Cold Spring Harbor Laboratory
SCHOOL OF BIOLOGICAL SCIENCES

Graduate Program 2021-2022

Student Guide & Regulations

Cold Spring Harbor Laboratory reserves the right to change, amend or modify the School of Biological Sciences student policies and procedures to the maxim amount allowed under the law

Alexander Gann, Ph.D., Dean

Monn Monn Myat, Ph.D., Associate Dean

Alyson Kass-Eisler, Ph.D., Director of Academic Programs and Registrar

Kimberly Creteur, M.Ed., M.S.Ed., Admissions & Recruitment Manager

Kimberley Graham, Administrative Assistant

TABLE OF CONTENTS

Appendix Materials

Appendix I: The Role of an Academic Mentor

Appendix II: Academic Mentor Pool – Fall 2021

Appendix III: Faculty Research Interests

Appendix IV: Fall 2021 Weekly Schedules

Appendix V: CSHL Policies

- Academic Freedom
- Equal Employment Opportunity/Nondiscrimination/Anti-Harassment Policy and Complaint Procedure
- Interim Policy and Procedures for Allegations of Title IX Sexual Harassment
- Research Fraud and Professional Misconduct
- Individual Development Plans and Post-Graduate Plans
- Students' Bill of Rights
- Transcript Notation Policy
- CSHL Whistleblower Policy
- Student Code of Conduct
- Standards of Conduct
- Campus Security Guide

Mission Statement

Since 1890, Cold Spring Harbor Laboratory (CSHL) has been a global leader in research and education. The international scientific community at CSHL provides a unique and stimulating atmosphere for doctoral research—an environment where students, postdoctoral fellows, and faculty work side-by-side. The School of Biological Sciences was founded on the belief that with well thought-out mechanisms, enthusiastic involvement of faculty, and highly motivated students, an innovative curriculum could be provided that would allow students to earn a doctoral degree in a shorter time than in traditional programs without compromising the quality of their training. The curriculum is designed to train students to become scholars and independent thinkers.

Our mission is to:

- Prepare the best and the brightest students to face the ever-changing cutting edge of biological and biomedical research with the necessary skills to become leaders in science and society.
- Enable students to complete their PhD in an accelerated timeframe, while maintaining the highest standards of excellence. Reducing the time to graduation considerably, compared to the national average.
- Impart a broad, multi-disciplinary, representation of the biological sciences.
- Teach students how to think independently and critically focusing on the principles of scientific reasoning and logic.
- Educate ethical biologists who can communicate effectively with all audiences.
- Emphasize that learning is a lifelong process that goes hand-in-hand with outstanding research.
- Facilitate the pursuit of significant, independent thesis research.

To accomplish these goals the following unique features drive the program:

- Separate course work and laboratory rotations into separate phases in the first year of training.
- Extensive student mentoring through a "two-tier" mentoring program.
- Financial support from the program, which serves to uncouple the funding source from graduate education.
- A student body with diverse ethnicities, nationalities, and educational backgrounds.
- A unique environment, which includes a world-class scientific Meetings and Courses program, providing the opportunity to meet and learn from leaders in science.

1. Introduction

Since its inception in 1890, Cold Spring Harbor Laboratory (CSHL) has been involved in higher education and is today a world leader in biology education. The CSHL Press publishes internationally recognized books and journals. The Dolan DNA Learning Center educates students and teachers about the world of DNA. The Undergraduate Research Program, started in 1959, hosts exceptional undergraduates from around the world for a summer research experience. CSHL is also involved in education at the highest levels through a postgraduate program of 25 advanced courses in biology, and many large and small international conferences. These meetings and courses attract 10,000 scientists annually to the Laboratory. The Laboratory has also been involved in graduate education leading to the Ph.D. degree for over 35 years, particularly through shared graduate programs with Stony Brook University.

On September 18, 1998, Cold Spring Harbor Laboratory became an accredited degree granting institution for the first time in its history. On that day, the Laboratory received authority from the Board of Regents of the New York State Education Department to establish the CSHL School of Biological Sciences and to grant the Ph.D. and M.S. degrees in the biological sciences. The program provides an exciting and intensive educational experience. The course work is varied involving core courses, focused topic courses, and CSHL postgraduate courses.

The current fields of research expertise of CSHL faculty are: genetics, molecular, cellular, and structural biology, neuroscience, cancer, plant biology, bioinformatics, genomics and quantitative biology. The laboratories of all CSHL research faculty are available to students in the program. Requirements for the award of the Ph.D. degree are successful completion of all coursework, laboratory rotations, teaching (at the Lab's Dolan DNA Learning Center), Ph.D. qualifying exam, thesis research and postdoctoral plans, and defense of a written thesis describing original research. The program aims to train future leaders in science and society.

1.1 Application

Applicants must have received a baccalaureate degree (or equivalent) from an accredited university or college prior to matriculation. Cold Spring Harbor Laboratory School of Biological Sciences does not discriminate on the basis of race, color, creed, religion, sex, pregnancy status, citizenship status, marital status, national origin, mental or physical disability, age, veteran or military status, familial status, sexual orientation, gender identity or expression, genetic information, sexual and reproductive health decision making, status as a victim of domestic violence, sex offenses or stalking, or any other characteristic protected by law in administration of its admissions and educational policies, or any school-administered programs. Suitable applicants are assessed on the basis of their academic record, recommendations from their mentors, and an on-site interview. Students must ensure that the School receives all application materials (transcripts, examination scores, letters of recommendation, etc.) no later than December 1 for the following fall term. Early application is advisable. All applicants must apply online.

1.2 Curriculum

Advances in biology depend on multidisciplinary approaches, in which knowledge and technology from diverse areas intersect to inspire new discoveries. Today, however, the breadth of accumulated knowledge about biology is immense—far more extensive than any individual can assimilate. Thus, the curriculum has been designed to train self-reliant students who, under their own guidance, can acquire and assimilate the knowledge their research or career demands require.

The curriculum takes advantage of the unique and flexible environment of Cold Spring Harbor Laboratory and includes the following innovative features:

- Approximately five years from matriculation to Ph.D.
- A broad representation of the biological sciences

- A first year with course work and laboratory rotations in separate phases
- Emphasis on the principles of scientific reasoning and logic, as well as the importance of ethics and effective communication
- Continued advanced course instruction throughout the graduate curriculum
- Extensive mentoring and support in large part through our "two-tier" mentoring program
- A career and skills development course in the third year of the program

The flexible structure of the program permits the design of courses with flexible mandates and formats. Two core courses—Scientific Reasoning and Logic and Scientific Exposition and Ethics—span the fall course term and are designed to help students develop the analytical skills required of today's biologists. The weekly evening research topics seminars give students an insight into the faculty's current research topics and methods of investigation. The courses designated as Specialized Disciplines in Biology are approximately four weeks long, and allow students to explore well-defined research fields in depth. The intensive one-week Topics in Biology courses broaden the educational program by offering instruction in rapidly developing areas of biology. Lastly, the two-to-three-week postgraduate courses offered by the Laboratory allow students to participate in the lectures offered in a long-standing and highly regarded series of advanced-level courses. Thus, a doctoral student participates in a total of 14 lecture courses: the two core courses, the research topics, four Specialized Disciplines in Biology courses, four Topics in Biology courses, and three Cold Spring Harbor Laboratory postgraduate-course lecture series as illustrated in the "*Curriculum at a Glance*" shown opposite.

1.3 Mentoring

The graduate program is committed to the success of its students. To promote a high level of student achievement, the faculty and administration take an active role in mentoring and supervising the students. A special feature of the curriculum is a "two-tier mentoring" program, which involves an academic and research mentor for each student. Shortly after matriculation, each student chooses a faculty member as an academic mentor. The academic mentor follows the student's academic and research progress, and provides advice for the duration of the student's tenure in the graduate program (see Appendix I on "*The Role of an Academic Mentor*"). A student is welcome to suggest a change in academic mentor at any time during their studies. Such a change should not be viewed negatively. After the laboratory rotations, each student chooses a research mentor. The research mentor is the doctoral thesis research advisor, who supervises the student's independent laboratory research. Should the student choose his or her academic mentor as the research mentor, a new academic mentor is selected. By providing both academic and research mentors, the School provides each student with advice from faculty who hold different views and can then offer unique and in-depth evaluations of the student. The mentor pool available to students entering in Fall 2021 is detailed in Appendix II.

1.4 Matriculation

At the time of enrollment, the School administration must have received final official transcripts from the undergraduate institution in which the entering student was enrolled, confirming that the anticipated course of study was completed, and that the appropriate degree was received. In addition, New York State Law requires that all college and university students born after January 1, 1957, present proof of immunity against measles, mumps, and rubella (MMR). Students are also required to be vaccinated against COVID-19. Enrollment in the Ph.D. program requires documented proof of immunity. New York State only allows exceptions for medical and religious reasons.

All incoming students are required to attend the Ph.D. program orientation, which will take place August 16 to August 23, 2021 (Appendix IV). On joining the program, students are required to

comply with the general requirements of Cold Spring Harbor Laboratory. These include, but are not restricted to, health and safety, and security regulations, and policies for a drug free workplace, sexual harassment, equal opportunities, commercial relations, and standards of conduct. Full details of all Laboratory policies will be provided by the Department of Human Resources at the student's "Employee Orientation". This orientation will take place soon after your arrival at the Laboratory. Copies of Laboratory polices are also available on the internal website, *http://hr.cshl.edu,* under Policies.

1.5 Registration of Continuing Students

All students continuing in the Ph.D. program are required to complete a registration form at the beginning of the fall term (i.e., during the week beginning August 16, 2021). These forms are available from the School office located in the Lindsay Student Center, Urey Building.

1.6 Transfer of Credit

The CSHL School of Biological Sciences does not accept transfer credits. All students are required to complete the School's curriculum regardless of prior experience.

2. The First Year

The first year of the curriculum assumes an innovative format, in which students progress rapidly from course instruction to doctoral research. The year begins with a 15-week fall course term that extends from the end of August to mid-December. During the fall term, students are free of research responsibilities, which allows them to devote their full attention to intensive course instruction and seminars. During the subsequent winter and spring, students participate in three six-week-long laboratory rotations, a Topics in Biology course, and teaching high school and middle school students. In May, students select a research mentor and prepare for the Ph.D. qualifying exam in June. After the requirements of the qualifying exam have been satisfied, students focus on their doctoral research.

2.1 Tutoring

The curriculum is tailored for a highly qualified and diverse student body. Soon after arrival, each student is matched with an academic mentor. Any student needing aid with English or background knowledge in the biological sciences is provided individual tutoring at no cost. Any student wishing to have an individual tutor should contact the Director of Academic Programs and Registrar. Students with non-bioscience backgrounds are especially encouraged to consider this option. Additionally, teaching assistants for each class are available for individual or group sessions.

2.2 Fall Course Term

The curriculum used in the fall course term provides intense instruction in a series of coordinated and integrated courses. The Curriculum Development and Integration Committee monitors and aids in course development and integration for the Fall Term. Students participate in two core courses—Scientific Reasoning and Logic, Scientific Exposition and Ethics and the weekly research topics seminars—which span the length of the fall term. In parallel, students participate in four tandem lecture courses. Students are also introduced to research activities at the Laboratory through an annual Laboratory-wide symposium or "retreat" and Laboratory-wide In-House seminars. Graduate Student Symposium occurs twice throughout the academic year. An overview of the weekly schedule follows.

2.3 Laboratory Rotations

After the fall course term, students participate in laboratory rotations and attend building-wide group meetings. These rotations provide students and faculty with opportunities to get to know each other and to explore possibilities for doctoral thesis research. At the end of each rotation, students make short presentations of their studies to the other students, their rotation advisors and academic mentors, and the Scientific Exposition and Ethics core course instructors. These talks give students an opportunity to share their laboratory experiences and to learn how to give a scientific presentation.

2.4 Teaching Experience

As science plays an increasingly important role in society, there is a need for biologists to educate nonscientists of all ages about biology. The graduate program offers its students unique teaching experiences through CSHL's Dolan DNA Learning Center. Graduate students teach laboratory courses at the DNA Learning Center to high school and middle school students. From these teaching experiences, graduate students learn how to communicate with non-biologists and to inspire and educate creative young minds. Undergraduate teaching experience is also available as part of the Career and Skills Development Course.

2.5 Doctoral Research

The most important element of the Ph.D. program is learning to perform independent research that leads to a unique contribution to human knowledge. Cold Spring Harbor Laboratory is recognized internationally for the excellence of its research faculty, and it thus provides an outstanding environment for doctoral thesis research. Appendix III provides a summary of the faculty's current research interests. Following the laboratory rotation schedule, and generally prior to the qualifying exam, each student selects a research mentor—distinct from the academic mentor—to serve as the doctoral thesis research advisor.

2.6 Ph.D. Qualifying Exam

In June of the first year, students in good academic standing take a qualifying exam. Students are expected to possess a broad basic knowledge of biology and to display the ability to acquire and articulate in-depth scientific information by defending their knowledge of assigned topics. Students must pass the qualifying exam in order to progress to Ph.D. candidacy.

2.7 The Summer Months

Upon progression to Ph.D. candidacy, each student begins full-time doctoral research.

3. Fall 2021 Courses

3.1 Scientific Reasoning and Logic

[*Instructors: Linda Van Aelst – lead instructor, Alexander Gann, Christopher Hammell, Leemor Joshua-Tor, Jessica Tollkuhn*]

A fundamental aspect of earning the Ph.D. is training in the pursuit of knowledge. In this core course, which forms the heart of the curriculum, students (1) acquire a broad base of knowledge about the biological sciences, (2) learn the scientific method, and (3) learn how to think critically. The beginning of the course is divided into 4-5 modules, each of which has a different general theme, and proceeds with the goal of considering an open, still unanswered, scientific question. For each module, students read an assigned set of research articles (generally 4 articles) and at the end of the module, provide written answers to a problem set that guides them through several of the articles.

Twice weekly students attend lectures related to the module's topic that include concepts and fundamental information as well as experimental methods. During each week, the students meet among themselves to discuss the assigned papers not covered by the problem set. Each week,

	Monday	Tuesday	Wednesday	Thursday	Friday
9:00 AM		Scientific Reasoning and Logic			Scientific Reasoning and Logic
9:30	Scientific Exposition and Ethics				
10:00					
10:30					
11:00					
11:30					
12:00	SRL Wrap-Up			CSHL Seminar	CSHL In House Seminar
12:30 PM					
1:00					Sci Exp & Ethics
1:30					
2:00	Specialized Disciplines Course	Specialized Disciplines Course	Specialized Disciplines Course	Specialized Disciplines Course	Specialized Disciplines Course
2:30					
3:00					
3:30					
4:00		Dean's Tea			
4:30					
5:00			Research Topics		
5:30					
6:00		Scientific Reasoning and Logic *Graduate Student Discussion Group*		Scientific Reasoning and Logic *Student/Faculty Discussion*	
6:30					
7:00					
7:30					
8:00					
8:30					

students spend an evening discussing the assigned articles with faculty. In the final part of the course, students participate in a mock study-section in which funded National Institutes of Health R01 grants are reviewed and critiqued. This allows the students to evaluate the questions before the answers are known, evaluate routes toward discovery before knowing where they will end, and make critical judgments about how to proceed in the face of an uncertain outcome. The module topics for this course are as follows:

Topic	**Instructor(s)**
Gene Expression	Gann
Gene Regulatory Logic and the Construction of Multicellular Organisms: Insights from Flies, Plants and Worms	C. Hammell
The Brain: wiring, plasticity, and maladaptation	Tollkuhn
Macromolecular Structure and Function	Joshua-Tor
Study Section	Van Aelst

3.2 Scientific Exposition and Ethics

[*Instructors: David Jackson – lead instructor, Sydney Gary, Rebecca Leshan, Hannah Meyer]*
This core course offers instruction in the fundamental elements of scientific exposition—writing skills and public speaking—and ethics. The ability to communicate effectively and to appreciate the intricacies of ethical issues are essential skills for biologists; both subjects are taught in a series of example-based lectures and discussion groups. Writing skills include the fundamentals of modern scientific English and the organization and preparation of papers, research abstracts, and grant applications. Oral presentation skills are taught by instructors with different modes of presentation. Together with instructors, students critique formal seminar presentations at the Laboratory. Instruction and discussions about ethics include the ethical implications of biological discovery on society as well as the nature and boundaries of ethical behavior of scientists and their rights and responsibilities. A primary objective of the course is that students consider exposition and ethics an integral part of scientific research.

3.3 Research Topics

[*Organizers: Kimberley Graham, Alyson Kass-Eisler*]
As an in-depth introduction to the fields of research that Laboratory scientists investigate, students attend a weekly evening Research Topics seminar, at which faculty members describe their current research topics, methods of investigation and mentoring style. Here, the students learn how to approach important problems in biology. These seminars, together with the annual fall In-House symposium, provide students with a basis for selecting laboratories for rotations.

3.4 Bootcamps

Bootcamps are intensive non-credit short courses aimed at getting all students to a similar level of proficiency in a defined topic in preparation for the core courses. In the Fall Term 2021, two bootcamps are offered: Techniques in Molecular and Cell Biology, and Quantitative Biology in the first and second weeks of instruction, respectively. Both bootcamps are required for all students, regardless of academic background.

3.5 Specialized Disciplines in Biology

The Specialized Disciplines in Biology courses provide in-depth instruction by Cold Spring Harbor Laboratory faculty on defined topics. The courses enable students to identify key issues in the field, to propose experimental or theoretical solutions to those issues, and to evaluate the published literature. The courses demonstrate biological principles that resonate beyond the limits of the course topics themselves. The Fall 2021 offerings are as follows:

3.5.1 Genetics and Genomics

[Instructor: Ullas Pedmale – lead instructor]

In the past, "gene discovery" and association between gene and phenotype were accomplished in model organisms. Our understanding of human disease then was advanced by identification of human orthologs associated with disease and by interventionist experiments using animal models of human disease. The completion of the human genome sequence, the characterization of the transcriptional outputs of the genome and the remarkable advances in molecular biological techniques have initiated a paradigm shift in genetics. Associations between gene variants and disease now can be directly identified and gene-to-phenotype functional associations can thus be discovered in humans, as well as in model organisms. Causal mechanistic relationships between gene and phenotype then can be established using interventionist genetic experiments in animal models. This permits both a "vertical integration" to understand how molecular mechanisms influence functional output across various levels of biological organization and a "horizontal integration" to understand how genetic pathways have been conserved evolutionarily.

This course places modern human genetics and genomics into the context of classical organismal genetics. History, perspective and technique will be described around four levels of analysis: naturally occurring variation, association studies, genome evolution and genetic screens. How do gene mutations help to define biological processes? How are more complex traits genetically dissected into simpler (underlying) components and gene-to-gene relationships? What concepts and techniques are used to organize genes into pathways and networks? How are genes mapped, cloned and engineered to identify functional domains of proteins? What gene variation exists in natural populations? What are the functional consequences of gene variation? How is it detected? How are genomes organized and coordinately regulated? How can genomic information be catalogued, organized and mined? These questions and concepts will be fleshed out using examples from the literature.

3.5.2 Cancer Biology

[Instructors: Mikala Egeblad, Chris Vakoc — co-lead instructors]

Cancer represents an increasing cause of morbidity and mortality throughout the world as health advances continue to extend the life spans of our populations. Although our basic understanding of cancer has increased considerably since 1971, when United States President Richard Nixon initiated the 'War on Cancer', our ability to translate this knowledge into a health benefit for patients has been restricted to certain malignancies and often only temporarily. Importantly, specific hypotheses developed from our knowledge of cancer biology can be tested in increasingly complex model systems ranging from cell culture to genetically engineered mouse models, and such investigations should prove invaluable in discovering new methodologies for the detection, management and treatment of cancer in humans.

At the conclusion of this course, you should be able to elaborate an understanding of cancer as a pathobiological process that invades our bodies without offering any known benefit to the host; discuss how we diagnose cancer today; and contemplate how to replace the methods currently used to treat cancer. You will also be able to design tractable methods to investigate fundamental aspects of cancer biology, and will be familiar with translational approaches to defeating cancer. Topics covered in this course will include biochemistry, epigenetics, immunology, resistance, growth control, microenvironment non-coding RNA, and disease modeling. The implications of the biological findings on cancer prevention, diagnosis, and treatment will be covered.

3.5.3 Systems Neuroscience

[Instructors: Stephen Shea — lead instructor, Florin Albeanu]

This course will introduce students to neuroscience, with a focus on learning and plasticity from its cellular basis, through development, to systems and behavior. Both experimental and

theoretical viewpoints will be explored. The course will start with the basics of electrical signaling in neurons: ion channels, action potentials, and synaptic transmission. The cellular basis of learning including Hebb's postulates, LTP (long-term synaptic potentiation) will be discussed. The course will explore the consequences of synaptic learning rules by examining how experience shapes the wiring of the nervous system during development and will investigate how such building blocks translate into whole-organism behavior. The course will then examine classical conditioning and ask how changes in synaptic transmission could underlie such behavior. Associative learning computational models, of the learning process, will be discussed.

From behaviors that focus on simple memories, the course will turn to behaviors that require making perceptual decisions. This will be accomplished by covering some basic concepts of perceptual neuroscience, such as neuronal "receptive fields," and use these to discuss current results and models of perceptual decision-making. Finally, the course will turn to the learning of behaviors through reward and punishment, what is known as reinforcement learning. The course will conclude with a discussion of the role of dopamine in reward and learning, the theory of reinforcement learning, and pathologies of reward-seeking behavior.

3.5.4 Quantitative Biology

[Instructors: Justin Kinney — lead instructor]

Quantitative reasoning is a powerful tool to uncover and characterize biological principles, ranging from the molecular scale all the way to the ecological. With the advent of high throughput technologies in genomics and neuroscience it has become increasingly necessary for biological researchers to be able to analyze and interpret high-dimensional data and frame biological hypotheses mathematically. To this end, this course will aim to equip the students with a basic training in computer programming, modern statistical methods and physical biology. It is hoped that by the end of the course that the students will be able to not only answer many of the statistical questions that arise in data analyses, but also be familiar with the more complex techniques employed by fellow computational biologists. Topics to be covered include probabilities, statistical fluctuations, Bayesian inference, significance testing, fluctuations, diffusion, information theory, neural signal processing, dimensional reduction, Monte Carlo methods, population genetics and DNA sequence analyses. A common theme throughout the course will be the use of probabilistic and Bayesian approaches.

4. Annual Courses, Symposia, Seminars, and Lectures

After the fall term, students are required to continue their education by participating in a number of annual and on-going events. These events are designed not only to extend the students' formal education beyond the first year, but also to broaden scientific interest, and to provide an opportunity to stay abreast of the most recent advances in a broad range of fields. To provide students with in-depth coverage of specialized areas, the graduate program will offer two opportunities to learn from leading researchers in specialized fields. The first opportunity is a "Topics in Biology" course, which has been specifically designed for the graduate program. The second opportunity allows students to take full advantage of the ongoing postgraduate courses that are held at the Laboratory each year.

Seminars and symposia are an integral part of the continuing education of all scientists at Cold Spring Harbor Laboratory. Each year, graduate students are required to participate in seminar programs that include Graduate Student Symposium, weekly In-House seminars, and weekly seminars given by invited speakers. Graduate students also participate in an annual, two-day, In-House symposium in the fall; and seminar programs designed especially for them including the Gavin Borden lectures.

4.1 Post-Fall Term Courses, Meetings, and Symposia

4.1.1 Topics in Biology

[*Organizers: Alyson Kass-Eisler, Alexander Gann*]
Each year, invited instructors offer seven-day courses at the Banbury Conference Center to explore specialized topics outside the expertise of the Cold Spring Harbor Laboratory faculty. Each course includes morning or evening lectures, as well as afternoon sessions, during which students read assigned papers. The focus of these Topics currently include:

- Immunology
- Evolution
- Microbes in Health and Disease
- Physical Biology of the Cell

4.1.2 CSHL Postgraduate Courses

[*Organizers: Terri Grodzicker, David Stewart*]
The program of postgraduate courses at Cold Spring Harbor Laboratory is aimed at meeting the special need for training in interdisciplinary subjects that are either new or so specialized that they are not adequately treated by universities. The aim of the Laboratory is to provide intensive study in the most recent developments and techniques in these subjects. To ensure up-to-date coverage of current research work, the Laboratory brings together a workshop staff from many laboratories around the world and supplements this staff with a series of eminent seminar speakers. As a part of the on-going education throughout the four-year program, in years two through four, students are required to attend the lecture sessions of any three postgraduate courses the student selects. This required element of the graduate school curriculum allows students to mold their individual academic programs to their research interests.

