her inclusion as a coauthor. All the participants in the program should know that the paper is being prepared for publication.
- All authors of a publication have a shared responsibility in complying with requirements of the publisher regarding 1) the embargo on information prior to publication and 2) copyright policy of the publisher. *See below with regard to Research Data Retention Access.*

Scientific Research Data Retention and Access

Once results have been published, AMNH expects researchers (again, including RGGIS students) to make available relevant data and materials to other researchers, provided this is consistent with any ethical approvals and consents which cover the data and materials, and the intellectual property rights in them.

Researchers should establish at the outset of the research program clarity as to ownership, custody, access and use of data and specimens collected, created or used in the course of the research. The responsibilities and procedures for the storage and disposal of data and samples should be made clear at the commencement of any project. Any research collaboration should establish agreement describing any necessary arrangements. This includes electronically stored and shared data (for example websites).

Deliberately sharing or permitting access to pre-publication research data and results developed by a research team with outside investigators without the consent or knowledge of the research team is a serious ethical offense and one that jeopardizes both the effectiveness and integrity of the given research effort. Such unauthorized dissemination may also prevent the warranted recognition, attribution, and ownership of investigators who have contributed

significant effort, time, and original research to the project. Researchers that enter into an agreement with collaborators are expected to comply with the appropriate rules of confidentiality and managed access of pre-publication information agreed upon by resolution of the research team, as long as such protocols are not in conflict with the provisions required by the participating institutions or funding agencies.

Researchers should keep clear and accurate records of the procedures followed and the approvals granted during the research process, including records of the interim results obtained as well as of the final research outcomes. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained. Properly maintained notebooks may be used in evidence when establishing ownership of inventions in the US under their "first to invent" patenting system.

AMNH requires that Principal Investigators maintain custody, retention and access to scientific research data sufficient to:

- provide a secure basis for ownership and acquisition of intellectual property rights
- comply with the terms of awards from sponsors funding the research
- protect the right of access of co-PIs, post doctoral scholars, and students to data from research in which they participated
- enable a scientist to respond to potential claims of scientific misconduct or errors in research
- comply with laws and regulations governing the conduct of the research and appropriate use of animals, human subjects, biohazardous agents, and radioactive materials.

In particular, AMNH requires that all documents related to federally sponsored projects, including primary research data, be available to federal auditors for the period specified by federal regulation – in most cases, a period of three years from the filing of the final financial report. AMNH expects staff to retain all research data, whether resulting from federal sponsorship or not, in their laboratories or other bona fide research locations, and to provide access to the data when requested to do so by authorized institutional officials for so long as it is retained.

Early in each project, each research group should define appropriate practices to comply with the AMNH research policy on data retention and access. Requests from sponsors for access to research data, as well as subpoenas for research data, must be forwarded to the Provost or to the Office of General Counsel for review before a response is made. See the AMNH policy "**Scientific Research Data Custody, Retention, and Access**" located at the following site: https://museum.internal.amnh.org/provost/documents/Data_Access_Retention_Policy_11-8-06_Final.pdf

Ethical Protocols in Research

Human Subjects: AMNH investigators conducting human subject research, whether or not funded by a federal sponsor, must submit a proposed research plan to the appropriate AMNH institutional review board (IRB) for review. In addition, investigators who participate in

human subject research must complete training in human subject research, and otherwise must comply with IRB policies and procedures. Research may not begin until the IRB has fully approved the research plan and all related consent documents, and the required training has been completed. For further information, see AMNH “ **Policy and Procedures for the Protection of Human Subjects in Research**”, located at the following site: _____

Live Vertebrate Animals: The study of live vertebrate animals is regulated by legal, state, and federal agencies. Staff contemplating using live vertebrate animals in research, scholarship, teaching, or testing should refer to the AMNH Institutional Animal Care and Use Committee. Work with live vertebrate animals may not begin until all required training and approvals are obtained. For further information, see the AMNH “**Protocol and Policy: Institutional Animal Care and Use Committee**”, located at the following site: _____

Safety Policies and Procedures in Research

Safety of staff and the public is a priority at AMNH. AMNH has established a safety office and committees to manage compliance with the occupational safety and health laws and regulations and to provide safe and sanitary working facilities and equipment. AMNH also employs staff, architects and construction managers to comply with building safety and fire codes and to provide safe work and public areas. AMNH expects that all members of the AMNH community will cooperate fully with the AMNH safety programs and requirements.

Biohazards: AMNH has established an institutional biosafety committee (IBC) that is charged with the responsibility for review, approval and surveillance of all research protocols and standards at AMNH molecular biology labs involving the use of biohazards including recombinant DNA. The IBC is charged with adopting such standards and procedures as required to carry out the purposes of this policy. All AMNH lab activity and research at the labs involving biohazards, regardless of source of financial support, must conform to AMNH policies and IBC procedures and administration. For further information, see the “**Institutional Biosafety Policy**” located at the following site:
https://museum.internal.amnh.org/provost/documents/Biosafety_Policy_11-28-06_Final.pdf

Other Hazardous Materials: AMNH has also developed guidelines and procedures for handling radioactive materials, hazardous chemicals, and controlled substances, as well as for other aspects of research relating to occupational and environmental safety. These policies are found in the “**Lab Safety Manual**” (located at the following site: _____) and are generally administered by the Director of Safety and Environmental Health. Any investigator planning to use such materials must consult with the Safety Office for guidance on required training, proper handling, state and federal safety regulations, proper procedures in the event of spillage, etc., prior to initiating a study or bringing such materials into a laboratory. In most instances, a laboratory must be inspected and approved by the Director of Safety and Environmental Health before bringing hazardous substances to that location at AMNH.

Dive Safety: AMNH has developed a Scientific Diving Program for scientists from interdisciplinary fields who are using scuba diving in their research. Anyone diving with the support of AMNH funds or sponsored funds must meet the requirements of AMNH set out in the “**Scientific Diving Manual**”, which is located at the following site: _____ .AMNH

scientific diving may only be conducted by active status scientific divers, pending submission of, among other items, a dive plan for approval by AMNH and performance of a check-out dive with the Dive Safety Officer or designee.