The current set of postgraduate courses is divided into three sessions held in the spring, summer and fall. There are approximately 30 courses with 4 courses in the spring session, 18 courses in the summer session, 7 courses in the fall session, and the Genome Access Course that runs in both the spring and fall. Students are evaluated on their attendance at the lectures and the preparation of a "*News and Views*" style report that focuses on one or two topics that the student feels are important and timely in the subject area of the course. These reports are graded on a pass/fail basis by the faculty and student participation in these courses is monitored by the Executive Committee. Course reports must be submitted no later than one month after the last lecture in the course.

Students may also attend an off-campus course or meeting to satisfy one of the postgraduate course requirements, with prior approval of the Dean. Students must provide evidence of attendance and submit a report to the Executive Committee, as for CSHL postgraduate courses.

4.1.3 CSHL Meetings

Students are also encouraged to participate in the 25 to 35 annual Cold Spring Harbor Laboratory meetings on a wide range of topics that include, for example: Systems Biology; Wiring the Brain; The Biology of Genomes; Eukaryotic mRNA Processing; and Single Cell Analysis. Students can meet with scientists who come from all parts of the world to attend each conference, and may apply to present their work at the conferences that are relevant to their own research.

4.1.4 In-House Symposium

An annual two-day In-House symposium provides all doctoral students with an opportunity to hear Laboratory faculty members describe their research. A poster session at the symposium serves as a venue for students and postdoctoral fellows to share the results of their studies with the Cold Spring Harbor Laboratory community.

4.2 Seminars

Seminars are an integral part of the doctoral program. Cold Spring Harbor Laboratory has an extensive series of seminars. Graduate students attend and participate in four seminar programs: Graduate Student Symposium; a building-wide In-House seminar; the Cold Spring Harbor Laboratory In-House seminar; and the Cold Spring Harbor Laboratory invited speaker seminar. These seminar programs meet weekly, or in the case of the Symposium, twice a year, from August to May. Attendance at the seminars is a required element of the doctoral curriculum.

4.2.1 Graduate Student Symposium

[*Organizer: Graduate Student Representatives*]
Graduate students meet twice a year to hear oral presentations given by fellow graduate students. The symposium sessions are also chaired and organized by graduate students. Each graduate student, beyond the second year, gives an annual presentation and are encouraged to address rigor and reproducibility in their presentations. With the exception of first year students during the Fall semester, attendance at the Graduate Student Symposium is mandatory for all students conducting research at CSHL. Any absence from the Symposium requires prior permission from the Dean.

4.2.2 In-House Seminars

Each building has a weekly In-House seminar program in which intergroup seminars are presented. These seminars have a "group meeting" format in which primary data and experimental approaches are presented and discussed. Graduate students attend their respective building In-House meetings. Attendance at In-House seminars is not expected of first year students during the fall course term.

4.2.3 CSHL In-House Seminars

[*Organizer: Florin Albeanu*]
In this weekly seminar program, faculty, postdoctoral fellows, and graduate students present Lab-wide seminars on their research. As part of this series, graduate students can expect to present a seminar on their thesis research at some time during their doctoral studies.

4.2.4 CSHL Invited Speaker Seminars

[*Organizer: Alea Mills*]
For this weekly seminar program, speakers are invited from outside the Laboratory to present their recent research. Graduate students and postdoctoral fellows are invited to meet with the speaker over lunch immediately after the noon seminar. These discussions provide the graduate students with the opportunity to exchange ideas and experiences with the speaker in a relaxed atmosphere. Students host and select one or two speakers each year.

4.2.5 Gavin Borden Lecture

[*Organizers: Alexander Gann, Bruce Stillman*]
The Gavin Borden graduate student lecture was named for the energetic and charismatic publisher of *The Molecular Biology of the Cell* who died in 1991 of cancer. The program opens with the Gavin Borden lecture, followed by a reception for the speaker with the graduate students. The following day, the speaker meets with laboratory faculty. After meeting with members of the scientific staff, the speaker meets with all of the graduate students for lunch and informal discussion.

4.2.5 Responsible Conduct of Research and Rigor and Reproducibility

Students gain a comprehensive introduction to Responsible Conduct of Research (RCR) and the issues that may confound data reproducibility through the Fall Term coursework. In the Scientific Exposition and Ethics (SEE) course. Students are also required to complete the online course in Responsible Conduct of Research provided by CITI. The modules include the following topics:

Introduction to RCR; Authorship; Collaborative Research; Conflicts of Interest; Data Management; Mentoring; Peer Review; Plagiarism; Reproducibility of Research Results; Research Involving Human Subjects; Using Animal Subjects in Research; Research Misconduct; Financial Responsibility; Research, Ethics, and Society; Communicating with the Public; Presentation of Research Findings. In their fourth year in the program, students are required to take the RCR course that is offered to all trainees at CSHL. This on-site course is a comprehensive, three-day course with a total duration of nine hours.

The careful planning and execution of experiments and data analysis is critical to science. Instruction is designed to emphasize this throughout the curriculum. Additionally, a course on Rigor and Reproducibility (RR) is required of all students. This course will instruct participants in methods for enhancing rigor and reproducibility in research. Each session is two hours long, and is instructed by CSHL faculty and staff, and invited speakers. Sessions include Data Management; Discipline-specific Measures in Rigor and Reproducibility; Experimental Design; Data Analysis and Integrity; and Case Studies.

4.2.6 Career Development Course

The career development course is required for third year graduate students. In the required Part I of the course, students will have the opportunity to learn about the various career options available to Ph.D.s, work on their own individual development plan, conduct informational interviews and improve communication and mentoring skills. In the optional Part II of the course students will have the opportunity to hear from professionals in specific science-related careers, and take part in experiential learning, where applicable. Each session is approximately 90 minutes.

Additional career programming is provided through the postdoc program and Research Operations department, and is broken down into three main areas:

- Scientific Enrichment: These sessions provide continuing education in new techniques and methods or delve into the technological bases of existing capabilities.
- Career Progression and Exploration: Programming in this aspect of the curriculum is highly targeted by career stage, because of the unique needs of each population.
- Essential Professional Skills: In addition to scientific expertise, researchers must develop professional skills like communication and mentorship in order to be successful leaders in the biomedical workforce.

5. Research Proposal, Thesis Committee, and Doctoral Dissertation

In the second year of study, students defend their doctoral thesis research proposal, and a thesis committee is established for each student. In their last year, they present a proposal for their postdoctoral career. Students are awarded the Ph.D. degree after successful defense of a thesis that describes their original research and completion of all other curricular requirements.

5.1 Doctoral Thesis Research Proposal and Thesis Committee

In December of the second year, students submit a doctoral thesis research proposal. The proposal includes a clear outline of goals and specific aims and describes the broader scientific context and debate surrounding the proposed research. In mid-January, students defend the proposal to a committee consisting of the research mentor, the academic mentor, a chair, and at least one additional faculty member. This thesis proposal committee also forms the student's thesis advisory committee, which helps guide the student with his or her doctoral research. If a student fails to pass the thesis proposal defense after a second attempt, their graduate tenure will be terminated. If

students have completed all of their other requirements to this point, they may petition the School, in writing, to receive a Masters degree.

5.2 Thesis Preparation and Defense

With the approval of the thesis advisory committee, each student prepares a written thesis on his or her original research. The dissertation comprises a comprehensive analysis of the hypothesis, providing a thorough description of original thesis research and a discussion of the importance of the student's findings within the field as a whole. To defend the thesis, students present a public seminar and are subsequently examined by the thesis committee and an external examiner. A satisfactory defense and completion of all other curricular requirements results in the granting of the Ph.D. degree. The graduate program is designed so that students can complete their doctoral studies in approximately four to five years. At the final meeting of the thesis committee, the committee will go over the thesis preparation guidelines. At this meeting, the student will have to sign off that they have read and understand the guidelines before the student is given the green light to write their thesis. A thesis committee meeting will be scheduled for students who have not scheduled a thesis defense within six months of receiving permission to write their thesis.

5.3 Completion of Studies

A student will be awarded a Ph.D. degree only after completion of all curricular requirements, successful defense of their thesis research, and final acceptance of the thesis dissertation by the members of the thesis examination committee. The student must submit this final version of the dissertation to the School's administration within one month of the successful thesis defense or, in exceptional circumstances, request an extension from the Dean. The School will verify the completion of all necessary coursework. The degree is awarded on the date that all requirements are met.

6. Student Evaluation

Students in the graduate program are expected to maintain a high level of self-motivation and academic achievement. Continual assessment of each student's progress is made by monitoring performance in core course assignments, with particular emphasis on scientific reasoning and logic, and the student's participation in group discussions.

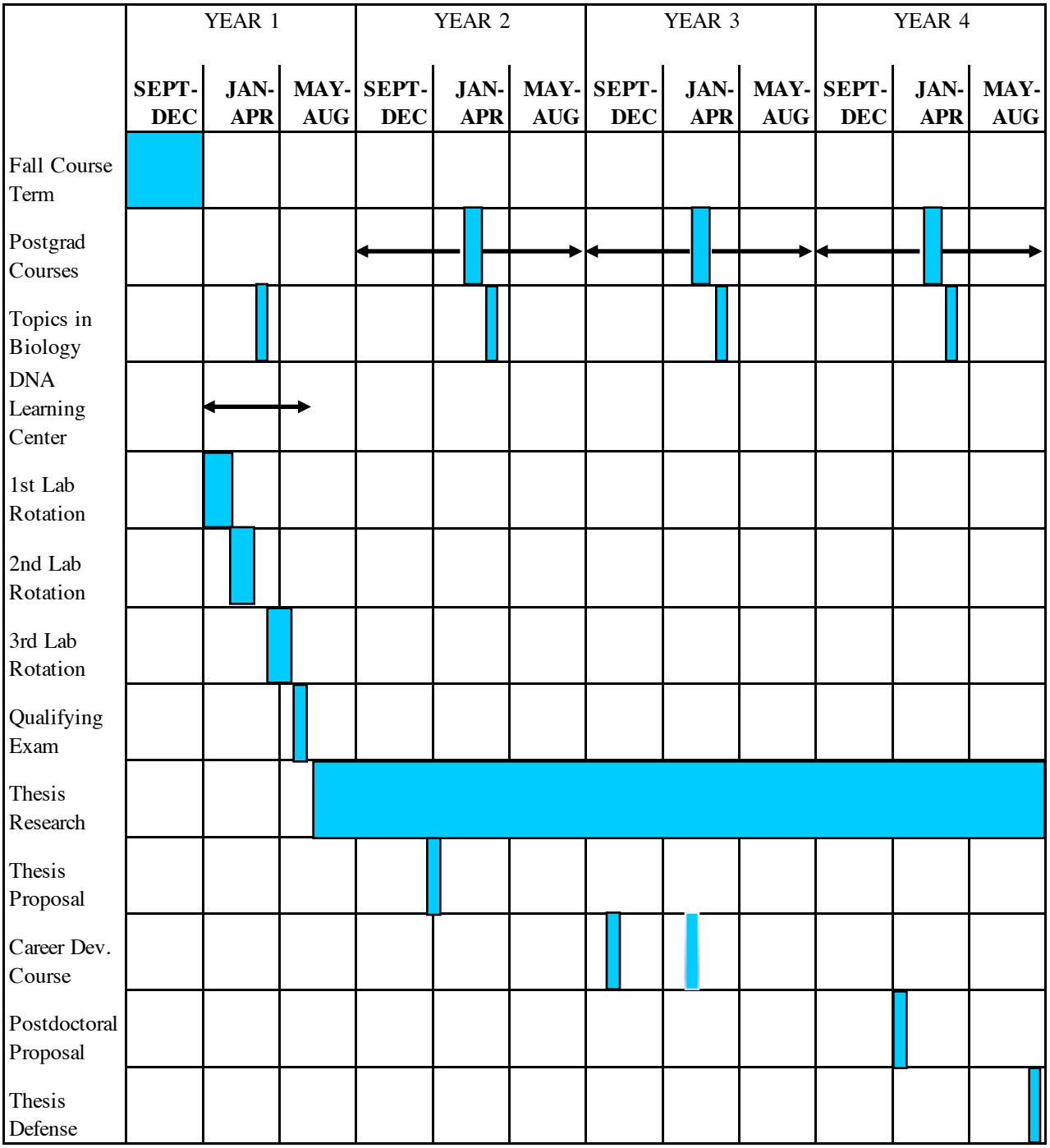
6.1 Evaluation of Student Performance in the Courses

The course performance of each student is evaluated. In each of the fall term courses, students are graded pass or fail depending on their performance in the course as outlined in the course descriptions, and receive a written evaluation of their course performance by the course instructors. In addition, students are required to pass the Integrated Fall Term Exam, which covers all of the fall term courses.

The exam comprises approximately 10 questions; students must not fail more than two of these questions. If a student fails the Integrated Fall Exam, they will have the opportunity to re-take the exam and answer the questions they failed in the initial exam.

The Topics in Biology course is graded pass or fail. Because the Topics in Biology course is offered only once a year and students must enroll in the course in each of the first four years, should a student fail a Topics in Biology course, the student must petition the Executive Committee for a suitable substitute course(s). Student achievement in the post-graduate courses is awarded satisfactory or unsatisfactory performance by the Executive Committee in consultation with the post-graduate course instructors. All student grades and evaluations are reviewed by the Executive Committee.

Curriculum at a Glance



COURSE AND EXAM SCHEDULE

	Course	Credits
YEAR 1 (3 credits)**:**	Graduate Student Symposium	1
(Throughout the year)	CSHL Building In-House Seminar Series	1
	CSHL Lab-wide In-House Seminar Series	0.5
	CSHL Invited Speaker Seminar Series	0.5
Fall Term (16.5 credits)**:**	Core course on Scientific Reasoning and Logic	8
	Core course on Research Topics	0.5
	Core course on Scientific Exposition and Ethics	2
	Specialized Disciplines in Biology (4)	6
	Fall term exam	–
Winter Term (4.5 credits):	Laboratory rotation (2)	4
	Teaching	0.5
Spring Term (4.5 credits):	Laboratory rotation (1)	2
	Course on Topics in Biology	2
	Teaching	0.5
	Qualifying exam	–
Summer Term (3 credits):	Laboratory research	3
YEAR 2 (6 credits):	Graduate Student Symposium	1
	CSHL Building In-House Seminar Series	1
	CSHL Lab-wide In-House Seminar Series	0.5
	CSHL Invited Speaker Seminar Series	0.5
	Thesis proposal defense	–
	Course on Topics in Biology	2
	CSHL Postgraduate course	1
YEAR 3 (7 credits):	Graduate Student Symposium	1
	CSHL Building In-House Seminar Series	1
	CSHL Lab-wide In-House Seminar Series	0.5
	CSHL Invited Speaker Seminar Series	0.5
	Course on Topics in Biology	2
	Career Development Course	1
	CSHL Postgraduate course	1
YEAR 4 (6 credits):	Graduate Student Symposium	1
	CSHL Building In-House Seminar Series	1
	CSHL Lab-wide In-House Seminar Series	0.5
	CSHL Invited Speaker Seminar Series	0.5
	Course on Topics in Biology	2
	CSHL Postgraduate course	1
	Thesis defense	–

The graduate program makes every effort to aid students in successfully completing the course instruction. Students experiencing difficulties in their course work may be assigned one or more tutors to aid with the course work. Students with difficulty in speaking or comprehending spoken and/or written English are offered English instruction by a tutor. In the event that a student is not able to complete one or more required courses satisfactorily or pass the fall term final exam, the Executive Committee may identify an alternate assignment or course by which the student can satisfy the missing course requirement(s) or, depending on the circumstances, terminate the student's studies.

6.2 Qualifying Exam

In June of the first year, students who have satisfactorily completed the course work and passed the fall term exam, take a qualifying exam. Students are expected to have a broad, basic knowledge of biology. The qualifying exam also tests each student's ability to acquire and articulate scientific information and to reason logically. Each candidate is asked to learn in depth one topic. The nature of the topics is selected by the School, which also selects expert faculty as members of the Individual Examining Committees (IECs). The IECs then determine the specific exam topic and identify five papers to springboard the student into the subject.

The qualifying exams are overseen by the Qualifying Exam Committee (QEC). The examiners prepare a written evaluation of each student's performance in the Qualifying Exam and grade the exam pass, fail or conditional pass. A student who passes the exam will proceed to his or her Ph.D. studies. However, if the QEC concludes that the student has failed the exam, the Executive Committee will decide whether to give the student a second opportunity to pass the exam, or terminate the student's Ph.D. candidacy at this point. If a student is given a second opportunity to pass the Qualifying Exam and subsequently fails, he/she cannot progress to candidacy. In the case of a conditional pass, the student will be given the opportunity to convert this to a pass by the satisfactory completion of an additional exercise, for example, the preparation of an authoritative paper, presentation, or other assignment, as determined by the QEC and Executive Committee.

6.3 Thesis Proposal Defense

In December of the second year, students prepare and defend a thesis proposal. In addition to providing a clear outline of the goals and specific aims of this research, the proposal should provide an extensive description of the broader field addressing the principal issues currently under debate. The student is examined by a committee of examiners that includes the academic mentor, but not the doctoral research advisor, a chairperson, and at least one additional faculty member. A chair of the thesis defense committee is selected by the student in consultation with the doctoral research advisor and the Executive Committee. The chair must be a member of the CSHL faculty, unless otherwise approved by the Executive Committee, and may not be the academic mentor.

6.4 Thesis Committee

After successful defense of the thesis proposal, a thesis committee consisting of the thesis advisor and the thesis proposal examining committee is established. The chair of the thesis proposal committee becomes the chair of the thesis committee. The thesis committee meets every six to eight months to examine the progress of the thesis research. Prior to meeting with his or her thesis committee, each student prepares a report describing his or her research progress for review by the committee. After meeting with the student, the chair of the thesis committee prepares a report describing the student's progress in his or her thesis and the committee's advice to the student.

6.5 Thesis Preparation and Defense

With the approval of the thesis committee, each student prepares a written thesis on their original research. Students may defend the thesis only on completion of all other requirements. To defend the thesis, students present a public seminar, and are subsequently examined by the thesis

committee and an external examiner. The external examiner is invited by the Dean after consultation with the student and the thesis research mentor. Satisfactory defense of the thesis will result in the granting of the Ph.D. degree provided all other curricular requirements have been fulfilled. The minimum credits required to earn a Ph.D. degree, based on a minimum of 3.5 years of study (first year plus 2.5 years of thesis research), is 45 credits.

6.6 Academic Good Standing

In order for students to remain in good standing, they must pass the Integrated Fall Term Exam, Qualifying Exam and Thesis Proposal Exam. The progression through these exams will follow a three-strike policy. Students will be granted a chance to retake an individual exam, which they must pass the second time in order to remain in the program. However, a student that fails both the Fall Term Exam and Qualifying Exam on the first try will only have one opportunity to pass the Thesis Proposal Exam.

After the student successfully defends his/her Thesis Proposal, they must meet with their committee every 6 months to review the student's progress and provide guidance. Only in the case of medical/personal emergency/need will there be an exception granted for the requirement of meeting with your committee twice a year. If the committee determines that sufficient progress has not been made, the student will be placed on probation for the next 6 months and will be required to have another meeting before the end of the probationary period. If sufficient progress is not demonstrated in the second meeting, the student may be asked to leave the program. Progress will be judged by several criteria including: the nature of the experiments performed, place in the context of current scientific dogma and direction for the future, as well as the ability to communicate in a written report and an oral presentation.

Students, in accepting admission to the Ph.D. program, agree to act responsibly and respectfully toward the Laboratory, the School, and individual members of the CSHL community. Students are expected to be knowledgeable of and comply with the rules and regulations in the Student Guide & Regulations, as well with CSHL's policies. Students must conduct themselves accordingly in order to remain in academic good standing.

Failure to remain in academic good standing at any time may result in dismissal from the program. The final decision regarding pass/fail grading on all exams and coursework, and the determination of academic good standing, will be at the discretion of the Dean and the Executive Committee.

6.7 Master of Science (M.S.) Degree

Under special circumstances, students in the graduate program may receive a Master of Science (M.S.) degree. Students who decide not to complete the doctoral thesis may petition the school to award the M.S. degree. The M.S. degree is awarded only if the student has successfully completed the first year of studies (see the course and exam schedule overleaf), including the coursework, fall-term final exam**,** rotation and summer laboratory research, and qualifying exam. Thus, a student leaving with a M.S. degree must have earned at least 31 credits. The award of the M.S. degree must be approved by the Executive Committee.

6.8 Research Publications

An important part of graduate student training is communicating research results. Writing and publishing scientific papers is a major part of disseminating results to the research community at large. Having a proven track record of first author publications is important for a scientist's career development and documents the production of novel and significant research results. Students are expected to have at least one first-author, peer reviewed manuscript published or accepted for publication in order to complete their graduate studies. Any student that does not have a manuscript

published, in press, or in submission should discuss the plans for publication with the Dean and the Executive Committee prior to writing their thesis.

6.9 Student Retention, Graduation and Outcomes

Since 1999, a total of 203 students have enrolled at the School of Biological Sciences. Between 1999 and 2015, 95% of entering students earned degrees from the program: 84% earned Ph.D. degrees and the remainder earned M.S. degrees. Upon graduation, 71% of doctoral graduates have taken postdoctoral positions, 20% have taken independent positions in academia or industry, 6% have taken non-research positions in science, and 2% have taken other positions. For those students who completed their studies between 2003 and 2015, 37% percent of graduates are now in faculty positions, 26% are in postdoctoral or staff positions in academic labs, 17% hold positions in non-research scientific careers such as journal editing, administration, scientific core management and business, 20% are in industry or biotech positions, and 1% are in non-science careers.

7. Resolution of Student Grievances

Academic student grievances are equitably resolved through a multi-tiered mechanism. Student grievances concerning the grading and evaluation of course performance are first brought to the attention of the course instructors. If the course instructors are not able to resolve the student's grievance, the student should discuss his or her grievance with his or her academic mentor. If, after such discussion, the student wishes to pursue the grievance further, he or she should discuss it with the Dean of the School, who will bring the grievance to the attention of the Executive Committee for discussion and, hopefully, a resolution.

Student grievances concerning doctoral research training should first be brought to the attention of the student's doctoral research advisor or mentor. Grievances requiring further resolution are brought by the student to his or her thesis committee Chair or to the Dean of the School. In either case, the grievance is transmitted to the Executive Committee for discussion — and resolution, if still required.

Students with grievances concerning (i) discrimination according to race, sex, religion, or handicap; (ii) sexual harassment; and (iii) scientific misconduct will follow the established Cold Spring Harbor Laboratory policies as published by the Human Resources department (http://hr.cshl.edu/policies.html).

7.1 Filing a Formal Grievance

Any student who believes that he or she has been subjected to an improper decision or conduct may file a formal grievance. A "formal grievance" is a written complaint made to an administrative officer of the School or Cold Spring Harbor Laboratory (as further set forth below) concerning such a matter. The following formal grievance procedure applies to decisions or actions that directly and adversely affect the student, as perceived by the student. The grievance procedure is not available to challenge a policy the student perceives as unfair or inadvisable, unless it is inconsistent with other Institutional policies. No adverse action may be taken against any student for his or her appropriate use of the grievance procedure. At any point in the grievance process, upon the mutual agreement of the student and the Institution, formal proceedings can be put aside in favor of binding mediation. Decisions resulting from mediation shall be final. The steps for filing a formal grievance are described below. At each stage the student may withdraw from the grievance procedure, if he or she is satisfied that the conflict has been resolved successfully, by submitting a written statement of withdrawal.

Filing a Formal Grievance
If, after careful consideration, informal means do not yield a satisfactory resolution, the student may file a formal grievance in writing to one of the following offices of the Laboratory administration. If the grievance concerns matters that are under the purview of the Human Resources' Office, the student should contact Human Resources. If the grievance concerns issues that are under the purview of the School, the student should submit their written grievance to the Dean. If the matter is not strictly under the purview of either office or the student is unsure where to file the grievance, the student may contact either office, which will determine the correct office within Cold Spring Harbor Laboratory (CSHL) to administer the grievance. Matters related to decisions or actions of the Dean can be filed with the President of CSHL. The written grievance statement should include a description of the issue that is the basis of the grievance, setting forth any evidence of unfairness or impropriety. The document should also include a description of the remedy sought and the informal efforts that have been pursued. The grievance must be filed within 30 days of the occurrence of the event that is the cause of the grievance.

Response to the Grievance
After careful review and consultation with any relevant parties, a written response will be sent to the student within 30 days of receipt of the initial grievance filing, or within 30 days of a hearing on the matter, if applicable.

Review
If these steps do not yield a satisfactory resolution, the student may take the grievance to the President of CSHL. The request must be made in writing within 30 days of receipt of the initial response from the School. The decision of the President is final.

7.2 Ombuds
The CSHL Ombuds Office is an independent, confidential, neutral, and informal place for discussing conflicts and challenges that are related to your work at CSHL. Email Kira Nurieli ombuds@cshl.edu with the subject/message "Make an Appointment" to set up an in person or Zoom meeting. Please do not include any details or sensitive information in your request to meet. For more information about what an Ombuds does, please visit:
http://intranet.cshl.edu/administration/ombuds-office/ombuds-office

8. Student Support

The School supports all matriculating students. Each student receives an annual stipend and research support plus full remission of tuition fees. The current stipend is $35,000 per year. Graduate Students who receive an independent fellowship shall receive a stipend 10% greater than the initial stipend level ($38,500). If the student's fellowship offers a stipend above the basic stipend plus 10% (greater than $38,500), the student will be paid the stipend's rate without receiving an additional 10%. Students do not receive additional compensation for teaching.

If the doctoral studies extend beyond the fourth year, the doctoral research advisor is required to provide student stipend and research support for the fifth year and beyond, up to six years. In the unlikely event that a student is unable to complete a doctoral dissertation within six years, the student's studies will be terminated and the student may petition for a M.S. degree.

8.1 Thesis Research Funds
Each year, for years 2-4, the student's thesis laboratory is provided with $8,000 per year. This money has been classified as "thesis research support" and can only be used for laboratory consumables and equipment, and meetings costs, specifically related to the student. The

availability of these funds will be terminated at the time of the student's thesis defense unless specifically requested by the student and/or PI for ongoing expenses.

9. Leave of Absence and Research on a Part-Time Basis

Students may petition the Dean of the School for a leave of absence. A leave of absence may be awarded for a medical emergency, maternity leave, family leave, or any other reason that is approved by the Dean and the Director of Human Resources. Only full-time students are accepted into the graduate program. Doctoral research may be considered on a part-time basis only under exceptional circumstances (e.g., for medical reasons). Students are not allowed to accept concurrent employment.

10. Facilities

10.1 Computing Services

CSHL Information Technology

Maintaining our position as a world-class institution of research and learning requires access to a vast array of computational resources. CSHL is committed to staying ahead of the Information Technology curve and to provide our investigators with the computational and informatics infrastructure that they need to excel in their studies. Below are some of the key components of our Information Technology infrastructure and what they bring to our research.

State-of-the-art Data Centers

The institutional commitment to providing critical information technology resources is demonstrated by CSHL's state-of-the-art datacenter, located in the Nancy and Frederick DeMatteis Laboratory. The 3,000 square foot facility is protected by redundant climate control systems and generator-backed uninterruptable power, ensuring high availability of servers and auxiliary equipment. Our primary data center, the facility hosts the majority of our servers, including our high-performance computing environment. To ensure Business Continuity/Disaster Recovery, central server functionalities are mirrored between the Hillside data center and a second data center located in a separate building.

High Performance Computing

All modern research is dependent on information technology; however, some of our research programs require access to advanced computational resources well beyond the norm. Our research in Genomics and Neuroscience notably relies on vast repositories of digital data, with the DNA Sequencing facility at the Woodbury Genome Center and Brain Imaging at the Hillside Laboratories generating many Terabytes (TB) of data every day. The cryo-electron microscopy (Cryo-EM) facility, located in the Beckman Building, adds significantly to the scientific data growth. The facility houses a state-of-the-art FEI/Thermo Fischer Titan Krios G3 microscope equipped with a Ceta CCD camera and a Gatan K3 direct electron detector, which generates multi-terabyte data sets. Scientific discovery using this data is only possible through sophisticated computational analyses.

Rapidly increasing data transfer, processing and storage demands were paramount in the design of our information technology infrastructure. A redundant fiber optic network provides reliable, high-speed connectivity to all locations on campus and the Woodbury Genome Center. The Hillside Research Buildings offer 1 Gigabit per second (Gbps) networking to the desktop and WiFi access at all locations including the outside plazas. Redundant fiber optic paths to the Internet provide fault tolerant 1 Gbps connectivity to external sites. Dark fiber to off-campus facilities, including the Banbury Center, ensures that all high-bandwidth data transfer requirements are met.

Rapid processing of huge quantities of data requires fast computers. The technology of choice is a High-Performance Compute Cluster (HPC). A cluster can be described as a number of computers (referred to as nodes) connected to each other through a fast data network and operated as a single, large computer. Researchers submit calculations to the cluster and scheduler software distributes the calculations across a variable number of nodes, with the goal to optimize the use of the cluster and speed of the calculation. Modern computer processors (CPUs) have multiple computational units referred to as "cores". Cluster nodes typically have more than one CPU, each with several cores. In an ideal case, you can realize a performance boost equivalent to the number of cores available for your calculation. If your calculation takes a week on a single core, it could take a day if you were able to distribute the task across seven cores.

The main institutionally shared compute cluster is a 1936-core Dell PowerEdge system comprised of Intel Xeon Gold/Platinum (Cascade Lake-SP) processors. The cluster consists of 50 nodes: two head/management nodes, two development/login nodes, and 46 compute nodes.

The two development nodes provide login access to users and are meant for interactive development work, as well as for submitting production jobs to the Univa Grid Engine (UGE; aka Altair Grid Engine) workload manager for execution on the compute nodes. The cluster is administered by the pair of head nodes running UGE, which schedules jobs via a "fair share" resource management policy, giving users equitable access to the cluster processor and memory resources. The two head nodes are configured for failover protection (high availability), which ensures that user job submission and execution is uninterrupted if one of the head nodes becomes unavailable. The compute nodes that run user jobs submitted to UGE consist of 28 regular nodes, 4 high memory nodes, and 14 GPU nodes. The regular nodes have dual Xeon 6252 processors running at 2.1GHz with 24 cores per processor, and 768GB of memory. The high memory nodes have quad Xeon 8260 processors running at 2.4GHz with 24 cores per processor, and 3TB of memory. The GPU nodes have dual Xeon 6248 processors running at 2.5GHz with 20 cores each, and 768GB of memory. Each of the GPU nodes has four NVIDIA GPU Tesla V100 GPUs connected by an intra-node NVLink interconnect. The compute nodes have two logical (or virtual) cores per physical core. UGE jobs use the logical cores to run sequential (single threaded) processes or the threads of multithreaded processes. Thus, the cluster has 96 virtual cores (UGE job slots) available on each regular node, 192 virtual cores on each high memory node, and 80 virtual CPU cores on each of the GPU nodes (in addition to the 4 GPU cards). Elzar is therefore functionally a cluster of 4,576 cores and 56 GPUs, not counting the development and head nodes. The cluster nodes are interconnected via dual 25 Gbps Ethernet (GigE) networks and connected to the data storage systems (outlined in the next section) via 40 Gbps Ethernet.

Data Storage

Information is at the core of our scientific activities and our ability to collect, manage and safeguard large volumes of data is of critical importance. CSHL data storage consists of enterprise-grade equipment, primarily from Data Direct Networks (DDN) and Isilon (now EMC). Scientific data storage, currently well in excess of 10 Petabytes (PB), is expected to grow significantly over the coming years. The institution is well positioned to handle this influx of data, having implemented our primary storage systems for scientific data on platforms that are scalable to many PB.

In the fall of 2017, CSHL upgraded and expanded the main data storage system. The initial system, a GridScaler GS7K, was acquired from Data Direct Networks (DDN) in the fall of 2016 to better support the cluster computing demands at that time, and to achieve the necessary data processing speed required to support a new cryo-electron microscopy (Cryo-EM) facility. The GS7K demonstrated significantly faster data transfer rates than the IBM file servers that it was supplanting and met or exceeded our performance requirements. A year later, in 2017, CSHL

acquired a GridScaler GS14K, with four times the theoretical throughput of the GS7K and far greater expandability. The GS14K was made the primary storage platform and the GS7K was relocated to a secondary data center, where it serves as a replication target for the GS14K to meet institutional Business Continuity objectives. The enhanced performance metrics of the GS14K provides the requisite capability to support Cryo-EM data processing needs associated with the new K3 detector. To accommodate increasing cross-campus data transfer volume and maintain our Business Connectivity/Disaster Recovery objectives, inter-datacenter connectivity was increased four-fold in 2017 by upgrading the network links from 10 Gbps to 40 Gbps for an aggregate throughput of 160 Gbps.

The storage system supports the full range of institutional use cases, from HPC, requiring top-of-the-line performance, to economical, archival of rarely accessed data. A modular, flexible system, it can easily be enhanced to provide even higher performance and expanded to achieve vast storage capacity.

User Support
The Information Technology Department (IT) is responsible for all facets of CSHL computing, be it scientific, administrative or educational. Service Requests can be filed and tracked directly from the IT website. The IT Helpdesk is located on the first floor of the DeMatteis Laboratory (the blue building in the Hillside complex) and can be reached by email (helpdesk@cshl.edu) and telephone (x8390). The Helpdesk is staffed Monday – Friday, 9 am – 5 pm.

Upon matriculation, each student is provided with a laptop computer, which is subject to the CSHL asset management policy on computers and peripherals. Software will be made available in accordance with the Laboratory's current policies and course requirements.

10.2 Library Resources

About the CSHL Library & Archives
The main Library is home to a specialized collection covering the disciplines of cancer biology, neuroscience, plant biology, quantitative biology, bioinformatics, and genomics. Our mission is to support the research interests of our graduate students, postdocs and the faculty by providing access to sources of scientific information (current and retrospective). We provide access to journals, ebooks, and textbooks—most of which are in electronic format, although we do have several journals in print, textbooks, books about science and the history of science, and books on science writing at the Library. Whether it's needed for grant writing or preparing a thesis defense, the Carnegie Library provides an inviting space, equipped with small study rooms, that serves as a place where researchers can focus and concentrate.

The CSHL Main Library is located in the Carnegie Building, which was constructed in 1904 and renovated and expanded in 2010. Library also maintains three subject collections of books in different locations on campus: Delbruck (plant biology), Koch (quantitative biology), and Beckman (neuroscience).

Library Access
The Library provides in-person assistance Monday-Friday from 9:00 am to 10:00 pm and is accessible 24/7 with a CSHL ID card. All digital Library resources are available off-campus through VPN access as well. Private study rooms are available for quiet study, and may be reserved by individuals or small groups for brief or extended periods of time. Reservations can be made by calling x5020 or x6872, or by emailing libraryhelp@cshl.edu.Wireless internet access is available throughout the building. Desktop computers (Macs and PCs) as well as laptops are available for use within the library. Two networked color photocopier/printer/scanners are available in the Library's main floor copy room. You can print in person or remotely. Our "Russian Tea Room" is

freely available for use and includes a refrigerator/freezer, microwave, toaster, toaster oven, fresh coffee or tea, and dining table for students' use.

Library Website
This is the source for everything the library has to offer from resources and services, to signing up for training and workshops. The library homepage will guide you to new announcements, services, and events occurring within the library. https://www.cshl.edu/cshl-library/

Journals, eBooks, Databases, and Protocols
All current journal subscriptions are online, with a few journals available in print as well as some older print volumes that can be retrieved within 24 to 48 hours. Additionally, we host BrowZine, an online resource that will allow you to access, track, and store a variety of scientific publications in a centralized digital location. We are able to provide access to most of your research needs, so if you need material that we do not have, please send us a request and we will work on providing that resource. Please contact Jannette D'Esposito (x8352) or Paula Abisognio (x8479) for assistance.

- Journal Titles (https://browzine.com/libraries/461/)
- E-books (https://www.cshl.edu/cshl-library/resources/e-books/)
- Databases & Protocols (https://www.cshl.edu/cshl-library/resources/databases-protocols/)
- Library Online Catalog (http://cosp.sirsi.net/uhtbin/cgisirsi/0/x/0/60/502/X)

Informationist
The Science Informationist is the liaison between the Library and the Laboratory's scientific community. Sasha Luks-Morgan (luksmor@cshl.edu) has a Ph.D. in Neuroscience and expertise in scientific writing, editing and presentation, publication public access compliance, and identifying relevant materials for students' research projects. She provides in-depth guidance on the effective use of the library resources. This includes one-on-one and group training in:

- Optimal use of databases (PubMed, Web of Science, Scopus etc.)
- Conducting literature searches and creating automatic citation alerts
- Reference Management Software (EndNote, Mendeley, Zotero etc.)
- Writing and preparing theses
- Research Data Management (Data management plans, data organization, etc.)
- Bibliometric and Altmetric analysis
- Navigating author rights and copyright for publications and dissertations
- Setting up and integrating multiple profile systems such as Elements, ORCID & Scopus

CSHL Institutional Repository
The institutional repository (http://repository.cshl.edu/) presents the complete research output of the CSHL scientific community from 1890 to the present, including publications, meeting abstracts, and published datasets, in a comprehensive, open access online repository and scholarly profiling system. The CSHL repository provides a full profile of our researchers to increase the visibility and impact of their research output to the rest of the world.

Library Services
•Interlibrary Loan (ILL) (https://cshl.illiad.oclc.org/illiad/logon.html). Jannette D'Esposito, our electronic services librarian, is in charge of the ILL process at the Library. If you need access to a journal article, book, or e-book that we do not subscribe to, contact Jannette at x8352 or desposi@cshl.edu and she will request a copy of it for you. Turnaround time is usually 24 hours for articles, and ~72 hours for books.

•Reference management and literature searches. Being able to effectively search for relevant scientific literature and learning how to manage these sources are two fundamental skill sets for being a researcher. If you need assistance in getting the most out of digital scientific software, please contact our Science Informationist, Sasha Luks-Morgan (x6987), to ensure that you understand and can improve your skills in literature-based searching.
•LibGuides (http://cshl.libguides.com/) provide information and short tutorials on topics ranging from Using Reference Management Software and vital introductory information for 1st year students to getting settled in Long Island. These can be a great starting point for learning about relevant skills and resources to assist in your research career.
•Center for Humanities and Modern Biology (http://library.cshl.edu/center-for-humanities) promotes humanistic understandings of modern biology and medicine and offers a variety of educational programs. We organize public events (Meet the Author, Special Annual Lectures, and others), host virtual and physical exhibitions. The Center leads the Oral History Project and annual meetings on History of Science.
•Meetings on the History of Science (https://www.cshl.edu/education/center-for-humanities/history-of-science-meetings/). The Center, in collaboration with the Meetings and Courses Department, organizes annual meetings on the history of science, particularly on key discoveries in subfields of molecular genetics and genomics. These exciting and unique meetings combine a historical perspective with updates on some of the exciting developments and research directions of the current day, with topics ranging from the history of plasmids to the history of research on mitochondria, mRNA, and mRNA splicing.
•CSHL Oral History Website (http://library.cshl.edu/oralhistory/). The Center has undertaken a major initiative to document the history of science directly from the mouths of the scientists who have worked at and regularly visited CSHL. This unique collection of oral histories provides an unprecedented perspective on the development of molecular biology, the present state of the science, and visions of the future by prominent scientists.

CSHL Archives
The CSHL Archives (http://library.cshl.edu/archives) preserves the 130 year history of the Laboratory through a rich repository of personal correspondence, manuscripts, photographs, scrapbooks, audio/visual materials, historic reprints, and much more documenting genetic research and the work of CSHL faculty since 1890. Visit the archives to learn about the Nobel Prize-winning research and breakthrough discoveries at our institution from throughout CSHL's history, and also to see how we've grown from a small summer teaching course into one of the most influential and highly-respected research institutions in the world. Did you know that the Carnegie Institute of Washington's Department of Genetics was located only here? Or that what is now CSHL was once two different research institutions operating side by side but run by the same director? Which famous scientists and what major breakthroughs came from the lab building you are currently performing your research in?

Contact the Library:

Main Line	**General Inquiries 516-367-6872**	**libraryhelp@cshl.edu**
Ludmila (Mila) Pollock	Executive Director of Libraries and Archives	pollock@cshl.edu
Tom Adams	Manager Library Systems / Digital Developer	tadams@cshl.edu
Sasha Luks-Morgan	Science Informationist	luksmor@cshl.edu
Jannette D'Esposito	Electronic Services Librarian, ILL	desposi@cshl.edu
Paula Abisognio	Evening Librarian	abisogni@cshl.edu
Stephanie Satalino	Institutional Archivist	ssatalin@cshl.edu
Mary Longan	Special Collections Archivist	longan@cshl.edu
Tara Bonet-Black	Assistant to the Executive Director	bonetbl@cshl.edu
Alistair Sponsel	Historian of Life Sciences	sponsel@cshl.edu

10.3 Core Facilities

CSHL provides all researchers at the Lab with access to specialized, cutting-edge technologies with highly skilled staff. Facilities include: Animal; Animal Imaging (IVIS, Ultrasound, PET/CT); Antibody and Phage Display; Bioinformatics; Sanger DNA sequencing; Flow Cytometry; Functional Genomics (RNAi and CRISPR); Gene Targeting and Transgenic Mice; Histology; MapSeq; Mass Spectrometry; Microscopy; Next Gen Sequencing; Tissue Culture; and Uplands Farm. For more information, visit: http://intranet/research/shared-resources/cancer-center-shared-resources

10.4 Office of Diversity, Equity and Inclusion

Launched in 2019, CSHL's Office of Diversity, Equity, & Inclusion (DEI) integrates and oversees efforts across multiple divisions to promote equitable and inclusive working environments on campus. The office is led by Charla Lambert, Ph.D., who has a long history of DEI work and contributions both within CSHL and through national organizations such as SACNAS (Society for the Advancement of Chicanos/Hispanics and Native Americans in Science, https://www.sacnas.org/). CSHL's DEI office works closely with all the research and training divisions on campus as well as the four affinity groups: WiSE (Women in Science & Engineering), DIAS (Diversity Initiative for the Advancement of STEM), PDLC (Postdoc Liaison Committee), and BEC (Bioscience Enterprise Club). You may contact Dr. Lambert with all your DEI-related comments, suggestions, and concerns, particularly those affecting groups that have been historically underrepresented, marginalized, and minoritized in science (women, certain U.S. racial/ethnic populations, LGBTQ+, and/or those with disabilities).

10. 5 Amenities

Cold Spring Harbor Laboratory offers many amenities. It has extensive resources for recreational activities including a fitness room; pool, table-tennis, and fußball tables; tennis and volleyball courts; a beach for swimming and fishing; kayaks and rowing skulls; and many quiet back roads for running or walking. Laboratory staff may participate in a summer volleyball league and tennis tournament, ultimate Frisbee, winter basketball, yoga and weekly soccer games.

Each year, Laboratory employees are invited for a ski trip to the Catskill Mountains. Blackford Hall and the Hillside Café provide dining facilities, coffee and an on-campus bar for employees. The Laboratory also hosts picnics in the summer and indoor parties in the winter. As a part of its meetings program, students may participate in afternoon wine-and-cheese gatherings and Saturday evening cocktail receptions with meetings participants. Students are also welcome to attend distinguished lectures and classical music performances sponsored by the Laboratory for scientists and the neighboring community.

Within an hour of the Laboratory are Manhattan and the magnificent beaches of the south shore of Long Island. New York City offers an extraordinary range of cultural events, shopping opportunities, fine restaurants, and world-famous museums. Theatergoers can enjoy musicals, comedies, and dramas in venues on and Off-Broadway. Music aficionados will find instrumental and vocal performances to suit all tastes, and sports enthusiasts can revel in a wide variety of athletic events.

10.5.1 Social and Recreation Clubs

The School provides administrative support for recreational and social groups organized by students and postdocs. These include Game Board, Hiking, Knitting, Photography, and COIN (COnsulting & INvestment Club).

11. General Information

All graduate students are subject to the rules and regulations of the Laboratory regarding the Drug-free workplace act of 1988 and the Policies and Procedures related to Research Fraud and Professional Misconduct. These documents are included in the Human Resources welcome pack and in Appendix V.

No student may participate in extramural activities for financial compensation.

11.1 Health and Support Services

All full-time graduate students are eligible to participate in the Student Health Plan. Major medical and hospitalization benefits are provided through United Healthcare EPO, on an in-network basis (subject to a co-payment). Dental benefits are provided through Cigna.

A student's passage through graduate school will not be without its challenges. Most of the time, individuals can resolve these challenges themselves or with the assistance of faculty, friends and peers. Sometimes, however, some professional coaching or counseling can assist one in resolving bigger challenges. The Laboratory has available during normal business hours an independent professional counselor to confidentially assist you should the need arise. To request an appointment, contact Leslie Reduto at (516) 519-0350 or at lreduto@northwell.edu.

Also, urgent after-hours assistance is provided by Northwell Health. For matters that cannot wait until normal business hours, you can access an EAP consultant after 5:00 pm, Monday through Friday, and 24 hours/day on weekends and holidays. For urgent matters after 5:00 pm, you can access the confidential, professional call line, at 1-877-EAP-4YOU (877-327-4968) and the service will have the on-call EAP consultant reach out to you. For life-threatening emergencies, you should call 911 or go to the nearest emergency room.

The Employee (student) Assistance Program (EAP) is available without cost and is onsite at The SightMD Center for Health and Wellness. The program can assist students with a wide range of concerns from emotional and behavioral issues to learning difficulties. These problems can include:

- Family issues – marital/relationship concerns, homesickness, financial issues,
- Career frustration and concerns,
- Personal problems – stress, insomnia, inability to stop worrying,
- Social problems, feeling isolated or alone. Cultural and social tension,
- Life changes – divorce, illness, bereavement issues

For more information about the onsite EAP or to schedule an appointment call 516-422-4422 or email cshlwellness@northwell.edu.

A free and confidential offsite Employee Assistance Program (EAP) is also available to all students and their covered dependents. This program deals with the problems above, but also can assist with work-related difficulties, financial concerns, and alcohol and drug-related problems. The telephone number for this service is 1-866-248-4094. This service consists of telephonic sessions or face-to-face sessions with an offsite psychologist.

Details of the health insurance, dental, and employee assistance plans are provided by Human Resources to all students at their orientation.

Center for Health and Wellness
The SightMD Center for Health and Wellness is an onsite health center operated by Northwell Health system. The Center is located in the Dolan building and is available to you and your covered spouse or domestic partner for health related services. There is currently no fee to use the Center. The office hours are Monday through Friday, 9:00am to 5:00 pm. It is recommended that you schedule an appointment by calling 516-422-4422. Walk-ins are welcome; however priority will be given to individuals with appointments.

11.2 Housing

The Cold Spring Harbor Laboratory Housing Office provides graduate students assistance with obtaining affordable housing situated near its Main Campus both through the Laboratory's Residence Housing Program and private landlords. Single first-year students are offered housing in the Knight House and Cutting House. Single graduate students can apply for housing through the Laboratory's Residence Housing Program and will be offered accommodations if they are available. These accommodations offer a private bedroom, fully furnished with bed, dresser, bedside table desk, chair and lamps. Depending on the property location, there are as many as six and as few as two tenants sharing the common areas of the house such as the living room and kitchen. Bathrooms are shared with two individuals at most.

Uplands Farm has a group of residences located less than a five-minute drive to the Laboratory with shuttle service provided to and from the Main Campus three times per day. The Laboratory's Housing Office also manages two shared rental houses which are located in the Village of Huntington and the town of Syosset; a ten-minute drive from the Lab. The rent for the above locations ranges between $900.00 and $1,100.00 per month, which includes all utilities, kitchen basics, laundry facilities, maintenance/repairs and Wi-Fi. In addition to the Laboratory's Residence Housing Program, the Housing Office also maintains a list of properties currently available through a network of private landlords and realtors.

Single graduate students who require housing should notify the Housing Office immediately of their housing needs once their anticipated arrival date has been set. Accommodations are not guaranteed. Laboratory housing is not available for incoming couples and families. In order to accommodate incoming students arriving with families (including couples) they should arrive individually prior to the arrival of their family or other person. Based on availability, individuals may be offered temporary housing for a maximum of two months which will allow ample time to locate appropriate off-campus housing. Full details of the Laboratory's Shared Housing are available from the CSHL Housing Office, which can be contacted by phone (516) 367-6924 or email (housing@cshl.edu).

11.3 Affinity Groups

11.3.1 CDP

The Career Development Program at CSHL provides students with information about careers in academia, including the job search and transitioning to an independent position. The Career Development Program hosts workshops on preparing for a chalk talk, an integral part of the academic job search, and "Getting to Know Your Faculty," a series in which CSHL faculty members share stories of their careers and highlight their philosophies toward identifying interesting scientific questions, lab management, work-life balance, and what it takes to be successful.