Field Collecting and Temporary Custody of Research Materials

Many objects and specimens come into AMNH on a temporary or provisional basis, mostly awaiting completion of research with a later determination that the specimen be accessioned into the collection, or in cases of joint collecting with a foreign or other US institution, the specimens await research and a later agreement on allocation of the specimens collected from an expedition. Other objects come in for authentication, or on loan, or to be examined and considered for purchase or exchange.

Each science division must identify who has authority to accept objects and specimens into custody and the required documentation and legal compliance. For example, a 3-177 declaration form must be filed with the US Fish and Wildlife Service for any animal or animal part that is imported to or exported from the United States, even if the specimen has been in a museum collection. Specimens of protected species must be brought in through a designated port unless prior arrangements are made with US Fish and Wildlife Service. CITES requires special permits to move a specimen or part of a specimen on the CITES list across an international border. In addition, the US prohibits the importation of a specimen or object collected in violation of the laws of a foreign country.

Accordingly, each division's procedures must require documentation to comply with any applicable laws and regulations as well as AMNH policy that AMNH shall not knowingly and willfully take custody of any object or specimen that was illegally exported from the country of origin, or illegally imported into the United States, or that was collected or recovered under circumstances that would support or encourage irresponsible damage to or destruction of biota, collecting sites, cultural monuments, or human burial places. However, AMNH may take custody of objects or specimens that have been legally confiscated and offered to AMNH by government authorities.

Works of Authorship and Copyright

Copyright is the ownership and control of the intellectual property in original works of authorship. Examples of original works of authorship include:

- works of art or authorship fixed in any tangible medium of expression, in any form, whether in writings; books; film; video; musical compositions and performances; lyrics; sound recordings; multimedia; computer software; digital media; instruction manuals; pictorial, graphic, and sculptural works; architectural plans and drawings, maps, renderings; and other works of design; and the physical property thereof;
- media produced at the direction of AMNH, including public relations materials, marketing and promotion materials, education and exhibition products and materials, archival audio and video recordings, and AMNH digital and web media; and

- content contributed to a work of art or authorship jointly created with others and intended to be merged with the work of others as part of an integrated whole.

This policy, "**Works of Authorship and Copyright**," (located at the following site: https://museum.internal.amnh.org/provost/documents/AMNHPolicy_WorksofAuthorship_and_Copyright_Final_2-22-06.pdf) provides that AMNH shall own in the USA and throughout the world all works of authorship created as "institutional works." An institutional work is:

- 1) a work of authorship that is commissioned by AMNH;
- 2) a work supported by a direct allocation of AMNH or AMNH sponsor funds for the pursuit of a specific project; or
- 3) a "work-made-for-hire."

A "work made for hire" is a work of authorship prepared by a member of AMNH staff within the scope of his or her responsibilities to AMNH. Examples include education courses, programs and products, as well as exhibitions, exhibition elements and exhibition catalogues specifically requested by AMNH, that are created by the staff of Education, Exhibition, or by Scientific Staff, including courses taught and courseware that is developed for teaching at AMNH.

In accord with academic tradition, and current practice, AMNH does not claim ownership to scholarly, pedagogical, or artistic works of authorship, popular nonfiction, novels, textbooks, poems, musical compositions, or other works of authorship of artistic imagination, regardless of their form of expression, which are not institutional works. Such works of authorship include those of students created in the course of their education, such as dissertations, papers and articles, as well as books written by curators that have not been commissioned by AMNH.

Inventions, Patents, Licensing

"Invention" is used broadly in the AMNH policy, "**Inventions, Patents, Licensing**" (located at the following site: https://museum.internal.amnh.org/provost/documents/AMNHPolicy_InventionsPatentsLicensing_Final_2-22-06.pdf). It includes any invention, discovery, idea, confidential and proprietary information, trade secret, know how, process, schematic, database, formula, drawings, prototype, model, design, scientific or technological development, research data, tangible research property, and software. It includes any improvements to any of the above, regardless of whether subject to protection under patent, copyright, trade secret, or other laws.

The policy provides that all inventions conceived or first reduced to practice in whole or in part by individuals "in the course of their AMNH responsibilities" or "with more than incidental use of AMNH resources," shall be owned by AMNH, subject to a sharing of royalty income with staff creating the invention as provided in the policy "**Distribution of Royalties from Inventions**" (located at the following site: https://museum.internal.amnh.org/provost/documents/AMNH_Royalty_Distribution_Final_2-22-06.pdf). That policy provides first for recovery of expenses by AMNH, and then for 50% of the royalties to be paid to the inventor(s).

An invention will be considered to arise “in the course of AMNH responsibilities,” unless the invention is unrelated to the inventor’s work at AMNH. “More than incidental use of AMNH resources” includes, without limitation, the use of specialized computer systems, laboratories, or production facilities, use of AMNH funds or other AMNH staff. This policy is subject to the terms of AMNH sponsor grants and contracts which may require open source or other commitments.

Because disclosure of inventions prior to filing for patent protection can result in a loss of patent protection, the policy also requires advance disclosure to AMNH of any potential invention that may be within a proposed publication or lecture. The policy also requires an expeditious response by AMNH, so as not to unduly delay or interfere with the ability of the staff to pursue their research, collaborate with other investigators, or freely present their ideas to their colleagues, students, and world at large through publications and through presentations at scientific meetings.

All participating researchers, including graduate and undergraduate students, postdoctoral fellows and visiting scholars must sign the AMNH Patent and Copyright Agreement before the commencement of any research activities confirming their acceptance of these policies and committing to disclose and assign to AMNH any inventions conceived at AMNH and any copyrightable material to which AMNH takes title under these policies. When disclosing a particular invention or certain copyrighted materials, researchers also must execute an assignment to AMNH of their interest in such inventions and in those certain copyrights. Such assignments are the basis for commercialization of inventions and copyrights and for sharing with researchers the royalty revenues received by AMNH from commercial licensees.

In some instances, distribution of intellectual property may be aided by or depend upon access to the physical or tangible embodiment of the intellectual property such as biological organisms, chemical compounds, or computer software. The policy “**Tangible Research Property**” treats ownership of research material the same as inventions. The ‘**Tangible Research Property**’ policy is located at the following site:
https://museum.internal.amnh.org/provost/documents/AMNHPolicy_TangibleResearchProperty_Final_2-22-06.pdf

Use of AMNH Resources, Computer and Network Usage

AMNH resources—property, facilities, and funds— may only be used for their appropriate and intended purposes, specifically to further the scientific, educational, and administrative goals of the institution. They are not to be used for anyone’s personal benefit or for the benefit of a for-profit enterprise or another non-profit or governmental organization without proper approval.