11.3.2 BEC

The Bioscience Enterprise Club provides information for students interested in non-academic scientific careers through an extensive series of seminars and workshops. The topics cover a wide

range of non-academic and non-research careers, from biotechnology and intellectual property to scientific publishing, non-profit administration, and venture capitalism. The Bioscience Enterprise Club has worked with local biotechnology start-up companies to offer on-campus recruiting interviews.

11.3.3 WiSE
The CSHL WiSE (Women in Science and Engineering) was founded to create a strong and collaborative support system for women scientists at CSHL and beyond. To address challenges disproportionally affecting women in STEM, WiSE provides a platform for professional development and empowerment through mentorship, career planning, community outreach and educational opportunities. WiSE is open to all members of the CSHL community.

11.3.4 DIAS
The CSHL DIAS (Diversity Initiative for the Advancement of STEM) is an organization broadly interested in raising awareness and inclusivity for underrepresented minority (URM) scientists. They are involved in hosting on-campus seminars by prominent URM speakers, and also providing outreach to nearby community colleges.

11.3.5 INeT
INet NYC is an organization that aims to provide support and professional development opportunities for international STEM scientists affiliated with institutions in the NYC area. INet NYC organizes events that are focused on the challenges that international scientists face in order to become successful within the US.

12. Sexual Respect and Title IX
Cold Spring Harbor Laboratory and the School of Biological Sciences provide a learning, living and working environment free from gender-based discrimination. CSHL complies with applicable state and federal statutes, including Title IX of the federal Higher Education Amendment of 1972, which prohibits discrimination on the basis of sex in any education program or activity receiving federal assistance, including NIH funding. Sexual assault and sexual harassment are forms of sex discrimination prohibited by Title IX. In accordance with NYS Education Law Article 129-B, the Laboratory is committed to providing options, support and assistance to victims of sexual assault, domestic violence, dating violence and/or stalking to ensure that students can continue to participate in Laboratory programs, activities and employment. The Laboratory encourages victims and witnesses of sexual misconduct to report such incidents to the CSHL Title IX Coordinator, Katie Raftery - raftery@cshl.edu - (516) 367-8499. Additional information may be found at http://intranet.cshl.edu/administration/human-resources/title-ix.

13. Accreditation
Cold Spring Harbor Laboratory's School of Biological Sciences is institutionally accredited by the New York State Board of Regents and the Commissioner of Education, a nationally recognized accrediting agency located at 89 Washington Avenue, Albany, New York, 12234, (518) 474-1551.

The following graduate degree programs are offered by the School of Biological Sciences. These programs have been approved by the New York State Education Department and are listed in the Inventory of Registered Programs http://www.nysed.gov/heds/IRPSL1.html.

Institution name - COLD SPRING HARBOR LAB
Program title: Biological Sciences
Program codes: 21709 (PhD) & 21710 (MS)
HEGIS: 0401.00

CSHL School of Biological Sciences

The Role of an Academic Mentor

A unique aspect of the School of Biological Sciences graduate program is the 'Two-tier mentoring' scheme, in which students receive guidance from both a research mentor and an academic mentor. The research mentor is the thesis advisor. The academic mentor is an interested, and impartial, faculty member in a separate field of research. The role of an academic mentor in the School of Biological Sciences is fourfold:

1. To provide our graduate students with the unique experience of having close contact with a senior member of the scientific community. Young scientists often seek out the advice and counsel of senior scientists. These interactions can have an enormous impact on students during the course of their graduate studies and can influence their careers for years to come. One role for the academic mentor is therefore to offer students advice, perspective, and the benefits of their personal experience in the profession.

2. To provide our graduate students with a faculty member whose primary concern is their academic development. One role for the academic mentor is to ensure that their mentee's academic development proceeds satisfactorily. This role may take several forms. For example, because our students select a research mentor only after the first Fall Course term, it is the unique responsibility of the academic mentor to monitor students–and offer advice–during the intensive coursework of the first term. Additionally, by providing guidance at key stages in the academic process (e.g., qualifying exams), and by serving on the thesis committee of their mentee (see below), academic mentors can ensure that the academic needs of the student are being properly assessed and met.

3. To provide our graduate students with a letter of reference. When our graduate students complete our program, they will undoubtedly require letters of reference to secure postdoctoral positions, jobs, or whatever else they choose. Our students will have the added advantage of close contact with both their academic and research mentors, who will be able to provide letters of support on their behalf.

4. To act as a conduit between students and the School. The mentor– mentee relationship is built on trust, and as a result conversations between students and their mentors will be confidential. Nonetheless, the academic mentors are in a unique position to evaluate their mentee's progress. Therefore, if agreeable to the student, the mentor will relay any difficulties and concerns the student may have to the School administration.

To satisfy these requirements, the following criteria have been established for the mentoring program:

(a) Faculty will be asked to nominate themselves as candidates for academic mentors.

(b) Students and potential mentors will meet during the first weeks of the Fall Semester. Both students and mentors will be involved in the selection process.

(c) Until the student population places restrictions on the faculty, each mentor will be assigned only one mentee. When this is no longer possible, each mentor may have only one mentee from each year.

(d) A student may rotate in their academic mentor's laboratory, but if the student decides to stay in that laboratory, they must choose another academic mentor.

(e) During the first Fall Course term, mentors and students will meet once a month. This will enable a bond to develop between the student and their academic mentor.

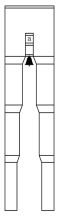
(f) Mentors may offer advice about the choice of rotation laboratories and the ultimate choice for a research advisor.

(g) Mentors will sit on the thesis committee of their mentee, but cannot be chair of that committee.

(h) After the Fall Course term, the formal meetings between the mentor and mentee will be at least quarterly, and preferably more often.

(i) The academic mentor will prepare an annual report on the mentoring process and the mentee with an additional report about midway through the first year.

Cold Spring Harbor Laboratory
School of Biological Sciences



ACADEMIC MENTORS POOL - FALL 2021

	E-mail	Lab/Office	Phone (Office)
Albeanu, Florin	albeanu	Marks	8822
Banerjee, Arkarup	abanerjee	Marks	6878
Borniger, Jeremy	bornige	Demerec	5015
Cheadle, Lucas	cheadle	Beckman	5920
Dos Santos, Camila	dossanto	McClintock	5042
Engle, Tatiana	engel	Freeman	6902
Furukawa, Hiro	furukawa	Beckman	6824
Gingeras, Thomas	gingeras	Woodbury	4105
Jackson, Dave	jacksond	Delbruck	8467
Janowitz, Tobias	janowitz	Demerec	8422
Kinney, Justin	jkinney	Koch	5230
Koo, Peter	koo	Koch	5520
Krasnitz, Alexander	krasnitz	Koch	6863
Lukey, Michael	lukey	Demerec	5016
Moses, John	moses	Demerec	5560
Pedmale, Ullas	pedmale	Delbruck	5991
Shea, Stephen	sshea	Axinn	8823
Tollkuhn, Jessica	tollkuhn	Beckman	5002
Trotman, Lloyd	trotman	James	5054
Ware, Doreen	ware	Williams	6979

You should also feel free to contact faculty not included on the above list.

Cold Spring Harbor Laboratory
School of Biological Sciences
Faculty Research Interests

Dinu Florin Albeanu
Neuronal circuits; sensory coding and synaptic plasticity; neuronal correlates of behavior; olfactory processing

Arkarup Banerjee
Vocal communication; singing mice; systems neuroscience; neural circuits; neuroethology

Semir Beyaz
Immunology; cancer; nutrition; metabolism; epigenetics

Jeremy Borniger
Sleep; neuromodulators; cancer neuroscience; homeostasis; host-tumor physiology

Lucas Cheadle
*S*ynapse; refinement; pruning; sensory experience; microglia; development; autism; 2-photon imaging; single-cell RNA-sequencing; cytokine

Alexander Dobin
Computational genomics; transcriptomics; epigenomics; gene regulation; big data; precision medicine

Camila Dos Santos
Breast cancer; mammary gland development; stem cells; enhancer biology; gene regulation

Mikala Egeblad
Tumor microenvironment; intravital imaging; tumor-associated myeloid cells; neutrophil extracellular traps; breast and pancreatic cancer

Tatiana Engel
Neural dynamics and computation; neural circuit models; machine learning; stochastic processes; dynamical systems theory; decision-making; attention

Douglas Fearon
Cancer immunology; pancreatic cancer; mouse models

Hiro Furukawa
Membrane proteins; X-ray crystallography; electrophysiology; neurodegenerative disease

Molly Gale Hammell
Gene regulatory networks; computational biology; RNA biology; transposable elements; machine learning for genomics analysis

Jesse Gillis
Co-expression; meta-analysis; single cell expression; gene networks; multifunctionality

Thomas Gingeras
Genome-wide organization of transcription and the functional roles of non-protein coding RNAs

Christopher Hammell
Post-transcriptional gene regulation; control of animal developmental timing; RNA biology

Ivan Iossifov
Computational biology; molecular networks; human genetics; human disease; applied statistical and machine learning; biomedical text-mining; molecular evolution

David Jackson
Plant development; stem cell signaling; genomics and imaging

Tobias Janowitz
Host response to cancer; metabolism; immunology; cancer immunotherapy; cachexia; physiology of patients with cancer

Leemor Joshua-Tor
Structural biology; nucleic acid regulation; RNAi; molecular recognition; X-ray crystallography

Justin Kinney
Sequence-function relationships; machine learning; biophysics; transcriptional regulation

Peter Koo
Sequence-function relationships; deep learning; representation learning

Alexei Koulakov
Theoretical neurobiology; quantitative principles of cortical design; computer science; applied mathematics

Adrian R. Krainer
Posttranscriptional control of gene expression; alternative splicing; splicing in genetic diseases and cancer; splicing-targeted antisense therapeutics

Alexander Krasnitz
In silico genomics of cancer; single-cell genomics; early detection of cancer; inference from noisy biological data

Jay Lee
Single-cell; in situ RNA-seq; non-coding RNA; spatial genomics; cancer microenvironment; pancreatic cancer

Dan Levy
Computational biology; human genetics; phylogenetics; copy number variation

Bo Li
Synapse; physiology and plasticity; neural circuits; fear processing; reward processing; rodent behaviors related to mental disorders

Zachary Lippman
Plant developmental genetics; mechanisms of phase transitions for flowering time and inflorescence branching; heterosis

Michael Lukey
Cancer; metastasis; metabolism; nutrition; cellular signal transduction; redox; homeostasis; epigenetics

Robert Martienssen
Plant genetics; transposons; development; gene regulation; DNA methylation

David McCandlish
Computational biology; sequence-function relationships; population genetics; protein evolution; machine learning

W. Richard McCombie
Genomics of psychiatric disorders; genomics of cancer; computational genomics; plant genomics

Hannah Meyer
Spatial transcriptomics; immunology; central tolerance; bioinformatics

Alea A. Mills
Cancer; development; aging; senescence; epigenetics

Partha Mitra
Neuroscience; theoretical biology

John Moses
Click chemistry; cancer; chemical biology; organic synthesis; natural products; biomimetic synthesis

Saket Navlakha
Algorithms in nature; biological computation; neural circuits; plant architectures

Pavel Osten
Neurobiology of autism and schizophrenia; gene expression-based mapping of brain activity; anatomical mapping of brain connectivity; high throughput microscopy

Ullas Pedmale
Plant growth; signaling; genomics; development; plant-environment interactions

Andrea Schorn
Transposons and endogenous retroviruses; small regulatory RNA; tRNA-fragments; epigenetics

Stephen Shea
Olfaction; audition; communication behaviors; *in vivo* electrophysiology; individual recognition

Adam Siepel
Computational biology; population genetics; computational genomics; molecular evolution; gene regulation

David L. Spector
Cell biology; gene expression; nuclear structure; non-coding RNAs

Bruce Stillman
Cancer; cell cycle; DNA replication; chromatin assembly; biochemistry; yeast genetics

Jessica Tollkuhn
Transcriptional regulation; chromatin; critical periods in neurodevelopment; steroid hormones and behavior

Nicholas Tonks
Posttranslational modification; phosphorylation; phosphatases; signal transduction; protein structure and function

Lloyd Trotman
Cancer modeling and treatment; senescence and tumor progression; cancer visualization; PTEN regulation

David Tuveson
Pancreatic cancer; experimental therapeutics; diagnostics; mouse models; cancer genetics

Christopher Vakoc
Chromatin; transcriptional regulation; acute myeloid leukemia; BET bromodomains; lysine methyltransferases

Linda Van Aelst
Signal transduction; Ras and Rho proteins; tumorigenesis; neural development and disorders

Doreen Ware
Genomics; genome evolution; genetic diversity; gene regulation; plant biology; computational biology

Michael Wigler
Human genetic disorders; population genetics; cancer genomics

Anthony Zador
Neural circuits; sensory processing, attention and decision making; attention; molecular tool development; connectomics

Appendix IV

Fall 2021 weekly schedules

School of Biological Sciences: Fall Course Term 2021 Week 1 (August 16 - August 22, 2021)

	Monday 8/16/21	Tuesday 8/17/21	Wednesday 8/18/21	Thursday 8/19/21	Friday 8/20/21
9:00					
9:30		Benefits Orientation *Zoom*			Banking *Zoom*
10:00	Matriculation - Urey				
10:30					
11:00				Curriculum Koch - Samet	
11:30					
12:00					
12:30 PM					
1:00				IT Orientation Koch - Samet	
1:30					
2:00				Class Photo	
2:30				International Student Orientation F1 visa holders only *Zoom*	
3:00					Banbury Pool Party!
3:30					
4:00					
4:30					
5:00					Banbury Conferenc Ctr
5:30					
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 2 (August 23 - August 27, 2021)

	Monday 8/23/21	Tuesday 8/24/21	Wednesday 8/25/21	Thursday 8/26/21	Friday 8/27/21
9:00 AM					
9:30					
10:00	**Title IX Training**				Mol Bio Bootcamp Beyaz ***Hershey East***
10:30		Mol Bio Bootcamp Myat ***Hershey East***	Mol Bio Bootcamp Myat ***Hershey East***		
11:00	***Wemdt-Hawkins***				
11:30					
12:00					
12:30 PM					
1:00	**Safety Orientation**				
1:30	***Hawkins***				
2:00		Mol Bio Bootcamp Furukawa ***Hershey East***	Mol Bio Bootcamp Trotman ***Hershey East***	Mol Bio Bootcamp McCombie ***Zoom***	
2:30					
3:00	***Library Services***				
3:30					
4:00					
4:30					**Meet the New Students Reception** ***Beach***
5:00	***Library***				
5:30					
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 2 (August 30 - September 3, 2021)

	Monday 8/30/21	Tuesday 8/31/21	Wednesday 9/01/21	Thursday 9/02/21	Friday 9/03/21
9:00 AM			QB Bootcamp Lunch provided ***Hershey East***	QB Bootcamp Lunch provided ***Hershey East***	
9:30					**SRL week 1** Gann ***Koch - Samet***
10:00					
10:30					
11:00					
11:30					
12:00		**Research Topics** Gillis, McCandlish, Navlakha ***Koch - Samet***			
12:30 PM					
1:00					
1:30					
2:00	Mol Bio Bootcamp Myat ***Hershey East***				QB Bootcamp ***Hershey East***
2:30					
3:00					
3:30					
4:00					
4:30					
5:00					
5:30					
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 4 (September 6 - September 10, 2021)

	Monday 9/06/21	Tuesday 9/07/21	Wednesday 9/08/21	Thursday 9/09/19	Friday 9/10/19
9:00 AM					**SRL**
9:30		**SRL**	**SEE wk 1**	**SRL**	Krainer
10:00			Introduction/Overview		
10:30		Gann	Writing Principles	Gann	
11:00					***Koch - Samet***
11:30		***Hershey East***	***Koch - Samet***	***Hershey East***	
12:00					
12:30 PM					
1:00					**SEE wk1**
1:30	**LABOR DAY**				***James***
2:00			**Sp. Discp. QB**	**Sp. Discp. Genetics**	**Sp. Discp. QB**
2:30	***Lab Holiday***	**Sp. Discp. Genetics**	Kinney	Pedmale	Kinney
3:00		Pedmale			
3:30				***Delbruck***	***Koch - Samet***
4:00		***Delbruck***			
4:30		**Dean's Tea**			
5:00					
5:30			**Research Topics**		
6:00		**SRL**	Engel, Gale Hammell,	**SRL**	
6:30			Trotman		
7:00		***Graduate Student***	***Koch - Samet***	***Student/faculty***	
7:30		***discussion group***		***discussion***	
8:00					
8:30		***Urey***		***Koch - Samet***	

School of Biological Sciences: Fall Course Term 2021 Week 5 (September 13 - September 17, 2021)

	Monday 9/13/21	Tuesday 9/14/21	Wednesday 9/15/21	Thursday 9/16/21	Friday 9/17/21
9:00 AM				**SRL**	**SRL**
9:30	**SEE wk2**				
10:00	Manuscripts & Fellowships			Vakoc	Hammell
10:30					
11:00				***Hershey East***	***Koch - Samet***
11:30	***Wendt - Wendt***				
12:00					
12:30 PM					
1:00					**SEE wk2**
1:30					***James***
2:00	**Sp. Discp. Genetics**		**Sp. Discp. QB**	**Sp. Discp. QB**	**Sp. Discp. Genetics**
2:30	Zebell	**Sp. Discp. Genetics**	Kinney	Kinney	Lippman
3:00		Pedmale			
3:30	***Delbruck***	***Delbruck***		***Koch - Samet***	***Delbruck***
4:00					
4:30					
5:00			**Research Topics**		
5:30			Banerjee, Jackson, Stillman		
6:00		**SRL**	***Koch - Samet***	**SRL**	
6:30					
7:00		***Graduate Student***		***Student/faculty***	
7:30		***discussion group***		***discussion group***	
8:00					
8:30		***Urey***		***Koch - Samet***	

School of Biological Sciences: Fall Course Term Week 6 (September 20 - September 24, 2021)

	Monday 9/20/21	Tuesday 9/21/21	Wednesday 9/22/21	Thursday 9/23/21	Friday 9/24/21
9:00 AM		**SRL**			**SRL**
9:30	**SEE wk3**				
10:00	Plagiarism	Hammell			Hammell
10:30	Scientific Misconduct				
11:00		***Delbruck***			***Koch - Samet***
11:30	***Wendt - Wendt***				
12:00	**SRL Wrap Up**				
12:30 PM	***Urey***				
1:00					**SEE wk2**
1:30					***James***
2:00	**Sp. Discp. Genetics**		**Sp. Discp. QB**	**Sp. Discp. Genetics**	**Sp. Discp. QB**
2:30	Pedmale	**Sp. Discp. Genetics**	Kinney	Jackson	Kinney
3:00		Martienssen			
3:30	***Delbruck***	***Delbruck***		***Delbruck***	***Koch - Samet***
4:00					
4:30		**Dean's Tea**			
5:00			**Research Topics**		
5:30			Krainer, Martienssen,		
6:00		**SRL**	Shea	**SRL**	
6:30					
7:00		***Graduate Student***	***Koch - Samet***	***Student/faculty***	
7:30		***discussion group***		***discussion***	
8:00					
8:30		***Urey***		***Koch - Samet***	

School of Biological Sciences: Fall Course Term Week 7 (September 27 - October 1, 2021)

	Monday 9/27/21	Tuesday 9/28/21	Wednesday 9/29/21	Thursday 9/30/21	Friday 10/01/21
9:00 AM		**SRL**			
9:30	**SEE wk4**				**SRL**
10:00	Figures	Hammell	**Sp. Discp. Sys Neuro**	**Sp. Discp. Sys Neuro**	
10:30	Efffective Presentations		Shea	Shea	Tollkuhn
11:00		***James***			
11:30	***Wendt - Wendt***		***Hershey East***	***Hershey East***	***Hershey East***
12:00					
12:30 PM					
1:00					**SEE wk4**
1:30					***James***
2:00	**Sp. Discp. Genetics**			**Sp. Discp. Genetics**	**Sp. Discp. Cancer**
2:30	Pedmale	**Sp. Discp. Genetics**		Roche	Egeblad
3:00		Roche			
3:30	***Delbruck***	***Delbruck***		***Delbruck***	***Wendt - Wendt***
4:00					
4:30					
5:00			**Research Topics**		
5:30			Albeanu, Amor Vegas,		
6:00		**SRL**	Schorn, Tollkuhn	**SRL**	
6:30					
7:00		***Graduate Student***	***Koch - Samet***	***Student/faculty***	
7:30		***discussion group***		***discussion***	
8:00					
8:30		***Urey***		***Koch - Samet***	

School of Biological Sciences: Fall Course Term Week 8 (October 4 - October 8, 2021)

	Monday 10/04/21	Tuesday 10/05/21	Wednesday 10/06/21	Thursday 10/07/21	Friday 10/08/21
9:00 AM				**Sp. Discp. Cancer** Vakoc ***Demerec***	
9:30	**SEE wk5** Publishing Perspectives Writing/Feedback ***Wendt - Wendt***	**SRL** Tollkuhn ***James***			**SRL** Tollkuhn ***Koch - Samet***
10:00			**Sp. Discp. Cancer** Vakoc ***Wendt - Wendt***		
10:30					
11:00					
11:30					
12:00				**Sp. Discp. Cancer** dos Santos ***Demerec***	
12:30 PM					
1:00	**Sp. Discp. Cancer** Tuveson ***Wendt - Wendt***		**Sp. Discp. QB** Dobin ***Koch - Samet***		**SEE wk5** ***James***
1:30					
2:00		**Sp. Discp. Genetics** Pedmale ***Delbruck***			**Sp. Discp. QB** Dobin ***Koch - Samet***
2:30					
3:00					
3:30	**SRL Wrap Up** ***Urey***				
4:00					
4:30					
5:00			**Research Topics** Beyaz, Furukawa, Ware ***Koch - Samet***		
5:30					
6:00	Dinner with Bruce and Grace Stillman ***Airslie***	**SRL** ***Graduate Student discussion group*** ***Urey***		**SRL** ***Student/faculty discussion*** ***Koch - Samet***	
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term Week 9 (October 11 - October 15, 2021)

	Monday 10/11/21	Tuesday 10/12/21	Wednesday 10/13/21	Thursday 10/14/21	Friday 10/15/21
9:00 AM	**COLUMBUS DAY** **LAB HOLIDAY**	**SRL** Tollkuhn ***Delbruck***	**SEE wk7** PowerPoint Presentations ***Koch - Samet***		**SRL** Tollkuhn ***Koch - Samet***
9:30				**Sp. Discp. Cancer** Vakoc ***Demerec***	
10:00					
10:30					
11:00					
11:30					
12:00				**CSHL Seminar** ***Zoom***	**CSHL In-House** ***Zoom***
12:30 PM					
1:00					**SEE wk6** ***James***
1:30					
2:00		**Sp. Discp. Cancer** Janowitz & Lukey ***Wendt - Wendt***	**Sp. Discp. QB** Koo	**Sp. Discp. Cancer** Egeblad ***Wendt - Wendt***	**Sp. Discp. QB** Koo ***Koch - Samet***
2:30					
3:00					
3:30					
4:00					
4:30					
5:00			**Research Topics** dos Santos, Koo, Krasnitz ***Koch - Samet***		
5:30					
6:00		**SRL** ***Graduate Student discussion group*** ***Urey***		**SRL** ***Student/faculty discussion*** ***Koch - Samet***	
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 10 (October 18 - October 22, 2021)

	Monday 10/18/21	Tuesday 10/19/21	Wednesday 10/20/22	Thursday 10/21/21	Friday 10/22/21
9:00 AM					
9:30	**SEE wk7**				
10:00			**Sp. Discp. Cancer**	**Sp. Discp. Cancer**	**Sp. Discp. Cancer**
10:30	Posters		Beyaz	Egeblad & VanAelst	Lukey
11:00					
11:30	***Wendt - Wendt***		***Wendt - Wendt***	***Demerec***	***Demerec***
12:00	**SRL Wrap Up**			**CSHL Seminar**	**CSHL In-House**
12:30 PM	***Urey***			***Zoom***	***Zoom***
1:00					**SEE wk7**
1:30					***James***
2:00	**Sp. Discp. Cancer**	**Sp. Discp. Cancer**	**Sp. Discp. QB**	**Sp. Discp. QB**	**Sp. Discp. Cancer**
2:30	Beyaz	Borniger & Janowitz	Siepel	Siepel	Egeblad & Vakoc
3:00					
3:30	***Wendt - Wendt***	***Wendt - Wendt***		***Koch - Samet***	***Wendt - Wendt***
4:00		**Dean's Tea**			
4:30					
5:00	**Sp. Discp. Neuro**	**Sp. Discp. Neuro**			
5:30	Neuro Methods	Neuro Methods	**Research Topics**		
6:00			Joshua-Tor, Kinney, Tuveson		
6:30	***TBC***	***TBC***			
7:00			***Koch - Samet***		
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 11 (October 25 - October 29, 2021)