Staff is expected to use AMNH resources with care and prudence, with a recognition of responsibility to contributors to AMNH, including federal, state, and local governments and in compliance with all underlying restrictions, as well as all laws and regulations, and consistent with best practices. Their conduct should reflect the recognition of a special obligation to use AMNH resources responsibly and consistent with the tax-exempt status conferred on AMNH in light of its educational and research mission.

AMNH has an “**Acceptable Use of Computing Resources Policy**” which translates the AMNH general business practices into the electronic domain and conforms to federal, state, and local law as well as existing AMNH policy. This policy defines the appropriate usage of computers and networks with respect to intellectual property rights, privacy issues concerning information belonging to others, access to email, and restrictions on use to maintain the security and integrity of information resources, and is located at the following site:
http://it.internal.amnh.org/download/documents/policies/Acceptable_Use_Policy_Final_Jan_07.pdf

AMNH computing resources may only be used for their appropriate and intended purposes, specifically to further the scientific, educational, and administrative goals of the institution. Users are entitled to access only those elements of the computing resources that are consistent with their jobs and authorizations. Occasional appropriate and limited personal use is permitted provided that, in addition to the constraints and conditions of this policy, such use does not: a) interfere with the AMNH operation of its computing resources, b) interfere with the user’s employment or other obligations to AMNH, or c) burden AMNH with more than insignificant incremental costs.

Drug-Free Environment

AMNH policy prohibits anyone from using, manufacturing, distributing, dispensing, or possessing a controlled substance (unless prescribed by a physician) while on the AMNH premises or while participating in official AMNH activities off-premises. AMNH premises include AMNH offices, work locations, desks, parking lots, Roosevelt Park, and any vehicle engaged in an AMNH operation.

Alcohol Policy

AMNH has a longstanding commitment to providing a safe, productive work and learning environment consistent with the standards of the community in which we operate. When abused, alcohol use poses a risk to the health and safety of AMNH students, employees and to the security of our staff, visitors, equipment and facilities. AMNH requires therefore, that those who wish to occasionally include alcohol as part of their hospitality activities will do so responsibly and lawfully.

Alcohol consumption is permitted on Museum premises as follows:

Events & Conference Services - for events authorized by Events & Conference Services.

Department Events - for small Museum hospitality events authorized by a senior director, department head or chair, or Museum officer.

When consumption of alcohol on Museum premises is authorized, the following are required:

- Those served alcohol must be of legal drinking age
- Supervisors of under-age staff, interns, students and volunteers must monitor the event so that those under age are not served alcohol.
- Permits have been acquired for outdoor events.
- Alcohol shall be limited to avoid intoxication, and staff shall contact Security in the event a staff member or guest becomes intoxicated.
- Exiting the Museum premises with open containers, and drinking alcohol in park areas, public streets or sidewalks. is prohibited.
- Payments for alcohol and related taxes and tips may not be charged to a government sponsored account or activity.
- Reimbursement for alcohol is limited to occasional, business hospitality with non-staff guests.

Local, State, and Federal Law Violations, Investigations, and Prosecutions

Students must obey local, state, federal and international laws, and those who commit infractions of these laws may be referred to the appropriate authorities. Such referral does not preclude disciplinary action within AMNH when it would serve the best interest of the academic community.

Sexual Harassment and Consensual Relationships

AMNH endeavors to maintain a professional environment where faculty, staff and students may work and learn and be treated with respect and evaluated fairly on the value of their contributions to the AMNH community. It should be clear to all people who work and study at AMNH that sexual harassment and attempted sexual duress are not only violations of law but also constitute unprofessional conduct that impairs life within the scientific community.

Similarly, consensual sexual, intimate or romantic relationships between mentor and trainee, adviser and advisee, and teacher or staff and student can compromise the professional environment. Such relationships, although consented to, are potentially exploitative because of the imbalance of power inherent in the relationship. They raise concerns such as conflict of interest and fairness of treatment, as well as potential legal liability for AMNH as an institution and potential personal liability for the individual in the position of authority.

Accordingly, AMNH prohibits faculty and staff in a position of authority with respect to any student from having a consensual relationship with the student. A faculty or staff member has a position of authority whenever participating in decisions that influence or bestow economic benefits (such as fellowships) or non-economic benefits (such as

grading, professional recommendations, or access to resources and opportunities). Staff members are deemed to have a position of authority with respect to all students.

Should this situation occur, the faculty or staff member has a duty to terminate the position of authority and withdraw from participating in such decisions, or to notify the Administrative Director of the Richard Gilder Graduate School or Human Resources so that arrangements can be made to eliminate influence and participation of the faculty or staff member over the student with respect to economic or non-economic benefits, and to take such other measures as necessary to protect the academic and research environment.

Even where the faculty or staff member has no professional responsibility for a student, the faculty or staff member should be aware of the perceptions of other students that a student who has a consensual relationship with a faculty or staff member may receive preferential treatment from the faculty or staff member or the faculty or staff member's colleagues. Accordingly, any consensual relationship that compromises the educational mission of the Richard Gilder Graduate School or the Museum will be addressed to protect the academic and research environment.

Students with concerns about compliance by others with this policy, including perceived instances of sexual favoritism, should report their concerns or complaints to the Administrative Director of the Richard Gilder Graduate School or to the AMNH Human Resources department, each of whom will refer the matter to the appropriate personnel for review and action. In all cases the identity of the person reporting will be kept confidential to the extent possible without compromising the ability of AMNH to administer this policy.

Sanctions may be invoked, ranging from a letter of reprimand for minor violations of this policy to dismissal for multiple or egregious violations, commensurate with the potential risk and potential or actual harm to AMNH and the AMNH community.

Public Statements

AMNH recognizes that students have the same personal interest in the decisions and policies of the government, as do other citizens. When AMNH students speak out on a public issue with a personal opinion, it is important to avoid the appearance of speaking or acting in an official capacity or on AMNH's behalf.

Communicating with the Press

Students are not authorized to speak on behalf of AMNH or to give access AMNH premises or property to representatives of the news media. All communications with the news media should be directed to the Communications Department, which has established procedures for responding to news media requests and for obtaining approval for public statements. If an activity merits or requires public disclosure, its release will be cleared and coordinated through the Communications Department.

Gambling and Lotteries

While on AMNH premises or involved in official AMNH activities off-site, students shall not participate in any gambling activity, including, but not limited to, a game for money or property, or selling or purchasing a numbers slip or ticket.

Partisan Political Activity

The law restricts the use of AMNH funds in connection with political campaigns. While students may make voluntary personal contributions to any lawful political causes, parties, or candidates, they may not obtain reimbursement from the AMNH for personal contributions or represent that such contributions were made by AMNH. The cost of fund-raising tickets for political functions are considered political contributions, and, therefore, the cost of any such fund-raising dinner may not be reimbursed as an expense, even if AMNH business is, in fact, discussed.

No student may use the AMNH name; property; facilities; materials (including letterhead); supplies; or equipment (including telephones or e-mail) in connection with partisan political activity. Examples of prohibited political activity would be using AMNH administrative time to send invitations for political fund-raising events, using AMNH telephones to make politically motivated solicitations, allowing a candidate to use AMNH facilities (such as meeting rooms) for political purposes, or loaning AMNH property to anyone for use in connection with a political campaign. Writing letters on AMNH stationery in support of candidates or taking a position on political issues is prohibited.

AMNH students may volunteer their services for political purposes, but such services must be rendered on their own time. Therefore, students may not solicit votes or campaign contributions while on AMNH premises.

Lobbying

In general, lobbying includes contacting government officials at any level of government (local, state, and federal or a foreign government) on the formation or adoption of laws or regulations, and on nominations of officials. In an attempt to maintain the integrity of the process by which the federal government makes awards, legislation has been enacted over the past few years limiting and requiring disclosure of lobbying efforts. To comply with these laws, the AMNH's Government Relations office coordinates lobbying activities, and the Finance department tracks charges made in regard to lobbying.

Gifts

Every government unit limits gifts that may be given to government officials. The political process has become highly regulated, and any student who has any question about what is or is not proper should consult with the AMNH's offices of Government Relations or General Counsel before doing anything that could be construed as involving

AMNH in any political activity at the federal, state, or local levels, or in any foreign country.

Personal Business Activity

Students who supplement their earnings by the promotion or sale of products and services do so entirely on their own initiative and without implied approval or endorsement by AMNH. All such activity, including sampling, soliciting orders, and deliveries, must be conducted entirely outside of working hours and entirely outside of AMNH property.

Stationery

AMNH stationery, forms, or other materials are intended for AMNH business only and must not be used by students for personal or non-AMNH correspondence.

Similarly email using the amnh.org address is for use in furtherance of your study and research at AMNH and is the electronic equivalent to a letter on AMNH stationery. Student emails from amnh.org and communications using AMNH letterhead should not contain any personal or private information that a student would not want read by his or her advisor, by other members of faculty, or by a third party. Students wishing to send personal email should use their personal email accounts (i.e., yahoo.com, aol.com, etc.) which may be accessed through the internet service provided by AMNH.

Use of AMNH Property

Students are expected to exercise care in the use of AMNH property. Negligence in the care and use of AMNH property, or unauthorized removal or personal use of AMNH property, may be cause for discipline. AMNH property issued to students, including but not limited to software, hardware, laptops, manuals, laboratory equipment, office equipment and proprietary information, must be returned upon separation from AMNH. If AMNH property is not returned, that student will be charged the value of the property. Students are also responsible for compliance with all regulations of the Office of Environmental Health and Safety (OEHS) governing hazardous materials, insofar as they affect borrowed AMNH equipment. Removal of AMNH property from the premises requires written permission from the supervisor or department head responsible for the property in question to pass Security. AMNH expects that students will return borrowed equipment as soon as possible and in the same condition it was in when it was borrowed.

Access, Safety, and Security

Key Card Access

Students are issued a picture identification key-card by the Security Department. This card provides a student with access to AMNH as authorized by the Graduate School. This identification card must be displayed upon entry and be readily available for display or worn within AMNH. Identification cards are AMNH property. They must not be duplicated, and must be returned to the Administrative Director of the Graduate School upon end of registered student status.

Students must comply with restricted access requirements for secure areas and facilities of AMNH, such as electrical panels, server rooms, science research labs, collection areas, the research library, and cash handling areas. Should an identification card fail to work, the student should see or telephone the Administrative Director of the Graduate School or Security. Students are responsible for the care and safeguarding of their identification cards. Lost or stolen cards must be immediately reported to Security. Lost or physically damaged cards will be replaced once without charge.

Collections Access

Curators are responsible and accountable for the use, care, and conservation of the collections, a responsibility delegated to them by the Trustees. It is important that proper procedures to be followed at all times; each department provides its own detailed regulations. AMNH graduate students are granted access privileges to those materials and facilities relevant to their research and study activities. Such access is not automatic, however. Students requiring access must apply to the Administrative Director of the Graduate School for keys to departmental and collections areas. All doors and cabinets must be kept locked at all times. Unannounced or unsupervised visitors are not permitted. Students not currently enrolled (e.g., on leave of absence) are not given student access privileges. Report any suspicious activity or policy violations immediately to Security.

Staff Collection Access

Scientific staff and scientific support staff will have access to the collections assigned to their care. Formally-associated graduate students (those who are candidates for a degree to be awarded by the Gilder Graduate School and students who are resident at AMNH but matriculating through other institutions e.g. CUNY, Columbia, Cornell, or NYU) may have access to the collections relevant to their study, including departmental libraries and archives upon approval by the division chair or Associate Dean of Science Collections and upon any conditions they require. Only these researchers may have keys to collection space and even in these cases, division chairs are cautioned to pay

close attention to who is provided access. Division chairs will be provided annually by Security with a report providing all key assignments as well as the distribution of electronic access to their departmental areas, and in the case of collection storage areas (and with the exception of Security), all keys and electronic card access within the science divisions must be approved annually by the division chairs and reviewed by the Associate Dean of Science for Collections.

Volunteer and Part-Time Employee Access

Volunteer and part-time employee access to collections must be restricted and supervised. All volunteers must be registered through the Volunteer Office, including those whose initial association with the Museum predates the Volunteer Office. Volunteers and part-time employees may be used to assist in curation and arrangement of collections, but they may not have unsupervised access nor off-hours access to the collections except upon approval by the division chair or Associate Dean of Science for Collections and upon any conditions they require.