	Monday 10/25/21	Tuesday 10/26/21	Wednesday 10/27/21	Thursday 10/28/21	Friday 10/29/21
9:00 AM					**SRL**
9:30	**SEE wk7**				
10:00				**SRL**	Joshua-Tor
10:30	Ethics			PyMol Tutorial	
11:00					***Koch - Samet***
11:30	***Wendt - Wendt***			***Demerec***	
12:00				**CSHL Seminar**	**CSHL In-House**
12:30 PM				***Zoom***	***Zoom***
1:00					**SEE wk8**
1:30					***James***
2:00	**Sp. Discp. Neuro**	**Sp. Discp. Neuro**	**Sp. Discp. QB**	**Sp. Discp. Neuro**	**Sp. Discp. QB**
2:30	Shea	Shea	Siepel	Albeanu	Siepel
3:00					
3:30	***Koch- Samet***	***Koch- Samet***		***Koch- Samet***	***Koch - Samet***
4:00					
4:30					
5:00			**Research Topics**		
5:30					
6:00			Borniger, Fearon,		
6:30			Janowitz, Zador		
7:00			***Koch - Samet***		
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 12 (November 1 - November 5, 2021)

	Monday 11/01/21	Tuesday 11/02/21	Wednesday 11/03/21	Thursday 11/04/21	Friday 11/05/21
9:00 AM		**SRL**			**SRL**
9:30	**SEE wk9**				
10:00		Joshua-Tor			Joshua-Tor
10:30	Chalk Talks				
11:00		***James***			***Koch - Samet***
11:30	***Wendt - Wendt***				
12:00				**CSHL Seminar**	**CSHL In-House**
12:30 PM				***Zoom***	***Zoom***
1:00					**SEE wk9**
1:30					***James***
2:00	**Sp. Discp. Sys. Neuro.**	**Sp. Discp. Sys. Neuro.**	**Sp. Discp. QB**	**Sp. Discp. Sys. Neuro.**	**Sp. Discp. QB**
2:30	Albeanu	Shea	Preall	Shea/Albeanu	Preall
3:00					
3:30	***Koch- Samet***	***Koch- Samet***		***Koch- Samet***	***Koch - Samet***
4:00		**Dean's Tea**			
4:30					
5:00			**Research Topics**		
5:30			Egeblad, Hammell, Spector		
6:00					
6:30					
7:00			***Koch - Samet***		
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 13 (November 8 - November 12, 2021)

	Monday 11/08/21	Tuesday 11/09/21	Wednesday 11/10/21	Thursday 11/11/21	Friday 11/12/21
9:00 AM		**SRL**			
9:30	**SEE wk10**				
10:00		Joshua-Tor	**Sp. Discp. Sys. Neuro.**		
10:30	Ethics		Shea/Albeanu		
11:00		***James***			
11:30	***Wendt - Wendt***		***Koch - Samet***		
12:00				**CSHL Seminar**	**CSHL In-House**
12:30 PM				***Zoom***	***Zoom***
1:00					**SEE wk10**
1:30					***James***
2:00	**Sp. Discp. Sys. Neuro.**	**Sp. Discp. Sys. Neuro.**	**Sp. Discp. QB**	**Sp. Discp. Sys. Neuro.**	
2:30	Albeanu	Shea	McCandlish	Shea/Albeanu	
3:00					
3:30	***Koch- Samet***	***Koch- Samet***		***Koch- Samet***	
4:00				**SRL**	
4:30				***Student/faculty***	
5:00				***discussion***	
5:30			**Research Topics**	***Koch - Samet***	
6:00		**SRL**	Lukey, Mills, Siepel		
6:30					
7:00		***Graduate Student***	***Koch - Samet***		
7:30		***discussion group***			
8:00					
8:30		***Urey***			

School of Biological Sciences: Fall Course Term 2021 Week 14 (November 15 - November 19, 2021)

	Monday 11/15/21	Tuesday 11/16/21	Wednesday 11/17/21	Thursday 11/18/21	Friday 11/19/21
9:00 AM					
9:30	**SEE wk13**				
10:00			**SRL**		
10:30	Ethics		Grants Distribution		
11:00					
11:30	***Wendt - Wendt***		***Koch - Samet***		
12:00				**CSHL Seminar**	**CSHL In-House**
12:30 PM				***Zoom***	***Zoom***
1:00					**SEE wk13**
1:30					***James***
2:00	**Sp. Discp. QB**		**Sp. Discp. QB**		**Sp. Discp. QB**
2:30	McCandlish		Meyer		Meyer
3:00					
3:30	***Koch- Samet***				***Koch - Samet***
4:00				**SRL**	
4:30				***Student/faculty***	
5:00			**Research Topics**	***discussion***	
5:30			Lippman, Vakoc	***Koch - Samet***	
6:00		**SRL**			
6:30					
7:00		***Graduate Student***	***Koch - Samet***		
7:30		***discussion group***			
8:00					
8:30		***Urey***			

School of Biological Sciences: Fall Course Term 2021 Week 15 (November 22 - November 26, 2021)

	Monday 11/22/ 2021	Tuesday 11/23/21	Wednesday 11/24/21	Thursday 11/25/21	Friday 11/26/21
9:00 AM					
9:30	**SEE wk13**				
10:00					
10:30	Ethics				
11:00					
11:30	***Wendt - Wendt***				
12:00	**SRL Wrap Up**				
12:30 PM	***Urey***				
1:00					
1:30			**NO CLASSES**		
2:00				**THANKSGIVING**	**THANKSGIVING**
2:30					
3:00				**LAB HOLIDAY**	**LAB HOLIDAY**
3:30					
4:00					
4:30					
5:00					
5:30					
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 Week 16 (November 29 - December 3, 2021)

	Monday 11/29/21	Tuesday 11/30/21	Wednesday 12/01/21	Thursday 12/02/21	Friday 12/03/21
9:00 AM		**SRL**	**SRL**	**SRL**	
9:30	**SEE wk14**				
10:00		Grants	Grants	Grants	
10:30	Debates				
11:00					
11:30	***Wendt - Wendt***	***Demerec***	***Wendt***	***Demerec***	
12:00				**CSHL Seminar**	**CSHL In-House**
12:30 PM				***Zoom***	***Zoom***
1:00					**SEE wk14**
1:30					
2:00			**Sp. Discp. QB**		
2:30					
3:00			Kinney		**Sp. Discp. QB**
3:30					
4:00					Kinney
4:30					***Koch - Samet***
5:00					
5:30			**Research Topics**		
6:00			Cheadle, Gingeras		
6:30					
7:00			***Koch - Samet***		
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 (December 6 - 10, 2021)

	Monday 12/06/21	Tuesday 12/07/21	Wednesday 12/08/21	Thursday 12/09/21	Friday 12/10/21
9:00 AM	*Study Week*				
9:30					
10:00					
10:30					
11:00					
11:30					
12:00					
12:30 PM					
1:00					
1:30					
2:00					
2:30					
3:00					
3:30					
4:00					
4:30					
5:00					
5:30					
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2021 (December 13 - 17, 2021)

	Monday 12/13/21	Tuesday 12/14/21	Wednesday 12/15/21	Thursday 12/16/21	Friday 12/17/21
9:00 AM	**Final Exam**	**Final Exam**			
9:30					
10:00					
10:30					
11:00					
11:30					
12:00					
12:30 PM					
1:00					
1:30					
2:00	**Final Exam**	**Final Exam**			
2:30					
3:00					
3:30					
4:00					
4:30					
5:00					
5:30					
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

Appendix V

Policies

Cold Spring Harbor Laboratory
SCHOOL OF BIOLOGICAL SCIENCES

Academic Freedom Policy

The right of faculty members and students to academic freedom is fundamental to the scientific and educational mission of the School of Biological Sciences at Cold Spring Harbor Laboratory (CSHL) and a necessary part of advancing knowledge and supporting a free, diverse, and democratic society. Academic freedom guarantees scholars, teachers, and students the right to pursue knowledge and to speak, write, and follow open inquiry without unreasonable restriction. Freedom in research should advance the truth. Freedom in teaching should enable students to acquire the knowledge they need to contribute to society. Freedom in teaching should help students learn to appreciate differing opinions, weigh evidence, and form logical judgements about the value of competing perspectives. Freedom in learning should protect a student's right to acquire knowledge. Academic freedom ensures that the evaluation as researcher, teacher, or student will be on the basis of scholarship and professional criteria without regards for personal beliefs, political or religious views, or other individual preferences unless these demonstrably affect intellectual or professional achievement. Discussion must not infringe on the rights of others or coerce students to adopt a faculty member's view as the only acceptable view. Procedures for arriving at professional, personnel, and academic evaluations shall be fair, acknowledging the substance of the decision.

Scholars of CSHL are scientists and representatives of an institute of higher learning. This special position within the community imposes obligations: faculty and students must acknowledge that the public may place especial weight on their statements and judge the scientific profession, CSHL, and the School by their research and/or words. As such, faculty and students, when acting as scientists and academics rather than private members of the community, must be accurate and precise, exercise the appropriate restraint, respect the opinions of others, and make every effort to indicate that they are not speaking for CSHL or the School.

Academic freedom may be jeopardized if unfair procedures have demonstrably contributed significantly to a significant professional, personnel, or academic decision adverse to the person complaining. In exchange for the rights guaranteed by academic freedom, faculty and students must uphold the highest ethical standards of scholarship and research, and any failure to do so will be addressed according to CSHL's formal policies addressing scientific misconduct.

The policy is based on the *1940 Statement of Principles of Academic Freedom and Tenure* as put forth by the Association of American Colleges and Universities.

March 31, 2014

Cold Spring Harbor Laboratory

EQUAL EMPLOYMENT OPPORTUNITY/NONDISCRIMINATION/ ANTI-HARASSMENT POLICY AND COMPLAINT PROCEDURE

1.0 PURPOSE

To set forth the policy of Cold Spring Harbor Laboratory with respect to nondiscrimination in employment and the Laboratory's procedure for handling student, employee and applicant complaints relating to alleged discrimination including harassment.

2.0 SCOPE

This policy and procedure covers all activities and locations of the Laboratory and applies to all employees, applicants and students enrolled in a research program at the Laboratory.

3.0 RESPONSIBILITY

The administration of this policy shall be the responsibility of the Vice President, Human Resources.

4.0 POLICY

4.1 It is the policy of the Laboratory to provide equal employment opportunity to all employees and applicants for employment without regard to race, color, religion, sex (including pregnancy, childbirth or related medical conditions), national origin, citizenship, sexual orientation, gender identity or expression, age, disability, marital status, veteran status, genetic information, or any other criteria prohibited under applicable federal, state or local law.

4.2 This policy applies to all terms and conditions of employment including, but not limited to, hiring, placement, promotion, performance appraisals, job assignments, termination, layoff, recall, transfer, leaves of absence, compensation, training, benefits, and other terms, conditions and privileges of employment.

4.3 The Laboratory expressly prohibits any form of discrimination and harassment, whether it be directed to employees, students or applicants for employment, and whether engaged in by employees, supervisors, students or non-employees, such as vendors, or consultants, based on race, color, religion, sex (including pregnancy, childbirth or related medical conditions), national origin, citizenship, sexual orientation, gender identity or expression, age, disability, marital status, veteran status, genetic information, or any other criteria prohibited under applicable federal, state or local law.

4.4 The Laboratory will not tolerate unlawful discrimination or harassment in the workplace. Such harassment may include verbal, physical or visual conduct that creates an intimidating, offensive or hostile work environment or an environment that unreasonably interferes with work performance.

4.5 Conduct prohibited by this policy is prohibited in any Laboratory workplace and in any Laboratory work-related setting outside the Laboratory's facilities, such as during business trips, off-site business meetings or Laboratory-related social events.

4.6 The Laboratory prohibits postings or communications on the internet, which are violative of this policy, including, but not limited to, on a blog, journal or diary, personal website, social networking or affinity website, web bulletin board or chat room, as well as any other form of electronic communication. Computers, computer files, software, e-mail systems, and voice mail furnished to Laboratory employees or students may not be used for any improper purpose. For example, any use, display or transmission of sexually explicit images, messages, or cartoons is strictly prohibited. Use of Laboratory property to maintain or communicate material or information of a sexual nature will not be tolerated.

4.7 One aspect of our policy is the prohibition of any forms of sexual harassment in the workplace. Sexual harassment may include a range of behaviors and may involve individuals of the same or different gender. Specifically, with respect to sexual harassment, the Laboratory prohibits:

4.7.1 Unwelcome sexual advances;

4.7.2 Requests for sexual favors; or

4.7.3 All other verbal or physical conduct of a sexual or nature, where (with regard to any of the above):

4.7.3.1 Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or continued affiliation with the Laboratory;

4.7.3.2 Submission to or rejection of such conduct by an individual is used as the basis for employment or work decisions affecting such individual; and/or

4.7.3.3 Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

By way of example, no supervisor or other employee shall threaten or insinuate, either explicitly or implicitly, that another employee's, applicant's or student's refusal to submit to sexual advances will adversely affect that person's employment, work status, evaluations, wages, advancements, assigned duties, shifts, or any other term, condition or privilege of employment or career development. Similarly, no individual shall promise, imply or grant any preferential treatment or employment opportunities in return for sexual favors.

4.7.4 Other examples of the types of conduct expressly prohibited by this policy include, but are not limited to, the following:

4.7.4.1 Inappropriate touching, such as rubbing or massaging someone's neck or shoulders or stroking someone's hair.

4.7.4.2 Coerced sexual acts.

4.7.4.3 Repeated telling of lewd, off-color, sexually oriented comments or jokes.

4.7.4.4 Leering, staring in a sexual manner, stalking.

4.7.4.5 Displaying or otherwise sharing suggestive or sexually-explicit posters, calendars, photographs, graffiti, cartoons.

4.7.4.6 Unwanted or offensive letters or poems of a sexual nature.

4.7.4.7 Offensive e-mail, voice-mail or text messages of a sexual nature.

4.7.4.8 Sexually-degrading remarks, including written or oral references to sexual conduct, gossip regarding one's sex life, body, sexual activities, deficiencies, or prowess.

4.7.4.9 Unwanted questions about one's sex life or experiences.

4.7.4.10 Unwelcome sexual flirtations, advances or propositions.

4.7.4.11 Subtle pressure or requests for sexual activities.

4.7.4.12 Repeated requests for dates after the individual has indicated that he or she is not interested.

4.7.4.13 Verbal abuse of a sexual nature.

4.7.4.14 Physical assault.

4.7.4.15 Taking retaliatory action against an individual for discussing or making a sexual harassment complaint.

4.8 The Laboratory strictly prohibits retaliation in any way against anyone who reports violations of this policy or who participates in the investigation of a complaint of harassment or discrimination. Individuals are protected from coercion, intimidation, interference or discrimination as a result of reporting violations or assisting in investigations. Any individual who retaliates against anyone who complains about violations of this policy or participates in the investigation of a complaint will be subject to appropriate disciplinary action, up to and including termination.

5.0 COMPLAINT PROCEDURE

5.1 It is the responsibility of each member of management to create an atmosphere free of discrimination and harassment, sexual or otherwise. In addition, it is the responsibility of each employee and student to respect the rights of co-workers.

5.2 Individuals should immediately report any violations of this policy. If an individual experiences any harassment, or believes he or she has been treated in a discriminatory or retaliatory manner, he or she should promptly report such conduct to Katie Raftery, the Vice President, Human Resources (516-367-8499) or W. Dillaway Ayres, the Chief Operating Officer (516-367-5200). Any Laboratory supervisor or manager who receives a report or a complaint of discrimination, harassment or retaliation, or who learns that conduct of the nature prohibited by this policy may be occurring, must report that offense immediately to Katie Raftery or W. Dillaway Ayres.

5.3 Complaints may be made orally or in writing, but should be made in a timely manner following the incident so that a prompt investigation can occur. Investigations into alleged violations of this policy will be handled as discreetly as practicable. The investigation may include interviews with the complainant, the accused, and others who may be witnesses to the conduct at issue. Employees have an obligation to cooperate if they are contacted in the course of an investigation. Any employee or student who is determined, after an investigation, to have engaged in conduct prohibited by this policy will be subject to appropriate disciplinary action, up to and including termination.

5.4 Anyone providing information that the individual knows to be inaccurate during an investigation may be subject to appropriate disciplinary action, up to and including termination.

This policy is not to be considered an employment contract or a guarantee of any kind. The Laboratory reserves the right to interpret, administer, revise, supplement, or rescind policies, as it deems appropriate.

INTERIM POLICY AND PROCEDURES FOR ALLEGATIONS OF TITLE IX SEXUAL HARASSMENT

To the extent that this Policy and Procedure overlaps with the Laboratory's *EEO/Non-Discrimination/Anti-Harassment Policy and Complaint Procedure* and/or *Policy for the Prevention of and Response to Sex Discrimination, Sexual Harassment Sexual Violence Against Students*, this Policy will control in cases involving sexual harassment as defined by this Policy.

Table of Contents

I. Purpose

To set forth the policy of Cold Spring Harbor Laboratory ("CSHL" or the "Laboratory") with respect to misconduct that meets the definition of "*Title IX Sexual Harassment*" under the 2020 revised regulations implementing Title IX of the Education Amendments of 1972, 20 U.S.C. 1681 *et seq.*, issued by the U.S. Department of Education ("2020 Title IX Regulations").

II. Scope

This Interim Policy and Procedures for Allegations of Title IX Sexual Harassment (collectively, "Policy") addresses the Laboratory's responsibilities with respect to *Title IX Sexual Harassment*, as defined by 2020 Title IX Regulations and set forth in Section V below. This Policy covers all education programs and activities and locations of the Laboratory and applies to all employees, applicants, and students. In addition, where specifically referenced herein, this Policy applies to certain non-employees. This Policy applies only to alleged sexual harassment against a person located in the United States. The Laboratory will make the Policy available on the Laboratory website. Misconduct outside the scope of this Policy may be addressed as appropriate by other Laboratory policies.

III. Responsibility

The administration of this Policy shall be the responsibility of the Vice President, Chief Human Resources Officer. The Chief Human Resources Officer also serves as the Title IX Coordinator for the Laboratory. The Title IX Coordinator is responsible for coordinating the Laboratory's response to all Complaints involving possible sexual harassment as well as monitoring outcomes, assessing the campus climate, and addressing any patterns of systemic problems that arise during the review of such Complaints. The Title IX Coordinator is also responsible for coordinating the effective implementation of supportive measures and, as appropriate, remedies. References to "Title IX Coordinator," throughout this Policy and Procedures include a designee of the Coordinator.

IV. Definitions

Actual knowledge means notice or allegations of sexual harassment to the Title IX Coordinator or any CSHL official who has authority to institute corrective measures on behalf of CSHL.

Advisor. An individual chosen by either party to accompany the party to meetings regarding the investigation or to a hearing. The Advisor of choice may be, but is not required to be, an attorney.

Affirmative consent is a knowing, voluntary, and mutual decision among all participants to engage in sexual activity. Consent can be given by words or actions, as long as those words or actions create clear permission regarding willingness to engage in the sexual activity. Silence or lack of resistance, in and of itself, does not demonstrate consent. The definition of consent does not vary based upon a participant's sex, sexual orientation, gender identity, or gender expression. Consent to any sexual act or prior consensual sexual activity between or with any party does not necessarily constitute consent to any other sexual act. Consent is required regardless of whether the person initiating the act is under the influence of drugs and/or alcohol. Consent may be initially given but withdrawn at any time. Consent cannot be given when a person is incapacitated, which occurs when an individual lacks the ability to knowingly choose to participate in sexual activity. Consent cannot be given when it is the result of any coercion intimidation, force, or threat of harm. When consent is withdrawn or can no longer be given, sexual activity must stop.

Authority to Take Correct Measures. A Laboratory official designated as having the authority to take corrective measures on behalf of the Laboratory in response to notice or complaints under this Policy. These officials include the Title IX Coordinator, the Chief Operating Officer, the Dean of the Laboratory's School of Biological Sciences, the Director of Research, and any other Laboratory employee in a supervisory or management position.

Complaint means a written document filed by a Complainant or signed by the Title IX Coordinator alleging *Title IX Sexual Harassment* against a Respondent and requesting that CSHL investigate the allegation. At the time of filing a complaint, the Complainant must be participating in or attempting to participate in an education program or activity of the Laboratory. A complaint may be filed with the Title IX Coordinator in person, by mail, or by electronic mail, by using the contact information for the Title IX Coordinator listed in this Policy, and by any additional method

designated by CSHL. The phrase "document filed by a Complainant" means a document or electronic submission that contains the physical or digital signature, or otherwise indicates that the Complainant is the person filing the complaint.

Complainant means an individual who is alleged to be the victim of conduct that could constitute *Title IX Sexual Harassment*.

Dating Violence is defined at 34 U.S.C. 12291(a)(10) in the Violence Against Women Act of 1994 ("VAWA"). This misconduct is violence committed by a person (1) who is or has been in a social relationship of a romantic or intimate nature with the person subjected to such violence, and (2) where the existence of such a relationship is determined based on a consideration of the length of the relationship, the type of relationship, and the frequency of interaction between the persons involved in the relationship.

Domestic Violence is defined at 34 U.S.C. 12291(a)(8) in VAWA. This misconduct is a crime of violence committed by any person (including a current or former spouse or intimate partner of the victim, a person with whom the victim shares a child in common, a person who is cohabiting with, or has cohabitated with, the victim as a spouse or intimate partner, or a person similarly situated to a spouse of the victim) against a person who is protected under the domestic or family violence laws of the state of New York or the laws of the jurisdiction in which the crime was committed.

Education Program or Activity means any location, event, or circumstance over which the Laboratory exercises substantial control over both the Respondent and the context in which the alleged violation of this Policy occurs.

Incapacity occurs when an individual lacks the ability to knowingly choose to participate in sexual activity (e.g., the person lacks the ability to understand the "who, what, when, where, why, or how" of engaging in sexual activity). Incapacitation may be caused by the lack of consciousness or being asleep, being involuntarily restrained, or if an individual otherwise cannot consent. Depending on the degree of intoxication, someone who is under the influence of alcohol, drugs, or other intoxicants may be incapacitated and therefore unable to consent. This Policy covers a person whose incapacity results from mental, intellectual, or other disability, involuntary physical restraint, and/or from the use of alcohol or drugs.

Remedies are measures taken by the Laboratory that are intended and designed to restore access or preserve equal access to the Laboratory's education programs and activities. Remedies may include supportive measures, as defined below.

Report means any written or oral report to the Title IX Coordinator and/or any Laboratory official with the authority to take corrective action on behalf of the Laboratory (as defined above) of information that could constitute a potential violation of this Policy. The term "report" includes "complaints," as defined by this Policy, and also includes other situations where a complaint has not been made, but CSHL has actual notice of sexual harassment or allegations of sexual harassment, as defined by this Policy.

Respondent means an individual who has been reported to be the perpetrator of conduct

that could constitute sexual harassment in violation of Laboratory Policy.

Sexual Assault is defined at 20 U.S.C. 1092(f)(6)(A)(v) of the Clery Act. This offense includes rape and fondling.

Stalking is defined at 34 U.S.C. 12291(a)(30) of VAWA. This misconduct includes engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for their safety or the safety of others or suffer substantial emotional distress. This definition incorporates the concept of cyber-stalking, which employs the use of the internet, social media, blogs, texts, cell phones, or other similar devices or forms of communication.

Supportive measures mean services offered without fee or charge as appropriate and to the extent reasonable to the Complainant or the Respondent.

Title IX Sexual Harassment is defined by Title IX and Section V.A. of this Policy.

V. Prohibited Conduct

The following conduct is prohibited under this Policy.

A. "*Title IX Sexual Harassment*"

Conduct on the basis of sex that is:

1. Taken against a person in the United States;

2. Occurs in a Laboratory education program or activity; and

3. Satisfies one or more of the following:

   a. *Quid Pro Quo Harassment* -- An employee of the Laboratory conditioning the provision of an aid, benefit, or service of the Laboratory on an individual's participation in unwelcome sexual conduct;

   b. *Hostile Environment* - Unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the Laboratory's education program or activity; or

   c. "*Sexual Assault,*" "*Dating Violence*" "*Domestic Violence,*" *or* "*Stalking*," as defined by this Policy."