Scholar Research Access

During normal operating hours, the collections shall be accessible for legitimate research and study by responsible, approved researchers (including visiting graduate students), subject to procedures necessary to safeguard the objects and to restrictions imposed by limitations of space and facilities, exhibition requirements, and availability of appropriate scientific staff, subject to the discretion of each science division.

Visits to collections shall involve a formal documentation process comparable to that for specimen loans to other institutions. Requests must be recorded in the form of written application describing the purpose and duration of the use. Requests for visits must be made in writing or email, and made sufficiently prior to the anticipated visit to allow the curator-in-charge (or division chair) time to evaluate carefully the request and approve or disapprove it in writing or email.

In the case of scholarly visitors from other recognized academic institutions, including graduate students with countersigned requests, access must be monitored and supervised by a member of the scientific staff. Visiting researchers should be restricted to only the areas of collections they have requested to visit.

The division shall maintain a visitor's register as a permanent record recording sign-in, sign-out names, dates and times and signed or initialed by the staff member supervising the visitor.

Tours and Visitor Collection Access

Tours and other visits by the general public to collections areas shall involve a formal documentation process comparable to that for specimen loans to other institutions. Requests for visits must be made in writing, and made sufficiently prior to the anticipated visit to allow the relevant curator-in-charge (or division chair) time to evaluate carefully the request and approve or disapprove it in writing. Tours and public visits must be accompanied by curatorial or collections management staff. Unannounced tour and visits to collections by visitors will not be permitted. No computer cases, briefcases, or backpacks are allowed in collection storage during these tours and public visits.

All visitors must go through a checkout procedure by either the collection staff (and noted on the visitor record) or by Security. The checkout will include a physical search of such items as computer cases, briefcases, and backpacks if such items were taken into collection areas.

Private collectors, dealers, or amateurs, the category of users of most concern from a security standpoint, will have only indirect access to specimens and then only under direct supervision of curatorial or collections management staff. Without exception, access to specimens by this category of user will be limited exclusively to regular weekday work hours.

Security Investigations

All students are required to respond fully and truthfully in any investigations AMNH carries out in response to reports or acts of workplace misconduct or violence. As always, AMNH will do its best to maintain confidentiality and to protect students from retaliation as a result of their cooperation in the investigation.

Losses and Theft

Losses and thefts of AMNH property or personal items must be reported to Security immediately upon discovery. Lost and found items may be reported and retrieved at the first-floor security desk.

Property Removal

AMNH property may only be removed from the premises with a property pass signed by an authorized person of the department from which the property is being removed.

Violence

AMNH does not tolerate any violence on its premises, whether carried out by coworkers, visitors, former employees, students, or other individuals. AMNH expressly prohibits violence, threats, harassment, intimidation, and other disruptive behavior on its property. Violence or threatening behavior can include (but is not limited to) physical acts of violence, gestures, intimidating presence, oral or written statements, sexual assaults, and weapons possession. AMNH will initiate appropriate action in response to

reports of such incidents, which may include, but is not limited to, immediate removal from AMNH property, suspension, dismissal, and/or referral for criminal prosecution.

Weapons

AMNH expressly prohibits the use, possession, or sale of any weapon, other than as expressly authorized by AMNH, by any persons or students while on AMNH property and/or while conducting business on behalf of AMNH, even if an individual has a legal permit to carry the weapon. Weapons prohibited include but are not limited to knives and firearms.

Crime Prevention Information

Bias-Related Crimes and Violent Felony Offenses

Bias-related crimes are behaviors which constitute an expression of hostility, against the person or property of another because of the targeted person's race, religion, sexual orientation, ethnicity, national origin, gender, age, or disability. Examples may include, but are not limited to: threatening phone calls, hate mail (including electronic mail), physical assaults, vandalism, destruction of property, and fire bombings. New York State Penal Law §485 deals with bias-related crimes. The penalties for commission of bias-related crimes have terms of imprisonment ranging up to 20 years.

Violent felony offenses are defined in Subdivision 1 of Section 70.02 of the New York State Penal Law to include, but are not limited to, degrees/classes of: murder, manslaughter, kidnapping, rape, sodomy, aggravated sexual abuse, assault, burglary, robbery, arson, criminal possession of a dangerous weapon, etc.

Procedures

Bias-related crimes and Violent felony offenses should be reported directly to the NYPD. For additional assistance, contact Security at x5225, and ask for Tom Slade, Don Boyle or Brian Hughes. If your immediate safety is threatened, call security at x2222 or the NYPD 911. If you are injured in any way, seek immediate medical attention by calling 911.

When the New York City Police department arrives at the Museum, the Security Department and other departments will cooperate fully with the investigation, including identifying persons needed for questioning.

If it is determined by the Security Department that an ongoing threat exists for the Museum community, or on request of the Office of General Counsel, the Graduate School will post notices at appropriate locations around the campus or by email. The appropriate members noted above will be fully informed regarding the nature and

status of the investigation and will use the voicemail and email systems to inform the community, as appropriate.

The local precinct commanders of the New York City Police Department will thereafter conduct an investigation pursuant to the New York City Police Department procedures.

Sexual Assault, Domestic Violence & Stalking Offenses

Sexual assault is forcing, coercing and/or manipulating someone into unwanted sexual activity. Sexual assault occurs when the act is committed against the will of another either by:

- a) physical force, violence, threat or intimidation;
- b) ignoring the objections of another person;
- c) causing another's intoxication or impairment through the use of drugs or alcohol; or
- d) taking advantage of another person's incapacity (due to drugs, alcohol, injury, etc.), state of intimidation, helplessness, or other inability to consent.

Sexual assault can happen anywhere, and is not solely a 'male against female' crime. It can be perpetrated by a man against a woman, man against a man, woman against a woman, and woman against a man. Most sexual assaults are committed by someone who knows the survivor of the assault.

Domestic Violence is the use of abusive behavior by one person in an intimate relationship as a means of gaining power and control over the other person. This abusive behavior is frequently some combination of physical, sexual, psychological, emotional and/or economic abuse. Domestic Violence often spills over to the workplace in the form of stalking behavior.

Stalking involves intentional and repeated actions that place an individual in reasonable fear for his or her safety. Stalking, a course of conduct used to maintain contact with, or exercise power and control over another individual, is a crime.

NY State Penal Law Article 130 deals with sexual offenses, which are punishable by up to 25 years imprisonment. Stalking violations are covered in NY State Penal Law Article 130 as well as Article 120, Sections 120.45, 120.50, 120.55, or 120.60. Domestic Violence issues are covered in NY State Penal Law Articles 130 and 120.

Procedures for Victims of Sexual Assault

If you feel your immediate safety is still threatened, you should get to a safe location and call 911. Otherwise, victims are encouraged to ask for immediate assistance by contacting:

the Security Department(x5222),

Safe Horizon Rape Crisis/Sexual Abuse Hotline (212-227-3000) to find the nearest rape crisis program,

New York City Police Department Special Victims Report Line, (212-267-7273), or

A friend/family member you trust and feel comfortable with.

Should you choose to report the assault to the police, you can request to speak to either a male or female member the Sex Crimes Analysis Unit, and it will be your decision whether or not to sign an official complaint.

Security, the NYPD Special Victims Officer or the rape crisis center counselor you reach should be able to help facilitate getting you the medical attention you need. (If you call Security, you may request to speak to a manager of the same gender, if that makes you more comfortable.) You may want to seriously consider seeking medical treatment to prevent pregnancy and/or sexually transmitted infections including HIV. At the hospital, you will be assigned a rape crisis advocate who will help to explain any of the legal or medical procedures you may not understand. You can choose to have the crisis counselor and/or a friend or family member present for all tests, and you can also choose to decline any test or medication that is offered.

It is important to note that you can have a rape kit administered even if you do not yet know if you will want to report the assault to the police and press charges.

Two benefits to having the rape kit test completed:

It allows you to file with the NY State Crime Victims Board, so that your ongoing medical care and expenses can be reimbursed. www.cvb.state.ny.us/home.aspx

It allows you to decide later to file a report with the police and to know that all evidence has been collected.

In regard to confidentiality, any information generally given to licensed health professionals is kept confidential, while information given to RGGGS staff or Museum Security is not guaranteed to be kept confidential when there is concern for the health and safety of people in the Museum community, including you.

Procedures for Victims of Domestic Violence and Stalking

Victims of Domestic Violence and Stalking should follow the same procedures outlined for Bias Crimes and Violent Felony Offenses. In addition:

Victims of Domestic Violence are also encouraged to call either the National Domestic Violence Hotline (1-800-799-SAFE - free, confidential, 24 hrs.) or the Safe Horizon NYC Domestic Violence Hotline (800-621-HOPE) for support, shelter, or services.

Victims of stalking are also encouraged to contact the National Center for Victims of Crime Stalking Resource Center at 1-800- FYI-CALL M-F, 8:30 am- 8:30 pm EST or visit their website: <http://www.ncvc.org/src/index.html>

Counseling

The department of Human Resources is available to counsel survivors of the crimes outlined above. Please contact the Richard Gilder Graduate School Administrative Director (x5143) or Human Resources (x5106) directly if you wish to set up an appointment. Students and postdocs receiving health insurance from the AMNH may also contact LifeWorks. Lifeworks is an advisory resource - staffed by professional counselors who have at least a master's degree and seven years of experience - that provides confidential assistance 24 hours a day, 365 days a year. Information on LifeWorks and the AMNH membership code can be found on the AMNH Intranet.

Updates

The Richard Gilder Graduate School will send out email notification to update them about security procedures on an as-needed basis.

Student Complaints

The AMNH endeavors to maintain a professional, collegial and safe learning environment where all faculty, staff and students may work and learn together with mutual respect and will be evaluated fairly on the basis of their contributions to the AMNH academic and professional community. Accordingly, several policies regarding student complaints have been developed, each structured to deal with differing types and severity of possible complaints. In all cases, the student is assured that no action will be taken against them through the act of filing a complaint. Action on the complaint will be taken following the mechanisms detailed in these policies and procedures.

Informal Complaints

To help resolve potential problems before they become intractable, and provide an extensive informal support network for students, we have implemented a variety of informal mentoring, advice, consul and complaint resolution procedures. Essentially, an informal complaint process starts with the student seeking to collegially resolve the complaint with the help of their principal advisor, with other faculty or staff members of their choice, or directly with the source of the complaint themselves.

The Richard Gilder Graduate School also has a Student Councilor and Facilitator, Dr. Peter Whiteley. Dr. Whiteley serves as an unofficial ombudsperson for the RGGS students, acting with confidentiality and neutrality. His role is to provide informal, confidential counsel and advice to the students, especially in personal and non-academic matters, and to help resolve problems or complaints (but as a facilitator, not an arbiter). As a Curator/Full Professor with tenure, he will also be able to act as a facilitator in bringing student issues to the administration and other faculty, if requested by the student, or provide feedback to the Dean on academic trends, issues, and

practices without breaching confidentiality or anonymity. Dr. Whitely serves on the RGGGS Academic Affairs and Fellowships Committee.

If this informal method does not adequately resolve the situation for the student, then the student may elect to file a formal complaint, following procedures herein.

Academic Complaints

Students are encouraged to define and resolve academic concerns as quickly as possible. A student with an academic concern about their graduate training should first take this concern to his or her Principal Advisor, non-academic mentor, or course instructor as appropriate. The student may also wish to discuss the matter with her or his dissertation committee or with the Ph. D. in Comparative Biology Program Committee or any of their members individually. Additionally, the student may wish to present the concern to the Administrative Director or Dean of the Richard Gilder Graduate School.

If the student's concerns have not been addressed to the student's satisfaction, the student may involve the Dean's Office by submitting a formal complaint in writing or via email to the Dean or Administrative Director. Based on the information in the complaint, the Dean shall then refer the issue an ad hoc committee whose membership will be established by the Dean and Provost and will consist of faculty, staff and administrators as appropriate to the complaint. The student will have the right to attend the committee meeting and bring documents or witnesses before the committee as appropriate. The committee will convene based on scheduled availability for all pertinent participants, but usually within 90 days of the formal complaint. Students will be formally advised by the committee chair as to the outcome of the complaint generally within 90 days of the committee meeting.

No action will be taken against the student for the act of filing a complaint.. As per New York State law, all documentation of the handling of all formal complaints will be maintained for at least six years after the final disposition of the complaint.