B. Retaliation

Retaliation is an adverse action taken against an individual for the purpose of interfering with any right or privilege secured by Title IX or this Policy or as reprisal for filing a complaint or report, supporting a Complainant, and/or otherwise participating or refusing to participate in a proceeding

pursuant to this Policy. Retaliation may include intimidation threats, coercion or discrimination. Under no circumstances will the Laboratory tolerate any retaliation against an individual or group for making a complaint in good faith under this Policy or for participating in an investigation. A party or witness who is threatened in any way should immediately report their concerns to the Title IX Coordinator.

Retaliation does not include charging an individual with a code of conduct violation for making a materially false statement in bad faith in the course of a proceeding under this Policy, provided that a determination regarding responsibility, alone, is not sufficient to conclude that any party made a materially false statement in bad faith.

Retaliation can be committed by or against any individual or group of individuals, including a Respondent or Complainant. Retaliation is still prohibited even when there is a finding of no responsibility for the allegation.

VI. Cooperation / Obstructing the Process

All members of the CSHL community, including students, faculty, and staff, are expected to promptly report all violations of this Policy and assist and cooperate in the application of this Policy, in particular by cooperating in any investigation under this Policy. Any person who knowingly misrepresents the truth, or whose willful action or inaction obstructs the application of these procedures, may be subject to disciplinary action, up to and including termination.

All members of the CSHL community are strongly encouraged to promptly report all violations of this Policy. All Laboratory employees who are designated as officials with authority to take corrective action, as defined above, are required to report violations of this Policy that they know about, or in the exercise of reasonable care, should know about, to the Title IX Coordinator. Furthermore, any member of the CSHL community who observes or learns about the abuse of a minor is required to report it immediately to Security.

VII. Alcohol and/or Drug Use Amnesty for Students

The health and safety of every student at the Laboratory is of utmost importance. The Laboratory strongly encourages students to report domestic violence, dating violence, stalking, or sexual assault to Laboratory officials. The Laboratory recognizes that students who have been drinking and/or using drugs (whether such use is voluntary or involuntary) at the time that violence, including but not limited to domestic violence, dating violence, stalking, or sexual assault, occurs may be hesitant to report such incidents due to fear of potential consequences for their own conduct. A bystander acting in good faith or a reporting individual (Complainant) acting in good faith that discloses any incident of domestic violence, dating violence, stalking, or sexual assault to Laboratory officials or law enforcement will not be subject to the Laboratory's code of conduct action for violations of alcohol and/or drug use policies occurring at or near the time of the commission of the domestic violence, dating violence, stalking, or sexual assault.

VIII. Confidentiality and Privacy

At the beginning of the process, the Laboratory will inform the Complainant and Respondent about confidentiality standards and privacy concerns. The Laboratory will provide the student Complainant and student Respondent with the *Students' Bill of Rights* (*see* Section XIII below). Confidentiality can only be offered by medical providers and counselors with The SightMD Center for Health and Wellness. These individuals are not required by law to report incidents of Prohibited Conduct to the Title IX Coordinator or other Laboratory officials, except for purposes of reporting certain information in an anonymized manner that does not identify the specifics of the crime or the identity of the reporting individual. Even CSHL offices and employees who cannot guarantee confidentiality will maintain a Complainant's privacy to the greatest extent possible. The information provided to a non-confidential resource will be relayed only as necessary for the Title IX Coordinator to investigate and/or seek a resolution under this Policy.

In all cases, privacy of information about complaints and investigations will be maintained to the extent required by law and to the extent possible given the Laboratory's obligations under the law and under this Policy. The identity of the Complainant, Respondent, and any witnesses, as well as information about the investigation, will only be shared with those involved in the complaint process to the extent possible. The Laboratory will, to the extent permitted or required by law, keep confidential the identity of any individual who has made a report or filed a complaint under this Policy, 2) any Complainant, 3) any individual who has been reported to be the perpetrator of a Policy violation, 4) any Respondent, and 5) and any witness. The Laboratory does not restrict the ability of either party to discuss an investigation with other individuals.

The potential Complainant may request that the Title IX Coordinator not share their name (or other identifiable information) with the Respondent, or that the Title IX Coordinator take no action in response to a Report. The Title IX Coordinator will evaluate a request for confidentiality or no action on a complaint in the context of the Laboratory's obligations to provide a safe and nondiscriminatory environment for all community members, and to remain true to the principle of fundamental fairness, which requires that a Respondent be provided with notice of the allegations and an opportunity to respond before any action is taken against a Respondent. The Title IX Coordinator will make this determination consistent with the following considerations: 1) the seriousness of the conduct; 2) the respective ages and roles of the Complainant and the Respondent; 3) whether there have been other Complaints against the Respondent; and 4) the right of the Respondent to receive notice and relevant information before disciplinary action is sought. Therefore, while absolute confidentiality cannot be promised, CSHL will treat the concerns of the Complainant with sensitivity and respect. A Complainant will be informed that a request for confidentiality may limit the Laboratory's ability to respond.

IX. What To Do If You Experience Prohibited Conduct

A. Available Resources

It is important for individuals who have been the victim of Prohibited Conduct (especially sexual assault, dating violence, domestic violence, and stalking that involves physical contact) to seek immediate and appropriate medical treatment. Such treatment is also important to preserve

evidence that may be necessary for proving the Prohibited Conduct or obtaining an order of protection. The SightMD Center for Health and Wellness is an on-site center for benefits-eligible CSHL students and employees, open Monday-Friday from 9am-1pm and 2pm-5pm, which is equipped to provide free, confidential, and professional medical care. The SightMD Center for Health and Wellness is located in Dolan Hall, East Wing, and can be reached at 516-422-4222 or CSHLWellness@NSHS.edu. While Center staff members are unable to perform procedures related to the collection of evidence for the purposes of pursuing criminal prosecution, they can provide assistance and support when an individual requests or requires transportation to the North Shore University Hospital and University Hospital at Stony Brook. Both facilities are NYS-designated Sexual Assault Forensic Examiner Hospital Programs and provide specialized care to victims of sexual assault.

The SightMD Center for Health and Wellness also offers free on-site counseling services for benefits-eligible students and employees. Sessions are available on Wednesdays 8am-5pm and Fridays 12pm-5pm. Further, the Safe Center LI (formerly the Nassau County Coalition Against Domestic Violence (CADV) and the Coalition Against Child Abuse & Neglect (CCAN)), provides a broad spectrum of free services from counseling and housing assistance to advocacy and referrals. Lastly, the NYS Department of Health maintains a list of additional resources available to victims of Prohibited Conduct. Additional resources can be found at the New York State Office of Victim Services.

B. Options for Pursuing a Complaint

A Complainant may pursue a criminal complaint with the appropriate law enforcement agency (if applicable), pursue a complaint through this Policy, or pursue both processes consecutively or concurrently. A Complainant may withdraw a complaint or involvement from the Laboratory process at any time.

If a Complainant wishes to pursue a criminal complaint exclusively, the Complainant may submit a request to temporarily defer the investigation and/or resolution process for a reasonable time by making a formal written request to the Title IX Coordinator, which may delay the investigation and the Laboratory's ability to respond. The Laboratory will maintain documentation of the date of deferral. The Laboratory may continue its investigation where it has reason to believe that the Respondent may be an imminent threat to the safety of the Complainant and/or other individuals. At any time, the Complainant may choose to rescind the deferral by making a formal written request to the Title IX Coordinator, electing to resume the investigation and/or resolution process. The Laboratory will provide written notice to the Complainant and Respondent when it resumes its investigation and resolution process as appropriate.

If a Complainant elects to pursue a criminal complaint exclusively, CSHL's Director of Security will request that the Prosecutor's Office immediately inform the Laboratory of its decision on whether to prosecute the complaint. CSHL will maintain documentation relating to the request.

Any individual who reports possible Prohibited Conduct will be provided written notice of their options to pursue a criminal complaint, to pursue a complaint through the Laboratory procedures, or to pursue both processes consecutively or concurrently, and the potential consequences of

pursuing both options (*i.e.*, possible deferral of the Laboratory's investigation and disciplinary process, delays in the Laboratory's investigation) to allow law enforcement to complete their fact finding, etc.). The Laboratory, through the Title IX Coordinator will obtain written acknowledgment from the Complainant of his/her decision regarding which options, if any, the Complainant wishes to pursue.

The Laboratory will comply with all federal, state, and local mandates regarding the reporting of crimes to appropriate authorities**.**

X. Procedures

A. Making a Complaint or Report at CSHL

Any person may report a violation or alleged violation of this Policy (whether or not the person reporting is the person alleged to be the victim), in person, by mail, by telephone, or by electronic mail or online portal, using the contact information listed for the Title IX Coordinator, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. A report may also be made to any Laboratory official designated as having the authority to take corrective action on behalf of the Laboratory. A report may be made at any time (including during non-business hours) by using the telephone number or electronic mail address, or by mail to the office address listed for the Title IX Coordinator. Officials with the authority to take corrective measures who receive a report or complaint under this Policy must promptly refer the report or complaint to the Title IX Office.

For emergency or immediate assistance (twenty-four (24) hours a day, seven (7) days a week) contact Security at (516) 367-5555. All emergency contact numbers are listed on the reverse side of the CSHL identification card.

Complainants or individuals with questions pertaining to this Policy may contact Katherine Raftery, Vice President, Chief Human Resources Officer and Title IX Coordinator in the Luke Building, 1 Bungtown Rd, Cold Spring Harbor, NY 11724, at raftery@cshl.edu or (516) 367-8499. To file a complaint involving the Title IX Coordinator, contact the Chief Operating Officer.

Complainants may complete an online Incident Report Form located at https://incident.cshl.edu/ or through EthicsPoint, a third party hotline provider, on a secure server that is not part of the Laboratory at: https://secure.ethicspoint.com/domain/media/en/gui/46674/index.html, or by calling EthicsPoint at 1-844-390-9805. This form and any other report or complaint may be filed anonymously.

Once a complaint or report is received, it will be reviewed by the Title IX Coordinator. Complainants will be asked to either complete a written or online complaint form, or meet with the Title IX Coordinator who will complete a written complaint form and who will ask the Complainant to read and sign a verification of the complaint allegations. The complaint should clearly and concisely describe the alleged incident(s), when and where it (they) occurred, details/witnesses, and the desired remedy or remedies sought.

Questions or concerns may be directed externally to the Office for Civil Rights (OCR), U.S.

Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202; www.ocr.gov.

B. Time Frame

The Laboratory strives to complete all investigations, hearings, and appeals within 90 to 120 business days. The Laboratory goals are to complete informal resolutions, investigations and hearings within 90 business days after receipt of a complaint or report and to complete the appeals process within 30 business days after receipt of the appeal. If an Informal Resolution Process is used, the Laboratory strives to resolve the matter through that process within 30 business days. These processes may be temporarily delayed or extended for a limited time frame for good cause. Good cause may include considerations such as the absence of a party, a party's Advisor or witness, concurrent law enforcement activity, or the need for language assistance or accommodation of disabilities. The Title IX Coordinator will provide written notice of any delays and/or extensions to the parties and describe the reason(s) for the delays and/or extension.

C. Supportive Measures

Upon receipt of a report or complaint alleging *Title IX Sexual Harassment* under this Policy, CSHL will offer supportive measures without fee or charge as appropriate and to the extent reasonable to the Complainant and/or to the Respondent. Supportive measures must be offered before or after the filing of a complaint or where no complaint has been filed. Such measures are non-disciplinary, non-punitive, individualized, and designed to restore or preserve equal access to the Laboratory's programs and/ or activities without unreasonably burdening the other party, including measures designed to protect the safety of all parties or the Laboratory's educational environment, or deter discrimination or harassment. Both parties will be informed in writing of the applicable supportive measures available to them.

Supportive measures may include counseling, extensions of deadlines or other course-related adjustments, modifications of work or class schedules, campus escort services, mutual restrictions on contact between the parties, changes in work or housing locations, leaves of absence, increased security and monitoring of certain areas of the campus, and other similar measures. The Laboratory will maintain as confidential any supportive measures provided to the Complainant or Respondent, to the extent that maintaining such confidentiality would not impair the ability of CSHL to provide the supportive measures.

Both the Complainant and Respondent may submit a written request to the Associate Dean to be afforded prompt review, reasonable under the circumstances, of the need for and terms of any supportive measure and accommodation that directly affects him or her, and shall be allowed to submit evidence in support of his or her request. The Associate Dean will issue a determination regarding the supportive measures within five (5) business days of the receipt of such a request.

The Title IX Coordinator is responsible for coordinating the effective implementation of supportive measures. The Title IX Coordinator will contact the Respondent concerning supportive measures no later than issuance of notice that an investigation will be conducted.

The Laboratory will promptly address any violation of the protective measures. The Laboratory

will take immediate and responsive action to enforce a previously implemented restriction if such restriction is violated.

Emergency Removal and Administrative Leave: On an emergency basis, CSHL may place a student on interim suspension, impose administrative leave for an employee, or otherwise remove a student or employee Respondent from or deny access to campus facilities, and/or all or part of the Laboratory's programs or activities during the pendency of the Laboratory's procedures under this Policy. Prior to such removal, the Laboratory will undertake an individualized safety and risk analysis to determine whether there is an immediate threat to the physical health or safety of any student, employee, or other individual arising from the allegations of conduct prohibited by this Policy that would justify a Respondent's removal.

During the emergency removal, a student Respondent may be denied access to the campus, facilities, or events. As determined by Title IX Coordinator, this restriction includes classes, access to research laboratories, student housing or dining facilities, and/or all other activities or privileges for which the student might otherwise by eligible. Similarly, alternative coursework or research options may be pursued to ensure as minimal impact as possible on the Respondent and Complainant. A temporary suspension or other emergency removal of a student Respondent may be enforced until the final disposition of the allegation has been made by the appropriate CSHL official or hearing entity.

In the event that a Respondent employee is accused of a violation, which also constitutes grounds for immediate dismissal as defined pursuant to other employee policies, processes, and procedures, the Title IX Coordinator may recommend that the employee be placed on unpaid leave until such time as the matter is resolved. In the event that a Respondent employee is accused of a violation that does not constitute grounds for immediate dismissal under other employee policies, processes, and procedures, but the continued presence of the employee is disruptive to the work environment, the Title IX Coordinator may recommend that the employee be placed on leave pending resolution of the matter. During such leave, an employee may be denied access to the Laboratory's campus, facilities, or events. At the discretion of the Title IX Coordinator, alternative work options may be pursued to ensure as minimal an impact as possible on the Respondent employee and Complainant or potential Complainant.

The Laboratory will provide the Respondent with written notice of an opportunity to appeal the decision to remove a Respondent or place a Respondent on administrative leave. The written appeal request should state the reasons why the Respondent believes the removal or administrative leave should be overturned. The appeal request must be received by the Associate Dean within five (5) business days of the written notification. The Associate Dean will review the appeal to determine whether the decision was supported. The Associate Dean appeal determination shall be sent to the Respondent within five (5) business days of receipt of the initial appeal request. The appeal determination by the Associate Dean is final.

D. Conflicts of Interest or Bias

Both parties have a right to an investigation and resolution process free of conflicts of interest or bias by any Laboratory employee involved in the process, including the Title IX Coordinator,

Associate Dean, Investigator, hearing officer, appeal-decision maker, or any person designated by the Laboratory to facilitate an informal resolution process. The Laboratory employee involved in the process should disqualify themselves in a matter or proceeding in which the member's impartiality might reasonably be questioned, including but not limited to instances where:

1. The employee has a personal bias or conflict of interest concerning a participant in the process, or has personal knowledge of disputed facts concerning the matter;

2. The employee has a personal bias or prejudice against Complainants or Respondents generally;

3. The employee was directly involved in the matter in controversy, or a subordinate whom the employee previously supervised is involved in the matter, or the member was a witness to the matter; or

4. The employee or a person in the employee's family is related to a participant in the process.

Failure of a Laboratory employee or official to disqualify themself or notify the Title IX Coordinator of potential conflicts of interest is considered a violation of this Policy.

A Complainant or potential Complainant and the Respondent have the opportunity to object to the participation of any Laboratory official or employee involved in the process (including the Title IX Coordinator, Associate Dean, Investigator, hearing officer, or individual(s) designated to facilitate the Laboratory's Informal Resolution process) on the grounds of bias or conflict of interest. The investigation or proceeding will be temporarily suspended, and the Title IX Coordinator or another appropriate official who is not the subject of the objection will evaluate whether the objection is substantiated. The parties will be notified in writing of the findings within five (5) business days. If the Laboratory employee or official is found to have a bias or conflict of interest against either party, the Laboratory employee or official will be removed from the matter and (when necessary) replaced. The investigation or proceeding will resume immediately upon a finding of no bias or conflicts, or upon the replacement of the Laboratory employee or official, whichever occurs first.

E. Investigation and Resolution Procedure

The following sets forth the Procedures for the Laboratory's response to a complaint of an alleged violation or violations of the Policy. The Laboratory affirms its commitment to the fair, equitable, and impartial resolution of all reports and/or complaints made under the Policy. When the Laboratory receives a complaint or report under this Policy, in an education program or activity of the Laboratory against a person in the United States, it will respond promptly, including by following the requirements of the procedures described in this Policy.

In this process, the Laboratory will treat Complainants and Respondents equitably by providing remedies to a Complainant where a determination of responsibility has been made against the Respondent, and by following the investigation and resolution process described in this section before the imposition of any disciplinary sanctions or other actions that are not supportive

measures, as defined in this Policy, against a Respondent.

The Laboratory recognizes, and will advise the parties, that there is a presumption that the Respondent is not responsible for the alleged conduct until a determination regarding responsibility is made at the conclusion of the investigation and resolution process.
The Laboratory will use the preponderance of evidence standard to determine responsibility for any alleged violation of this Policy. A preponderance of the evidence means such evidence that, when considered and compared with that opposed to it, is more convincing, creating the belief that what is sought to be shown is more likely than not to have occurred. In all investigations and determinations of responsibility, the Laboratory will conduct an objective evaluation of all relevant evidence. Credibility determinations will not be based on a person's status as a Complainant, Respondent, or witness.

The Laboratory will not require, allow, rely upon, or otherwise use questions or evidence that constitute, or seek disclosure of, information protected under a legally recognized privilege, unless the person holding such privilege has waived the privilege.

1. Sexual Predisposition and Prior Sexual Behavior

The sexual predisposition and prior sexual behavior of the Complainant are generally not relevant and will not be considered as evidence. However, either party's prior sexual behavior may be offered as evidence under the following limited circumstances:

a. To provide that someone other than the Respondent committed the conduct alleged by the Complainant; and

b. To prove consent by offering specific incidents of the Complainant's prior sexual behavior with respect to the Respondent. As noted, however, the mere fact of a current or previous dating or sexual relationship, by itself, is not sufficient to constitute consent.

2. Initiation of a Complaint

Upon receipt of a complaint or other notice of possible prohibited conduct, the Laboratory will take immediate and appropriate steps pursuant to the procedures described in this section of the Policy.

i. Intake Meeting

Upon receipt of a report or complaint, the Title IX Coordinator will promptly contact the Complainant for an intake meeting to discuss the availability of supportive measures under this Policy, consider the Complainant's wishes with respect to supportive measures, inform the Complainant of the availability of supportive measures with or without the filing of a report and explain to the Complainant the process for filing a Complaint. If the potential Complainant is unknown, the Title IX Coordinator will make reasonable efforts to identify the potential Complainant and reach out to that person. During the intake meeting, the Title IX Coordinator

will seek to get a basic understanding of the reported conduct so that the Title IX Coordinator can appropriately assess key facts to determine how to proceed. Follow-up intake meetings will be had as deemed necessary by the Title IX Coordinator.

ii. Initial Determination

The Title IX Coordinator will make an initial determination as to whether the reported conduct, if true, could constitute a violation of the Policy. This determination will be made

based on information in the report or complaint as well as information provided by the potential Complainant during the intake meeting(s).

If the Title IX Coordinator determines that the reported conduct, if true, could constitute a violation of this Policy, the Laboratory will proceed to an investigation.

If the reported conduct does not appear to allege a violation of this Policy, the Title IX Coordinator will dismiss the complaint if a complaint has been filed. CSHL will also dismiss the complaint if the Complainant is no longer enrolled or employed by CSHL and/or if the alleged conduct did not occur in connection with a Laboratory education program or activity, or did not occur against a person in the United States. As appropriate, CSHL may address the allegation(s) under another Laboratory policy.

The Laboratory may also dismiss the complaint or any allegations, if at any time during the investigation, hearing or appeal:

a. A Complainant notifies the Title IX Coordinator in writing that the Complainant would like to withdraw the complaint or any allegations;

b. The Respondent is no longer enrolled or employed by CSHL; or

c. Specific circumstances prevent the Laboratory from gathering evidence sufficient to reach a determination as to the complaint or allegations therein.

The Title IX Coordinator will promptly provide written notice to the Complainant of its determination to dismiss a complaint or any allegations, the reason(s) therefore, and the appeal process available for dismissals.

If the Title IX Coordinator determines that the allegations, if true, could constitute a violation of the Policy, and that an investigation must commence, an impartial investigator(s) will be assigned by the Title IX Coordinator to conduct an investigation to determine if the Policy may have been violated. Upon notice of the assignment of the investigator(s), the parties will have seven (7) calendar days to raise any objections to the Title IX Coordinator regarding the ability of the investigator to conduct an impartial investigation.

Complainants have the option of formal or informal dispute resolution procedures. However,

informal resolution is not an option for complaints of sexual harassment made by a student or students against an employee. Under both options, the investigator(s) will meet with the Complainant(s) and the Respondent separately to discuss the complaint and the process.

The Laboratory may consolidate complaints as to allegations of violations of this Policy against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against the other party, where the allegations arise out of the same facts or circumstances.

iii. Notice of the Investigation to the Parties

The Title IX Coordinator will notify the Complainant and Respondent, in writing and simultaneously, of its decision to proceed to investigation of any alleged violation of this Policy. The written notification to the Complainant and to the Respondent will include the following, where known at that time:

a. A description of this Policy, including the Informal Resolution process.

b. A description of the allegations potentially constituting a violation of this Policy, including sufficient details known at the time about the identities of the parties involved in the incident, the conduct allegedly constituting a violation of this Policy, and the date and location of the alleged incident.

c. Notice that the Respondent is presumed not responsible for the alleged conduct and that a determination regarding responsibility is made at the conclusion of the investigation and resolution process in this Policy.

d. Notice to the parties that they may have an Advisor of their choice, who may be, but is not required being an attorney.

e. Notice to the parties of the Laboratory's policy that prohibits knowingly making false statements or knowingly submitting false information under this Policy.

f. Notice to the parties that they may, as described below in this Policy, inspect and review evidence obtained as part of the investigation that is directly related to the allegations raised in a complaint.

The Laboratory will provide the parties with sufficient time to review the written notice and prepare a response before any initial interview. In the course of the investigation, CSHL will provide written notice of any additional allegations to the parties if CSHL decides to investigate additional or different allegations.

3. Informal Resolution

At any time prior to reaching a determination regarding responsibility and after the filing of a

complaint, the Laboratory may offer and facilitate an informal resolution process that does not involve a full investigation and adjudication. Informal resolution is a voluntary, structured interaction between or among the parties that is designed to reach an effective resolution to a Complaint. These informal procedures may include, but are not limited to, mediation, counseling, and/or any other means of resolving a complaint other than a formal resolution process. The informal resolution process attempts to resolve the issue with the Complainant and Respondent by mutual agreement. If an informal resolution process is used, CSHL strives to resolve the matter through that process within 30 business days.

Informal resolution is not appropriate for all forms of possible Prohibited Conduct and the Title IX Coordinator retains the discretion to determine which cases are appropriate for informal resolution. The Title IX Coordinator will determine if informal resolution is appropriate based upon: 1) the willingness of the parties to participate in informal resolution; 2) the nature of the conduct at issue; and 3) the susceptibility of the conduct to informal resolution. Informal resolution will not be used to address allegations that an employee sexually harassed a student.

Participation in the informal resolution process is voluntary, and CSHL will not require the parties to participate in an informal resolution process. Both a Complainant and a Respondent can request to end this type of resolution and pursue an investigation at any time. CSHL must obtain the parties' voluntary, written consent to the informal resolution process. The Laboratory will provide the parties with written notice disclosing: 1) the allegations; 2) the requirements of the informal resolution process, including the circumstances under which it precludes the parties from resuming an investigation arising from the same allegations, provided, however, that at any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the formal resolution process; and 3) any consequences resulting from participating in the informal resolution process, including records that will be maintained or could be shared.