Complaints Relating to Racial Ethnic, Sexual, or Other Forms of Harassment

Harassment

Maintaining a respectful, courteous work and learning community requires that gossip, drinking, gambling, fighting, cursing, making malicious comments about colleagues, harassment and discrimination and similar unprofessional activities must not be permitted.

Racial, Ethnic, Sexual and General Harassment

Harassment is prohibited. It consists of ethnic or racial slurs, or other general harassment, verbal or physical conduct or gestures that relate to a person's race, color, religion, national origin, age, sex, sexual orientation, marital status, disability, immigration status, age or citizenship status. It includes objectionable conduct or comments that interfere with work performance-such as threats, bullying, coercing, assault, taunting, ostracizing, malicious gestures, and stalking.

Procedures

Any student with a harassment complaint should bring them to the attention of at least one of the following: the Dean of the Graduate School, their advisor, the Senior Director of Human Resources or other Human Resources staff, any officer of the Museum, or a designated EEO counselor. The Museum does not permit retaliation in any form against any employees for bringing a complaint under these procedures.

Helpline

AMNH has a Compliance Helpline operated by an independent company that receives calls anonymously with the callers' confidentiality fully protected, if desired. The Helpline toll-free telephone number is 800-620-5571 and the Helpline is staffed 24 hours a day, seven days a week. Calls to the Helpline are neither recorded nor traced. This line is available to report activities that are suspect, such as:

- Theft of cash or property
- Fraudulent activity
- Kickbacks from vendors or contractors
- Irregularities in accounting, auditing, or internal controls
- Vandalism or sabotage
- Falsification of time sheets, expense reports, or other records
- Fraudulent insurance or benefit claims
- Forgery
- Undisclosed conflicts of interest
- Use or sale of illegal drugs
- Violations of law or government compliance regulations

All reports will be directed to senior management of AMNH. No effort will be made to ascertain the identity of the person reporting employee, nor retaliation taken against any employee or other person who, in good faith, reports a violation or provides assistance to an investigation, whether to AMNH representatives or to any governmental body investigating the report.

The AMNH and Richard Gilder Graduate School administration and staff will continually work to meet the needs of students, faculty and staff; meet the New York State Board of Regents and Commissioner requirements; and fulfill the requirements of any other jurisdiction to which the AMNH and the Richard Gilder Graduate School are subject. The AMNH and Richard Gilder Graduate School will continually monitor our complaint policies and make changes as needs and situations warrant, or after new evidence becomes available. Consistent with both our legal obligations and ethical standards, complaints made to the AMNH or Richard Gilder Graduate School staff or faculty will be handled in a professional, confidential and in a non-retaliatory way.

Academic Probation and Dismissal

Academic Probation

A student may be placed on academic probation in the case of unsatisfactory academic progress or multiple incomplete grades. Such academic probation may last up to a maximum of two semesters before the student is dismissed from the RGGS.

During the first semester of academic probation, the student must meet weekly with her/his academic advisor to set goals and review progress. During this term, the student must receive no failing grades and must reduce the number of incompletes on his or her record to fewer than two. During the probation, the student will not be allowed to take incompletes in any courses without permission from the Comparative Biology Ph.D. Program Committee of the Richard Gilder Graduate School.

A student can appeal this decision to the Dean, whose decision is final. If the student satisfies all of these requirements, the Dean will evaluate all the pertinent information and may rescind the probation by sending a formal letter to the student's mailing address and placing a copy of the letter in the student's file. A student who fails to meet these conditions will be placed on probation for a second term.

The same requirements for the second term apply as for the first term. If the student satisfies all of the requirements for this second term, the Dean will rescind the probation by sending a formal letter to the student's mailing address and placing a copy of the letter in the student's file.

Any student who has been on academic probation for any two terms will be dismissed from the program and the RGGS if they are in academic probation for a third term, and may appeal using the procedure in this handbook.

Academic Dismissal and Recourse

Dismissal for academic reasons is determined by the Comparative Biology Ph.D. Program Committee or other appropriate committees, as well as the Dean of the

Richard Gilder Graduate School. Reasons for such dismissal include, but are not limited to:

- Unsatisfactory academic performance;
- Violation of academic policies;
- Unethical conduct or violation of other conduct rules.

A student may petition to have this determination reviewed within 30 days by the Provost; who may appoint an ad hoc committee from among appropriate staff, deans or officers to review the matter and make recommendations, otherwise, the decision of the Dean of the Richard Gilder Graduate School is final. During this process, the student will be considered withdrawn, and may not have access to AMNH facilities or attend classes. The student must return all AMNH property, including computer(s), software, library materials, and ID badge and keys; all AMNH IT access also will be revoked. Any fellowship or other AMNH support will be suspended until a final determination is made.

Dean's Discipline

A student charged with a disciplinary infraction subject to "Dean's Discipline" is entitled to notice of the charges, an opportunity to be heard and an opportunity to appeal a disciplinary decision to the Provost.

Ordinarily, a disciplinary proceeding begins with a written communication from the Office of the Dean requiring the student to attend a disciplinary hearing to respond to a specified charge. (In rare cases, the proceeding may begin with an oral communication requiring the presence of the student at a hearing.) The hearing is held before the Dean and two other members of the Comparative Biology Ph.D. Program Committee appointed by the Dean. The hearing is a fact-finding, not an adversarial courtroom-type, proceeding; the student need not be present to hear other witnesses and there is no formal cross examination of witnesses or objecting to evidence. In addition, although students are always free to consult an attorney, they may not have an attorney present during a disciplinary hearing or at any appeal.

The student is informed of the evidence that led to the charges against him or her and asked to respond. The student may offer his or her own evidence. This includes the student's own appearance at the hearing and may include the appearance by others (witnesses) on his or her behalf and any written submission or relevant documents the student may wish to submit. After the Dean and the representatives of the committee have heard the student and others and considered all the evidence, it reaches a determination and notifies the student in writing of that decision. If the student is found to have committed a disciplinary infraction, the penalty can include censure, probation, suspension and dismissal.

The student has the right to appeal a decision that results from a disciplinary hearing to the Provost who may appoint two members of the Faculty to advise him in the matter. The appeal must be made to the Provost in writing within seven days of the time he or she is notified of the decision, and it must clearly state the grounds for appeal. Normally, on such an appeal, the Provost relies solely upon the written record and does not conduct a new factual investigation. The Provost focuses upon whether, in the Provost's view, the decision made and the discipline

imposed are reasonable under all of the circumstances of the case. There is no further appeal within the Graduate School.

Family Educational Rights and Privacy Act (FERPA)

The Family Educational Rights and Privacy Act (FERPA), commonly known as the "Buckley Amendment," of 1974 affords students certain rights with respect to their education records. They are:

(A) The right to inspect and review the student's education records within 45 days of the day the AMNH receives a request for access.

"Education records" is a defined term in the federal regulations that implement FERPA, and among the documents it does not include are:

1. Personal files of members of the faculty and administration;
2. Medical records;
3. Security files not available for review by individuals other than security officers and other local law enforcement officials;
4. Employment records that relate exclusively to the individual's capacity as an employee;
5. Records containing only information concerning a person's activities after graduation or withdrawal from the AMNH Graduate School;
6. Materials relating to the financial status of parents, which is contained in any record, maintained by AMNH;
7. Confidential letters of recommendation placed in a student's education record prior to January 1975; and
8. Confidential letters of recommendation, to which a student has waived his or her right of access.

Student education records are located primarily in the office of the Richard Gilder Graduate School and the offices of the various academic advisors. A student may request from the Administrative Director of the Richard Gilder Graduate School access to his or her education records by filing a written request with the person who is responsible for maintaining the record that the student wants to review. The request must identify the particular record(s) that the student wishes to inspect. The Administrative Director of the Richard Gilder Graduate School will make arrangements for access and notify the student of the time and place where the records may be inspected. If the Administrative Director does not maintain the records, that person will advise the student of the correct official to whom the request should be addressed.

(B) The right to request the amendment of the student's education records that the student believes are inaccurate or misleading.

Students may ask AMNH to amend a record that they believe is inaccurate or misleading. They should write the AMNH official responsible for the record, clearly identifying the part of the record they want changed and specify why it is inaccurate or misleading.

If AMNH decides not to amend the record as requested by the student, AMNH will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.

(C) The right to consent to disclosures of personally identifiable information contained in the student's education records, except to the extent that FERPA authorizes disclosures without consent.

FERPA contains various exceptions to the general rule that AMNH shall not have a practice of disclosing personally identifiable information contained in a student's education records without seeking the prior written consent of the student. The following circumstances are representative of those in which such information may be disclosed without the student's prior written consent:

1. Directory Information may include, but is not limited to, information such as the student's name, addresses (including e-mail addresses), telephone number, date of birth, major, year of school, dates of attendance at the Richard Gilder Graduate School, full or part-time status, participation in officially recognized activities, photographs (including identification pictures), videos depicting and/or concerning Richard Gilder Graduate School life, degrees and awards received, and previous educational institution(s) attended may be disclosed without restriction unless the student objects in writing within 30 days after enrollment.
2. Faculty members and other officials of AMNH who have a legitimate educational interest in a student's education record may be permitted to review it. An AMNH official is a person employed by AMNH in an administrative, supervisory, academic or research or support staff position (including law enforcement unit personnel and health staff); a person or company with whom the AMNH has contracted (such as an attorney, auditor or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another AMNH official in performing his or her tasks. An AMNH official has a legitimate educational interest if the official needs to review an educational record in order to fulfill his or her professional responsibility.
3. AMNH will disclose information to government agencies entitled to it by law.
4. AMNH may disclose information to the parent(s) or guardian(s) of a student unless the student has filed a statement certifying that he or she is not financially dependent as defined by the federal income tax laws.

5. After trying to notify the student involved, AMNH will disclose information in response to a lawfully issued subpoena.
6. AMNH may disclose information when necessary to determine the student's eligibility for financial aid or to enforce the terms or conditions of financial aid that a student has received.
7. AMNH may disclose information to an organization conducting a study if the organization certifies that the study will not be conducted in a way that will permit the personal identification of the students and that the information will be destroyed when the study is completed.
8. Upon request, AMNH has the right to disclose education records without a student's prior consent to officials of another institution in which a student seeks or intends to enroll. However, AMNH encourages its departments and offices, at the minimum, to make a reasonable attempt to advise the student of the disclosure either before or after it occurs.
9. AMNH will disclose information to a third party that has been granted permission by the student to request such information. When the student has given written permission for disclosure of information to a third party and subsequent events materially affect the accuracy of the AMNH's original reporting, permission for the reporting of such additional information is understood in order to make the original reporting accurate.

(D) The right to file a complaint with the U.S. Department of Education concerning alleged failures of AMNH to comply with the requirements of FERPA.

The name and address of the office that administers FERPA are:

Family Policy Compliance Office
U.S. Department of Education
600 Independence Avenue, SW
Washington, DC 20202-4605

<http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>

Faculty List

See Richard Gilder Graduate School website for most current information:

<http://rggs.amnh.org/faculty>

Definitions:

Curatorial Faculty: The titles of professor, associate professor, assistant professor...will be awarded to a [ladder-ranked curator] during such time as he or she serves, or is anticipated to serve on a continuing basis, as an advisor to doctoral candidates in either the PhD Program in Comparative Biology or in collaborative programs with participating universities, or within the Graduate School serves as a lecturer of courses, lab or field

instructor, student advisor, or member of school committees. During the period of such service, a curator will receive the title of professor; an associate curator will receive the title of associate professor; and an assistant curator will receive the title of assistant professor.

Affiliated Faculty: Internal professional staff and personnel who are members of centers, institutes, research stations and programs that are part of the Museum's science program or as may be established in future years and that have a PhD relevant to the graduate program, and whose scholarly interests align with any Graduate School program who have been nominated for appointment to the Graduate School in the Graduate Faculty and Professorial Rank of "Affiliated Faculty," which is a special rank for any professional staff becoming a voting RGGGS faculty member.

Graduate School Faculty: All Curatorial Faculty, Affiliated Faculty and Adjunct Faculty of the Richard Gilder Graduate School.

Facility List

See Richard Gilder Graduate School website for most current information:

http://rggs.amnh.org/pages/academics_and_research/research_labs_and_facilities

Course Catalog

For current term offers, see the Richard Gilder Graduate School website:

<https://myrggs.amnh.org/Common/CourseSchedule.aspx>

For elective course catalog, go to: http://rggs.amnh.org/files/Elective_Courses.pdf

For Core Courses, go to: http://rggs.amnh.org/pages/amnh_phd_program/curriculum