Individuals may be accompanied by an Advisor at any meetings related to the informal resolution process. Information shared or obtained during informal resolution will be treated as confidential to the extent permitted by law, and will not result in subsequent disciplinary actions by the Laboratory, unless additional action is deemed necessary to fulfill the Laboratory's legal obligations.

Written notification will promptly be sent by the Title IX Coordinator to the Complainant and the Respondent of the conclusion of the informal resolution process. The notification will describe the terms of the approved resolution, if any. The Title IX Coordinator will keep records of any resolution that is reached, and failure to abide by the resolution may result in appropriate responsive actions.

4. Formal Resolution Process

If the Complainant or Respondent chooses to proceed with the formal resolution process, and/or the complaint is not resolved informally, then the investigator(s) will proceed with an investigation of the complaint. All investigations will be prompt, adequate, thorough, reliable, impartial and equitable, incorporating applicable investigation techniques, including, but not

limited to, interviewing relevant parties and witnesses, and obtaining available and relevant evidence.

When investigating a complaint under this Policy, CSHL will:

a. Ensure that the burden of proof and the burden of gathering evidence rest on CSHL and not on the parties;

b. Provide an equal opportunity for the parties to present witnesses, including fact and expert witnesses, and other inculpatory and exculpatory evidence. The Complainant and Respondent will be asked to provide a list of possible witnesses to the incident, as well as any supporting documents (e.g., text messages, emails, social media, photographs, telephone records, etc.) that they wish to be considered during the investigation. A "witness to the incident" is defined as an individual who had direct contact with at least one of the individuals involved in the incident(s) before, during, or after the incident(s) occurred. Character witnesses are not permitted;

c. Not restrict the ability of either party to discuss the allegations under investigation or to gather and present relevant evidence;

d. Provide the parties with the same opportunities to have others present during the procedures, including the opportunity to be accompanied to any related meeting or proceeding by the Advisor of their choice, who may be, but is not required to be, an attorney, and not limit the choice or presence of Advisor for either the Complainant or Respondent in any meeting or proceeding under this Policy;

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

f. Provide both parties an equal opportunity to inspect and review any evidence obtained as part of the investigation that is directly related to the allegations raised in a complaint. In addition, prior to completion of the investigative report, the Laboratory will send to each party and Advisor the evidence subject to inspection and review in an electronic format or a hard copy. The Laboratory will also make all such evidence subject to the parties' inspection and review available at any hearing.

5. Investigation Report

i. Draft Investigation Report

Once the investigation is complete, the Title IX Coordinator will prepare a written Draft Investigation Report that fairly summarizes relevant evidence gathered during the course of

the investigation. The Draft Investigation Report will state specific factual findings and will include the Title IX Coordinator's preliminary determination as to whether the evidence supports that Respondent has violated the Policy. The standard for determining each factual finding will be the preponderance of the evidence standard.

The Draft Investigation Report will be provided in electronic format or in a hard copy to the parties and their Advisors, if any, for review at least ten (10) business days prior to a hearing. The parties must respond to the Draft Investigation Report within ten (10) business days of receipt. The parties may provide: 1) a written response to the information and findings in the Draft Investigation Report, including the provision of additional clarifying information; 2) identification of new witnesses; and/or 3) submission of new evidence. The Title IX Coordinator will review any responses provided and consider whether the responses establish a basis for additional investigation and/or for altering any information or preliminary findings in the Draft Investigation Report.

ii. Final Investigation Report

The Title IX Coordinator will issue a Final Investigation Report that will include: the Draft Investigation Report; the parties' responses to the Draft Investigation Report (if applicable); the Title IX Coordinator's determinations regarding the parties' responses (if applicable); and the Title IX Coordinator's preliminary finding(s) as to whether the evidence supports that Respondent has violated the Policy. The Final Investigation Report will also, if applicable, describe any sanctions or discipline proposed for the Respondent or remedies for the Complainant. The Final Investigation Report will be simultaneously provided to both parties. Factors relating to possible sanctions, discipline and remedies are described below.

6. Hearing

The Laboratory will provide a live hearing for both parties. The Hearing Officer will not be the same person(s) as the Title IX Coordinator, the investigator(s) or the Appeal Decision-maker. The Hearing Officer will determine whether the evidence supports a finding of "Responsible" under the Policy using the preponderance of the evidence standard. During the same hearing, the Hearing Officer will determine any applicable sanctions or discipline for violations of the Policy. The Hearing Officer will not re-investigate facts in a report and will consider only the evidence presented and any facts that may be pertinent to the determination of responsibility and the sanctioning or discipline determination.

Hearing Procedures

Hearings will be held in accordance with the following procedures:

1. The Title IX Coordinator and/or Investigator will be called as the first witness and will testify as to the preliminary findings of the investigation.

2. Live hearings may be conducted with all parties physically present in the same geographic location or, at CSHL's discretion, any or all parties, witnesses, and other

participants may appear at the live hearing virtually. Both the Complainant and the Respondent may choose to request that the live hearing occur with the parties located in separate rooms. The technology used for virtual hearings or hearings with the parties in separate rooms must allow each of the participants to simultaneously see and hear the party or the witness answering questions.

3. Both the Complainant and the Respondent are entitled to have one Advisor or support person present, who may be an attorney. If a party does not have an Advisor present at the live hearing, CSHL will provide without fee or charge to that party, an Advisor of CSHL's choice, who may be, but is not required to be, an attorney, to conduct cross-examination on behalf of that party.

4. The Hearing Officer will provide each party with an opportunity for cross-examination:

    a. Each party's Advisor must be permitted to ask the other party and any witnesses all relevant questions and follow up questions, including those challenging credibility.

    b. Cross-examination must be conducted directly, orally, and in real time by the party's Advisor and never by a party personally, notwithstanding the discretion of the Laboratory to otherwise restrict the extent to which Advisors may participate in the proceedings.

    c. Only relevant cross-examination and other questions may be asked of a party or witness. Before a Complainant, Respondent, or witness answers a cross-examination or other question, the Hearing Officer must first determine whether the question is relevant and explain any decision to exclude a question as not relevant.

5. Both the Complainant and the Respondent may rebut unfavorable inferences.

6. Both the Complainant and the Respondent may provide an impact statement, in which each party can explain how the violation or alleged violation has impacted them.

7. CSHL will create an audio or audiovisual recording, or transcript, of the hearing and make it available to the parties, upon request, for inspection and review.

A. *Sanctions/Disciplinary Actions and Remedies*

Factors considered by the Hearing Officer when determining a sanction or other disciplinary action may include, but are not limited to:

1. The nature, severity of, and circumstances surrounding the violation;

2. An individual's disciplinary history;

3. Class standing (hours earned) where necessary to determine the impact of the sanction

on the Complainant, Respondent, or CSHL community. The academic records of the parties shall not be considered in determining sanctions;

4. Previous allegations involving similar conduct;

5. Completion of required training related to this Policy;

6. The need for sanctions to bring an end to the discrimination, harassment, and/or retaliation;

7. The need for sanctions/responsive actions to prevent the future recurrence of discrimination, harassment, and/or retaliation; and

8. The need to remedy the effects of the discrimination, harassment, and/or retaliation on the victim and the community.

The following are the possible sanctions that will be imposed upon individuals who are found to be responsible for specific violations of the Policy. The sanctions listed below may be imposed singularly or in combination and second or subsequent offenses will receive more severe sanction. Possible sanctions include, but are not limited to:

1. **Warning**: Notice, verbally or in writing, that continuation or repetition of the Policy violation may be cause for additional disciplinary action.

2. **Censure:** A written reprimand for violating the Policy.

3. **Disciplinary Probation:** Exclusion from participation in privileged activities for a specified period of time.

4. **Restitution:** Repayment to the Laboratory or to an affected party for damages (amount to be determined by the Laboratory) resulting from a violation of the Policy. To enforce this sanction against students, CSHL reserves the right to withhold its transcripts and degrees or to deny a student participation in graduation ceremonies and privileged events.

5. **Removal from Laboratory Housing:** Students may be removed from Laboratory housing and/or barred from applying for Laboratory housing due to disciplinary violations of the Policy.

6. **Suspension:** Temporary exclusion from Laboratory premises, attending classes, and other privileges or activities for a specified period of time. Notice of this action will remain in the individual's conduct file and will be permanently recorded on a student's academic transcript. Conditions for readmission may be specified in the suspension notice.

7. **Expulsion:** For students, permanent termination of student status and exclusion from CSHL premises, privileges, and activities. This action will be permanently recorded on the student's academic transcript. For employees, termination of employment, including

permanent exclusion from Laboratory premises and other privileges or activities. Notice of this action will remain in the employee's conduct file.

8. **Termination of Employment**

9. **Revocation of Admission and/or Degree:** For students, admission to, or a degree awarded by, the Laboratory may be revoked.

10. **Withholding Degree:** For students, CSHL may withhold awarding a degree otherwise earned until completion of the process in the Policy, including the completion of all sanctions imposed, if any.

11. **Other:** Other sanctions may be imposed, including, but not limited to: meetings with administrators, psychological assessment, alcohol or drug counseling, no contact orders, or the assignment of service, education or research projects.

For *Student Respondents*, sanctions imposed by the Hearing Officer are implemented immediately. Sanctions of suspension and expulsion are permanently noted on a student's transcript. For violent misconduct, the Laboratory shall make a notation on the transcript of students found responsible under this Policy that they were "suspended after a finding of responsibility for a code of conduct violation" or "expelled after a finding of responsibility for a code of conduct violation." For the Respondent who withdraws from the Laboratory while such conduct charges are pending, and declines to complete the disciplinary process, the Laboratory shall make a notation on the transcript of such students that they "withdrew with conduct charges pending." A Respondent may file an appeal to the Associate Dean seeking removal of a transcript notation for a suspension, but the notation shall not be removed prior to one year after conclusion of the suspension, and notations for expulsion shall not be removed. If a finding of responsibility is vacated for any reason, any such transcript notation shall be removed.

For *Employee Respondents*, sanctions, discipline and remedies recommended by the Title IX Coordinator will be forwarded to the President, Chief Human Resources Officer and General Counsel of the Laboratory immediately for review.

All parties are expected to comply with sanctions or discipline within the time frame specified. Failure to follow or complete the sanctions or discipline by the date specified – whether by refusal, neglect, or any other reason – may result in additional sanctions or disciplinary action up to and including termination from CSHL.

The Hearing Officer may also decide to provide remedies to the Complainant.

7. Written Determination

Both the Complainant and the Respondent shall be simultaneously provided with a written determination, which will include:

a. Identification of the allegations, names of the parties, and name of the

Investigator;

b. A description of the procedural steps taken from the receipt of the complaint through the determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;

c. Applicable policies and procedures;

d. Information considered during investigation (witnesses questioned, documents and other evidence);

e. Supportive measures requested/provided;

f. Responses from either the Complainant or Respondent to the investigator's draft report;

g. Findings of fact to support the determination;

h. Conclusions, using the preponderance of evidence standard, regarding the application of the Laboratory's Policy to the facts;

i. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions the Laboratory imposes on the Respondent, and whether remedies will be provided by the Laboratory to the Complainant; the sanctions and/or other appropriate measures and remedies will be approved by the Associate Dean; and

j. CSHL's appeal procedures and the permissible bases for the Complainant and Respondent to appeal.

The determination regarding responsibility becomes final either on the date that the Laboratory provides the parties with the written determination of the result of the appeal, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.

8. Appeal Process

The Respondent and/or the Complainant may appeal the Laboratory's closure or dismissal of a complaint or allegations therein, or the Hearing Officer's written determination of responsibility. Either party may also appeal the sanctions or discipline imposed by the Hearing Officer. The appeal decision-maker(s) will not the same person as Hearing Officer or the decision-maker(s) that reached the determination regarding dismissal, the investigator(s), or the Title IX Coordinator.

The Laboratory will implement the appeal procedures equally for both parties and will use the

preponderance of the evidence standard for its determination. A request for an appeal must be submitted in writing to the Associate Dean for consideration by an Appeal Decision-maker within seven (7) calendar days of the issuance of the written determination. Upon notice of the assignment of the Appeal Decision-maker, the parties will have seven (7) calendar days to raise any objections to the Associate Dean regarding the ability of the Appeal Decision-maker to conduct an impartial appeal. When an appeal is filed by one party, the Laboratory will notify the other party in writing that an appeal has been filed. The Laboratory will provide both parties a reasonable, equal opportunity to submit a written statement in support of, or challenging, the outcome.

An appeal of the decision may be considered if one of the following grounds is present:

a. Procedural Error**:** A procedural error occurred that affected the outcome, including the findings and/or sanctions or discipline. A description of the error and its impact on the outcome of the case must be included in the written appeal. Minor or harmless deviations from the process will not invalidate the proceedings.

b. New Evidence*:* New evidence that was not reasonably available at the time that the determination of responsibility was made and that could affect the outcome, including the findings and/or sanctions. Information that was known to the Complainant or Respondent during the investigation, but which he or she chose not to present, is not new evidence. A summary of this new evidence and its potential impact on the investigation findings and/or sanctions must be included in the written appeal.

c. Conflict of Interest or Bias: The Title IX Coordinator, Investigator(s), or the Hearing Officer had a conflict of interest or bias for or against Complainants or Respondents generally or the individual Complainant or Respondent that affected the outcome of the matter.

Once an appeal request is received, a decision will be issued on eligibility for appeal usually within five (5) business days. If the process is extended beyond five (5) days, the Associate Dean will inform the parties of the extension of time to complete the appeal and the reason(s) for the extension. If the grounds for an appeal are not met, the request for an appeal will be denied and the parties will be simultaneously informed in writing. Regardless of whether all parties request an appeal, the Complainant and Respondent will be informed in writing, and permitted to participate in the appeal and to respond to the information provided by the other party.

The role of the Appeal Decision-maker regarding appeals is limited. Appeals are not intended to be a full rehearing of the complaint. The Laboratory strives to complete the appeals process within 30 business days after receipt of the appeal.

Appeals are confined to a review of the statements submitted by the parties and the investigative and hearing record for the grounds stated above, including but not limited to evidence presented at the hearing and documentation pertinent to the grounds for appeal.

The Appeal Decision-maker will simultaneously notify both parties in writing of that outcome, including the result of the appeal and the rationale for the result. The decision shall be final.

9. Student Withdrawal or Employee Resignation While Charges Pending:

The Laboratory places a hold on the records of any student who has a complaint pending that alleges the student violated the Policy. Should a student decide to voluntarily withdraw and/or not participate in the investigation and/or hearing, the process will nonetheless proceed in the student's absence to completion. The student will not be permitted to register for classes and/or return to CSHL unless the conditions of all sanctions have been satisfied.

Should an employee resign while an investigation is pending, the records of the employee will reflect that status. The investigation will be completed based on the information available. The Laboratory's response to any future inquiries regarding employment references for that individual may also reflect that the employee resigned while an investigation was pending.

XI. Records

The Laboratory will maintain records relating to allegations of Prohibited Conduct under this Policy for a period of seven years or to the extent they are required by law. Records will be retained in accordance with the New York State Model Records Retention Schedule. Complaints and information gathered in the course of an investigation will be kept private to the extent permitted by law. The records shall include:

a. Each sexual harassment investigation, including any determination regarding responsibility and any recording or transcript of the hearing, any disciplinary sanctions imposed on the Respondent, and any remedies provided to the Complainant;

b. Any appeal and the result of the appeal;

c. Any informal resolution and the result; and

d. All materials used to train Title IX Coordinators, Investigators, Hearing Officers, other decision-makers, and any person who facilitates an informal resolution process. The Laboratory will make these training materials publicly available on its website.

e. Records of any actions, including any supportive measures, taken in response to a *Title IX Sexual Harassment* report or complaint. CSHL will document the basis for its conclusion that its response was not deliberately indifferent, and that it has taken measures designed to restore or preserve equal access to its education program or activity. If CSHL decides not to provide a Complainant with supportive measures, it will document why such a response was not clearly unreasonable in light of the known circumstances.

XII. Training

CSHL shall take steps to ensure that any individual designated as a Title IX Coordinator, Investigator, Hearing Office, decision-maker, informal resolution facilitator, or Appeal Decision-maker receives training as required by Title IX. The training materials will not rely on sex stereotypes and will promote impartial investigations and adjudications of complaints of sexual harassment. The Laboratory will post the training materials on its website.

XIII. Students' Bill of Rights

The Laboratory's statement of the rights of student Complainants and student Respondents is available, at https://www.cshl.edu/phd-program/student-bill -of-rights/.

Research Misconduct Policy

Reviewed and Updated: October 2015

SECTION 1: PURPOSE, KEY DEFINITIONS AND SCOPE

1.1 PURPOSE

Cold Spring Harbor Laboratory (CSHL) expects its institutional members to conduct research and engage in related academic activities in accordance with the highest scientific and ethical standards. CSHL's commitment to research integrity, truth, and accountability are an integral part of its environment. Any occurrence of research misconduct is a threat to the basic principles of research. CSHL holds the primary responsibility for preventing, detecting, investigating, reporting, and resolving allegations of research misconduct. This statement of policy and procedures is intended to carry out Cold Spring Harbor Laboratory's responsibilities under the Public Health Service (PHS) Policies on Research Misconduct, 42 CFR Part 93. The Public Health Service, however, retains the ultimate responsibility and authority for monitoring such investigations when PHS support is involved.

The purpose of the CSHL Research Misconduct Policy is to establish, codify, and explain the procedures CSHL will follow in cases where a specific allegation is made or apparent instance of research misconduct exists. CSHL will respond to an allegation or apparent instance of research misconduct in a systematic and objective fashion. An institutional member is assumed innocent of research misconduct until a contrary conclusion is reached using the procedures described in this policy. A finding of research misconduct under this policy requires the following:

- There is significant departure from accepted research practices.
- The misconduct is committed intentionally, knowingly, or recklessly.
- The allegation is proven by a preponderance of evidence.

Research misconduct represents a major breach of contract between scientific personnel and CSHL, and may result in sanctions being instituted against the individual(s) involved. This policy applies to all of CSHL's research and scientific institutional members, and is particularly pertinent to those individuals who are involved with a research project supported by the Public Health Service and National Science Foundation or who have submitted an application for such support.

1.2 KEY DEFINITIONS

1. ***Allegation*** means a disclosure of possible Research Misconduct through any means of communication. The disclosure may be by written or oral statement or other communication.

2. ***Cold Spring Harbor Laboratory (CSHL or the Laboratory)*** means Cold Spring Harbor Laboratory and all entities controlled by CSHL, including the School of Biological Sciences and the DNA Learning Center.

3. ***Complainant*** means a person who in Good Faith makes an Allegation of Research Misconduct.

4. ***Fabrication*** is making up data or results and recording or reporting them.

5. ***Falsification*** is manipulating research materials, equipment, and/or processes, or changing or omitting data or results such that the research is not accurately represented in the Research Record.

6. ***Good Faith*** as applied to a complainant or witness, means having a belief in the truth of one's Allegation or testimony that a reasonable person in the complainant's or witness's position could have based on the information known to the complainant or witness at the time. An Allegation of Research Misconduct, or cooperation with a Research Misconduct proceeding, is not in Good Faith if made with knowing or reckless disregard for information that would negate the Allegation or testimony. Good Faith as applied to a committee or panel member means cooperating with the Research Misconduct proceeding by carrying out the duties assigned impartially for the purpose of helping an institution meet its responsibilities under this part. A committee or panel member does not act in Good Faith if his or her acts or omissions on the committee or panel are dishonest or influenced by personal, professional, or financial conflicts of interest with those involved in the Research Misconduct proceeding.

7. ***Institutional Member*** means a person who is employed by, is an agent of, or is affiliated by contract or agreement with the Laboratory. Institutional Members may include, but are not limited to, officials, faculty, teaching and support staff, researchers, research coordinators, clinical technicians, postdoctoral and other fellows, students, volunteers, agents, and contractors, subcontractors, and subawardees, and their employees.

8. ***PHS Support*** means PHS funding, or applications or proposals therefor, for biomedical or behavioral research, biomedical or behavioral research training, or activities related to that research or training, that may be provided through: funding for PHS extramural research; PHS grants, cooperative agreements, or contracts or subgrants or subcontracts under those PHS funding instruments; or salary or other payments under PHS grants, cooperative agreements or contracts.

9. ***Plagiarism*** is the use of another person's ideas, processes, results, or words without giving appropriate credit.

10. ***Preponderance of Evidence*** means proof by information that when compared with opposing information, leads to the conclusion that the issue in question is more probably true than not true.

11. ***President*** means the appointed President of Cold Spring Harbor Laboratory.

12. ***Reasonable Grounds*** means a set of facts or circumstances that would cause a person of ordinary and prudent judgment to believe beyond a mere suspicion.

13. ***Research Misconduct*** means Fabrication, Falsification, or Plagiarism in proposing, performing, or reviewing research, or in reporting research results, and also includes any other serious deviations or significant departures from accepted and professional research practices, such as the mistreatment or abuse of human or animal research subjects. Research Misconduct does not include honest error or reasonable differences of opinion in interpretations or judgments of data.

14. ***Research Record*** means the record of data or results that embody the facts resulting from scientific inquiry, including but not limited to, research proposals, laboratory records, both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, journal articles, and any documents and materials provided to the Responsible Director by a Respondent in the course of the Research Misconduct proceeding.

15. ***Respondent*** means the person against whom an Allegation of Research Misconduct is directed, or who is the subject of a Research Misconduct proceeding.

16. ***Responsible Director*** means the person appointed who is responsible for handling and running the proceedings associated with any Allegation of Research Misconduct at CSHL. The Responsible Director is the Director of Research at CSHL.

1.3 SCOPE OF THE RESEARCH MISCONDUCT POLICY

This policy applies to all Institutional Members of CSHL, regardless of rank or status or funding source. If an Allegation or apparent instance of Research Misconduct is made against an Institutional Member of CSHL, CSHL will respond in an objective manner and ensure that no person involved in the proceedings has a conflict of interest. These persons include the Complainant, Respondent, President, Responsible Director, witnesses, committee and panel members, and any other Institutional Member involved in the Allegation. If any of these people do have a conflict of interest, where possible, a fair and competent person will act as a replacement. The determination of a suitable replacement will be at the discretion of the CSHL General Counsel. If the individual believes that the Responsible Director may be involved in the wrongdoing or has a conflict of interest, he or she should inform the President, who will then take on the responsibility otherwise assigned to the Responsible Director under this policy. If the President is involved in the wrongdoing or has a conflict of interest that cannot be overcome, then the President's responsibilities will be assumed by the CSHL Board of Trustees.

The Responsible Director maintains the primary responsibility for implementing this policy and carrying out all proceedings having to do with Allegations of Research Misconduct. The ultimate decision concerning the Allegations of Research Misconduct will be made by the President.

SECTION 2: CONFIDENTIALITY, COOPERATION, RETALIATION AND OBSTRUCTION

2.1 CONFIDENTIALITY

Any inquiry into or investigation of alleged Research Misconduct could potentially damage the reputations of the Respondent(s) and the Complainant(s). Therefore, CSHL will

take great care in protecting the Respondent(s) and Complainant(s) from a wrong accusation until all of the proceedings are completed and decisions finalized by limiting voluntary disclosure of information about an Allegation of Research Misconduct. The Responsible Director shall, to the extent possible, limit the disclosure of the identity of the Respondent(s) and Complainant(s) to those within and outside CSHL who have a need to know the information, consistent with a thorough, competent, objective, and fair Research Misconduct proceeding. The same consideration will be extended to witnesses when the circumstances indicate that the witnesses may be harassed or otherwise need their identity protected. Except as otherwise prescribed by law, the Responsible Director shall limit the disclosure of any records or evidence from which research subjects might be identified to those who need to know in order to carry out the Research Misconduct proceeding.

Notwithstanding the foregoing, the Responsible Director may, at his or her discretion and at any time, report in writing the progress and/or the results of any proceeding to the Complainant(s) and any other appropriate persons. Other appropriate persons may include, but are not limited to: (1) co-authors, co-investigators, or collaborators; (2) editors of journals in which work was published or to which work was submitted; (3) professional societies; (4) state professional licensing boards; and (5) other institutions with which the Respondent is or has been affiliated. Any written report provided pursuant to this paragraph will also be provided to the Respondent(s).

2.2 COOPERATION

All Institutional Members of CSHL, and all those who were Institutional Members of CSHL during the time period the alleged misconduct occurred, are expected to fully cooperate with the proceedings. If another institution is taking the lead on an inquiry or investigation that involves an Institutional Member of CSHL, CSHL Institutional Members are expected to cooperate with those proceedings to the best of their ability as well. Cooperation includes, but is not limited to, providing information, Research Records, or other evidence.

2.3 RETALIATION PROHIBITED

Any retaliation against a Complainant who has made an Allegation in Good Faith, or against a person who in Good Faith provides information about the alleged Research Misconduct, will not be tolerated. CSHL will take reasonable and practical steps to protect the positions and reputations of Complainants who have acted in Good Faith and protect them from false accusation or retaliation by Respondents and others within CSHL.

2.4 OBSTRUCTION OF PROCEEDINGS

Any obstruction of any proceedings, or of proceedings of another institution leading the investigation into alleged Research Misconduct involving a CSHL Institutional Member, is a violation of this policy, and may in itself constitute Research Misconduct and result in sanctions or loss of employment. Obstruction includes, but is not limited to, intentionally withholding or destroying evidence in violation of a duty to disclose or preserve information; falsifying evidence; encouraging, soliciting, or giving false testimony; or attempting to intimidate witnesses, potential witnesses, or potential leads to witnesses or evidence.

SECTION 3: REPORTING MISCONDUCT, INSUBSTANTIAL REPORTS, NOTICE TO RESPONDENT, AND PRESERVING RECORDS

3.1 REPORTING POSSIBLE MISCONDUCT

All Institutional Members should report observed, suspected, or apparent Research Misconduct to the Responsible Director. If an individual is unsure whether a suspected incident falls within the definition of Research Misconduct, he or she may meet with or contact the Responsible Director to discuss the suspected Research Misconduct informally, which may include discussing it anonymously and/or hypothetically.

If the individual thinks the President is involved in the wrongdoing, he or she should inform the Responsible Director, who will then take on the responsibility otherwise assigned to the President. If the individual thinks the Responsible Director is involved in the wrongdoing, he or she should inform the President, who will then take on the responsibility otherwise assigned to the Responsible Director. If the individual believes that both the President and the Responsible Director are both involved in the alleged Research Misconduct, then he or she should inform the Chief Operating Officer, who will perform the initial assessment of Allegations as described in Section 3.2 and, if the Allegation meets the requirements of Section 3.2, who will then inform CSHL's Board of Trustees, who will then handle the case. To the extent practicable, the Responsible Director will deal with Allegations from parties outside CSHL under this policy.

3.2 ASSESSMENT OF ALLEGATIONS

Once an Allegation of Research Misconduct has been made, the Responsible Director will immediately assess the Allegation to determine whether: (1) it is sufficiently credible and specific, (2) whether the Allegation falls within the definition of Research Misconduct, and (3) whether it falls within the jurisdictional criteria of 42 CFR Part 93.102(b). As long as the first two criteria are met, an inquiry headed by the Responsible Director must be conducted. If the circumstances described by the individual do not meet the definition of Research Misconduct, the Responsible Director will refer the individual or Allegation to the official with responsibility for resolving the problem.

3.3 INSUBSTANTIAL, UNFOUNDED, OR FALSE REPORTS OF ALLEGED RESEARCH MISCONDUCT

If the Responsible Director, upon reasonable inquiry, determines a report of alleged Research Misconduct is insubstantial or trivial, or has no reasonable foundation, no further action need be taken under this policy. All of the parties involved must be notified about the Responsible Director's conclusion.

It is a violation of this policy for a person to knowingly, recklessly, or in bad faith bring a false Allegation of Research Misconduct against another person. The bringing of a false Allegation, if carried out knowingly, recklessly, or in bad faith, is considered a violation of this policy and may result in disciplinary action, up to and including termination of status.

3.4 NOTIFICATION OF THE RESPONDENT

If the Allegation is determined to warrant an inquiry, the Responsible Director must promptly notify the Respondent, in writing. If the inquiry subsequently identifies additional Respondents, the Responsible Director must notify them, in writing, as well. The notice should include sufficient information about the Allegation to allow the Respondent(s) to prepare to respond.

The Respondent(s) may submit one or more written responses to the Allegation to the appropriate individual(s) prior to or during any proceeding under this policy. Any written responses will become part of the permanent record for that proceeding.

3.5 RESPONDENT'S PARTICIPATION IN PROCEEDINGS

The Respondent is required to participate in all proceedings under this policy. During any interview related to any proceedings, the Respondent may be accompanied by an advisor, who can be a CSHL faculty member or employee, or an outside scientist. The Respondent may consult with the advisor or counsel during the interview, but these people may not direct questions or answers, offer arguments, or directly participate in the proceedings unless asked to by the Responsible Director.

3.6 PRESERVING RECORDS

Before or on the date the Respondent is notified of the Allegation, the Responsible Director must take all reasonable and practicable steps to obtain custody of, inventory, and sequester in a secure manner, all of the research records and evidence needed to conduct the Research Misconduct proceedings. The same preservation and maintenance steps must be taken for all additional Research Records or evidence that is discovered during the course of the proceedings. When the Research Records or evidence encompass scientific instruments, including computers, shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments. The Responsible Director may consult with the Office of Research Integrity (ORI) for advice and assistance in this regard if the alleged Research Misconduct involved PHS Support. The Responsible Director must, where appropriate, give the Respondent copies of, or reasonable supervised access to, all the records obtained for the proceedings.

Where the Research Misconduct Allegations involve PHS Support and fall under the provision of 42 CFR 93.102, all qualifying records of the Research Misconduct proceeding under 42 CFR 93.317 must be maintained in accordance with the requirements of that provision.

SECTION 4: CONDUCTING THE INQUIRY PROCEEDINGS (HEARING # 1)

4.1 INITIATION OF THE INQUIRY PROCEEDINGS

If the Responsible Director determines that the requirements for an inquiry are met, he or she will immediately initiate the inquiry process. The purpose of the inquiry is to conduct an initial review of the evidence to determine whether to conduct an investigation. The Responsible Director will designate two or more individuals to form a CSHL Research

Misconduct Ad-Hoc Committee to conduct the inquiry and appoint a Committee Chair. All members of the Ad-Hoc Committee must be CSHL employees. No member of the Ad-Hoc Committee may have any unresolved personal, professional, or financial conflict of interest with those involved with the inquiry and all scientific members of the Ad-Hoc Committee must have the appropriate scientific expertise to evaluate the evidence and issues related to the Allegation, interview the principals and key witnesses, and conduct the inquiry. The Responsible Director will not take part in the inquiry conducted by the Ad-Hoc Committee.

4.2 INQUIRY PROCEEDINGS

At the first meeting, the Responsible Director will review the Allegation and discuss all issues and procedures related to the inquiry with the Ad-Hoc Committee. The Ad-Hoc Committee shall conduct the inquiry proceedings. They should review all the evidence that was collected by the Responsible Director, as well as any additional relevant information. The Ad-Hoc Committee should interview the Complainant(s) and the Respondent(s). They may also interview any witnesses, or any other people who the Committee finds may have relevant information that may impact the investigation.

The Responsible Director should be immediately informed if the Ad-Hoc Committee finds evidence of a possible criminal offense; any immediate health hazards; an immediate need to protect human or animal research subjects, CSHL funds or equipment, or the Complainant or the Respondent; or a likelihood that the allegation will be reported or disclosed publicly. Safety to CSHL and its staff is of the highest priority. The Responsible Director may take such actions as he or she determines are necessary to address any of these circumstances.

4.3 PERIOD FOR COMPLETION

The inquiry, including preparation of the final inquiry report and the decision of the President on whether an investigation is warranted, must be completed within 60 calendar days of initiation of the inquiry, unless the Responsible Director determines that circumstances clearly warrant a longer period. If the Responsible Director approves the extension, the inquiry record must include documentation of the reasons for exceeding the 60-day period and the Respondent(s) must be notified of the extension.

4.4 AD-HOC COMMITTEE WRITTEN REPORT

After completing the inquiry proceedings, the Ad-Hoc Committee shall promptly submit to the Responsible Director a written report conveying their findings and conclusions. This inquiry report must include enough information to permit further assessment of the reasons for reaching the conclusion made. The report must: (a) provide the name and position of the Respondent(s); (b) describe the Allegations of Research Misconduct; (c) describe the process used by the Ad-Hoc Committee to conduct the inquiry; (d) state what evidence was used for the inquiry; (e) summarize relevant interviews; (f) include the conclusion of the Ad-Hoc Committee; and (g) if the Research Misconduct falls under the jurisdiction of 42 CFR Part 93, list the PHS Support, including, for example, grant numbers, grant applications, contracts, and publications listing PHS Support.

The conclusion of the Ad-Hoc Committee shall be either (1) that there are no Reasonable Grounds for believing that Research Misconduct occurred and no further investigation is warranted, or (2) that there are Reasonable Grounds for believing that Research Misconduct occurred and further investigation is warranted. An investigation is warranted if there is a reasonable basis for concluding that the Allegation falls within the definition of Research Misconduct under this policy and preliminary information-gathering and preliminary fact-finding from the inquiry indicates that the Allegation may have substance.

Institutional counsel should review the report for legal sufficiency. Modifications should be made as appropriate in consultation with the Responsible Director and the Ad-Hoc Committee.

4.5 OPPORTUNITY TO COMMENT

The Responsible Director shall notify the Respondent(s), in writing, as to whether the inquiry found an investigation to be warranted, provide the Respondent(s) with a copy of this policy and a copy of the draft report for comment and rebuttal, and provide the Complainant(s) with portions of the draft report that relate to the Complainant's role and testimony in the inquiry. If the Research Misconduct falls under the jurisdiction of 42 CFR Part 93, the Respondent(s) shall be given a copy of 42 CFR Part 93.

A confidentiality agreement is required for access to the report. The Respondent(s) and Complainant(s) will have 10 calendar days to provide their comments, if any, to the Ad-Hoc Committee. Any comments submitted will become part of the final inquiry report and record. Based on the comments, the Ad-Hoc Committee may revise the draft report as appropriate.

4.6 IF MISCONDUCT IS ADMITTED

If a legally sufficient admission of Research Misconduct is made by the Respondent, Research Misconduct can be determined at the inquiry stage if all relevant issues are resolved. In that case, all further proceedings may be cancelled by the Responsible Director and the Responsible Director and President may determine appropriate sanctions for the Respondent. Sanctions may include a letter of reprimand, retraction or correction of publications, special monitoring of future research, probation, suspension from employment and/or termination of employment. If the Research Misconduct falls within the jurisdiction of 42 CFR Part 93, the Laboratory shall promptly consult with ORI to determine the next steps that should be taken.

4.7 INQUIRY DECISION

The Responsible Director will provide the final written report, and any comments, to the President, who will make the determination, in writing, as to whether the findings of the Ad-Hoc Committee provide sufficient evidence of possible Research Misconduct to justify conducting an investigation or if further inquiry is required.

If the President determines an investigation is warranted, and the alleged Research Misconduct falls under the jurisdiction of 42 CFR Part 93, the Responsible Director shall provide ORI with the President's written decision and a copy of the inquiry report within 30 calendar days of the President's decision.

4.7.1 DECISION THAT AN INVESTIGATION IS NOT WARRANTED

If, after reviewing the written report and other evidence, the President concludes that there are no Reasonable Grounds to believe that Research Misconduct has occurred, and that no additional investigation is necessary, then the President may dismiss the entire matter. If the matter is dismissed, then the Responsible Director shall take appropriate steps to restore and protect the Respondent's reputation. The President, in consultation with others as necessary, should also decide what actions, if any, they should take against any Institutional Member who is found to have knowingly or recklessly brought a false accusation of Research Misconduct.

If the alleged Research Misconduct falls under the jurisdiction of 42 CFR Part 43, the Responsible Officer shall secure and maintain for seven years after the termination of the inquiry sufficiently detailed documentation of the inquiry to permit later assessment by ORI of the reasons why an investigation was not conducted.

4.7.2 DECISION THAT AN INVESTIGATION IS WARRANTED

If, after reviewing the written report and other evidence, the President reasonably determines there is a reasonable basis for believing that Research Misconduct occurred and an additional investigation is needed, the President will direct the Responsible Director to designate an Investigation Panel of at least three individuals to conduct an investigation based on the inquiry conducted by the Ad-Hoc Committee. CSHL's legal staff may assist with the investigation. The Responsible Director will not participate in this investigation.

If the alleged Research Misconduct falls under the jurisdiction of 42 CFR Part 93, the Responsible Director will provide ORI with the written finding and a copy of the inquiry report within 30 calendar days of finding that an investigation is warranted.

4.8 NOTIFICATION OF THE INVESTIGATION TO THE RESPONDENT AND THE COMPLAINANT

On or before the date on which the investigation begins, the Responsible Director must notify the Respondent and Complainant in writing that an investigation was found to be warranted. At the same time, the Respondent must also be provided written notice of the Allegations, a copy of the inquiry report, this policy, and if PHS Support is involved, a copy of 42 CFR Part 93. The Responsible Director shall provide the Respondent with written notice of any new Allegations of Research Misconduct within a reasonable amount of time after deciding to pursue Allegations not addressed during the inquiry or in the initial notice of investigation. The Respondent and Complainant will be informed of the membership of the Investigation Panel within 10 calendar days of the appointment. If the Respondent or Claimant believes that a panel member has a conflict of interest, a written objection should be provided to the Responsible Director within 10 days of receiving notice. The Responsible Director will take the objection into consideration and make a final determination as to whether a conflict exists.

Prior to notifying the Respondent, the Responsible Director will take all reasonable and practicable steps to obtain custody of, and sequester in a secure manner, all Research Records and evidence needed to conduct the Research Misconduct investigation that were not previously sequestered during the inquiry. The records shall be sequestered following the same procedures that apply during the inquiry.

SECTION 5: CONDUCTING THE INVESTIGATION PANEL (HEARING #2)

5.1 INITIATION OF THE INVESTIGATION PANEL

The investigation must begin within 30 calendar days after determining that an investigation is warranted. The Investigation Panel will thoroughly evaluate the relevant facts and examine the evidence in depth to determine if Research Misconduct occurred, by whom, and to what extent. The investigation should determine whether there are additional instances of possible Research Misconduct that would justify broadening the scope beyond the initial Allegations. The Investigation Panel shall interview each Complainant and Respondent, as well as any other available person who might have additional information related to key aspects of the Allegation, including witnesses identified by the Respondent, and record or transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript in the record of the investigation.

The Investigation Panel should provide the Respondent with the opportunity to submit evidence and suggest witnesses. The Respondent is required to provide information to the Investigation Panel as requested. The Investigation Panel is not bound by the conclusions of the inquiry conducted by the Ad-Hoc Committee. To the extent it is possible, confidentiality shall be maintained throughout the Investigation Panel's investigation to protect the professional reputations of the individuals involved, including the source of the Allegation.

During the course of the investigation, any party may obtain the assistance of counsel. It will remain the obligation of all involved individuals to appear personally and to participate directly in the investigation. Throughout the investigation, the individual and any collaborator or supervisor whose role in the alleged misconduct is being questioned, shall be advised of the progress of the investigation and afforded the opportunity to respond and to provide additional information. The Chairperson of the Investigation Panel shall keep the President and Responsible Director informed of the progress of the investigation.

If PHS Support is involved, ORI will be promptly advised of any developments during the course of the investigation which disclose facts that may affect the current or potential Department of Health and Human Services funding for individual(s) under investigation or that PHS needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.

The Responsible Director should be immediately informed if the Investigation Panel finds evidence or discovers any immediate health hazard or need to protect human and animal research subjects, equipment, the Complainant or the Respondent, or any evidence of a possible criminal violation. The safety of CSHL and its Institutional Members is of the highest priority. The Responsible Director may take such actions as he or she determines are necessary to address any of these circumstances.

5.2 APPOINTMENT OF THE INVESTIGATION PANEL

The Responsible Director, in consultation with other institutional officials as appropriate, will appoint at least three individuals to the Investigation Panel and designate one member of the Investigation Panel as Chairperson. The Investigation Panel must consist of individuals

who do not have unresolved personal, professional, or financial conflicts of interest with those involved with the inquiry or investigation and should include individuals with the appropriate scientific expertise to evaluate the evidence and issues related to the Allegation, interview the Respondent and Complainant and conduct the investigation. Some, but not all, individuals appointed to the Investigation Panel may also have served on the Ad-Hoc Committee.

The Investigation Panel should include at least one non-CSHL employee. The designated individuals can include past or present members of CSHL's Board of Trustees, Scientific Advisory Council, or outside affiliates who help advise CSHL. These individuals may be scientists, administrators, subject matter experts, lawyers, or other qualified persons. Members of the Investigation Panel will be required to sign conflict of interest and confidentiality statements prior to serving on the Investigation Panel. If CSHL is not able to put together an appropriate Investigation Panel, it will turn to ORI or the funding agency for additional guidance.

CSHL's Chief Operating Officer and legal staff may assist the Investigation Panel, but they will participate in the investigation as non-voting members.

5.3 FIRST MEETING

At the first meeting, the Responsible Director will review the inquiry report and discuss the procedures and standards for the conduct of the investigation, including the necessity for confidentiality and for developing a specific investigation plan. The Investigation Panel will be given a copy of this policy and, if PHS funding is involved, a copy of 42 CFR Part 93. The Responsible Director will be available throughout the investigation to advise the Investigation Panel as needed.

5.4 TIME FOR COMPLETION

The investigation is to be completed within 120 days of beginning it, including conducting the investigation, preparing the report of findings, providing the draft report for comment, and sending the final report to ORI if PHS Support is involved. However, if the Responsible Director determines that the investigation will not be completed within this 120-day period, and PHS Support is involved, he or she will submit to ORI a written request for an extension, setting forth the reasons for the delay. The Responsible Director will ensure that periodic progress reports are filed with ORI, if ORI grants the request for an extension and directs the filing of such reports.

5.5 INVESTIGATION PANEL WRITTEN REPORT

Within approximately 80 days of the initiation of the investigation, the Investigation Panel shall produce a draft investigation report, unless an extension has been permitted. If PHS Support is involved, the extension must be requested by the Responsible Director and granted by ORI. This report will: (1) describe the nature of the Allegations of Research Misconduct; (2) include a specific description of the Allegations of Research Misconduct charged to the Respondent; (3) list the policies and procedures under which the investigation was conducted, (4) identify and summarize the Research Records and evidence reviewed, and identify any evidence taken into custody but not reviewed; and (5) if the Research Misconduct

falls under the jurisdiction of 42 CFR Part 93, list the PHS Support, including, for example, grant numbers, grant applications, contracts and publications listing PHS Support.

In addition, the report should include a statement of findings for each separate Allegation of Research Misconduct identified during the investigation, which provides a finding as to whether Research Misconduct did or did not occur, and if finding it did occur: (a) identifies whether the Research Misconduct was Falsification, Fabrication, or Plagiarism, and if it was intentional, knowing, or in reckless disregard; (b) summarizes the facts and the analysis which support the conclusion and consider the merits of any reasonable explanation by the Respondent, including any effort by Respondent to establish by a Preponderance of Evidence that he or she did not engage in Research Misconduct because of honest error or a difference of opinion; (c) identifies whether any publications need correction or retraction; (d) identifies the person(s) responsible for the Research Misconduct; and (e) if the Research Misconduct falls under the jurisdiction of 42 CFR Part 93, identifies the specific PHS Support and lists any current support or known applications or proposals for support that the respondent has pending with non-PHS Federal agencies.

Institutional counsel should review the report for legal sufficiency. Modifications should be made as appropriate in consultation with the Responsible Director and the Investigation Panel.

5.6 OPPORTUNITY TO COMMENT

The Responsible Director shall give the Respondent a copy of the draft investigation report for comment and, concurrently, a copy of, or supervised access to the evidence on which the report is based. The Responsible Director shall give the Complainant a copy of the portions of the draft report that relate to the Complainant's role and testimony in the investigation. The Respondent and Complainant will be allowed 30 calendar days from the date he or she received the draft report to submit comments to the Responsible Director.

A confidentiality agreement is required for access to the report. Any comments submitted will become part of the final investigation report and record. The findings of the final report should include and take into account the comments submitted.

5.7 DECISION BY THE PRESIDENT

The Investigation Panel's final written report will be kept confidential, with the President, the Responsible Director, and the Chairman of the Board of Trustees having sole authority to release its contents to any other party. The Responsible Director will assist the Investigation Panel in finalizing the draft investigation report, including ensuring that the Respondent's and Complainant's comments are included and considered, and transmit the final investigation report to the President, who will determine in writing: (1) whether the Laboratory accepts the investigation report, its findings, and the recommended institutional actions; and (2) the appropriate institutional actions in response to the accepted findings of Research Misconduct. If this determination varies from the findings of the Investigation Panel, the President will, as part of his or her written determination, explain in detail the basis for rendering a decision different from the findings of the Investigation Panel. Alternatively, the President may return the report to the Investigation Panel with a request for further fact-finding or analysis. If the Research Misconduct involved PHS Support, the President's determination, together with the

Investigation Panel's report, constitutes the final investigation report for purposes of ORI review.

When a final decision has been reached, the Responsible Director will provide written notification to both the Respondent and the Complainant. If PHS Support was involved, the Responsible Director shall give ORI notice of the Laboratory's findings and actions. This notice will include: (a) a copy of the investigation report, including all attachments; (b) a statement as to whether the Laboratory found Research Misconduct, and if so, who committed the misconduct; (c) a statement as to whether the Laboratory accepts the investigation's findings; and (d) a description of any pending or completed administrative actions against the Respondent. This notification to ORI must occur within the 120 day period for completing the investigation, unless an extension has been granted by ORI.

After notifying the above parties, the President will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the Respondent in the work, or other relevant parties should be notified of the outcome of the case. The Responsible Director is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

5.8 DECISION TO DISMISS

If the alleged Research Misconduct is not substantiated by a thorough investigation, all reasonable and practical efforts, if appropriate, should be undertaken to protect and restore the reputation of the persons alleged to have engaged in Research Misconduct but against whom no finding of Research Misconduct is made. All involved individuals should be encouraged to make every effort to resolve their differences. So long as the Allegations were found to be in Good Faith, the individual making the Allegations should be protected from any future discrimination. On the other hand, appropriate action should be taken against any parties whose involvement in leveling unfounded charges was demonstrated to have been malicious or intentionally dishonest.

5.9 REPORTING PREMATURE CLOSURES TO ORI

Generally, all inquiries and investigations will be carried through to completion and all significant issues will be pursued diligently. If PHS Support is involved, the Responsible Director must notify ORI in advance if there are plans to close a case at the inquiry or investigation stage on the basis that the Respondent has admitted guilt, a settlement with the Respondent has been reached, or for any other reason, except: (1) closing of a case at the inquiry stage on the basis that an investigation is not warranted; or (2) a finding of no Research Misconduct at the investigation stage, which must be reported to ORI, as prescribed in this policy and 42 CFR § 93.315.

SECTION 6: CONCLUSION OF INVESTIGATION AND SANCTIONS

6.1 ADMINISTRATIVE ACTIONS AND SANCTIONS

The written investigation report and any statements written by the Respondent or Complainant should be submitted by the Responsible Director to the President, who will review

the report and render a decision as to whether any sanctions are warranted, and if so, what the sanctions should be. Administrative actions may include the following:

- Removal from the particular research project.
- Institutions and sponsoring agencies with whom the individual was affiliated shall be notified of the Investigation Panel's findings and the sanctions placed upon the Respondent.
- In cases involving sponsored research funding, the awarding agency shall be notified in accordance with the requirements of statutes, regulations, and the policies and procedures of that agency.
- Retraction or correction of publications.
- All pending abstracts and papers emanating from the fraudulent research shall be withdrawn and editors of journals in which previous abstracts and papers appeared shall be notified.
- Special monitoring of future work.
- Restitution of funds to the grantor agency as appropriate.
- A formal letter of reprimand on file.
- Probationary period of employment.
- Suspension from employment without pay.
- Termination of employment or other relationship with the Laboratory.
- Termination of employment with restitution.
- Termination of employment with referral to civil authorities.

6.2 NOTIFICATION TO THE RESPONDENT AND COMPLAINANT

The Responsible Director will promptly provide the Respondent and the Complainant with written notice of the investigation's results and any sanctions to be imposed on the Respondent.

6.3 DECISION TO DISMISS

If the alleged Research Misconduct is not substantiated through the investigation, the Director of Research will dismiss the matter. If the matter is dismissed, CSHL should take care to help restore the reputation of the Respondent and others under investigation. All involved individuals should be encouraged to make every effort to resolve their differences. So long as the Allegations were found to be in Good Faith, the individual making the Allegations should be protected from any future discrimination. On the other hand, appropriate action should be taken against any parties whose involvement in leveling unfounded charges was demonstrated to have been malicious or intentionally dishonest.

6.4 NOTIFICATION TO CSHL BOARD OF TRUSTEES

The CSHL Board of Trustees should be notified of the final outcome of the investigation and the sanctions placed upon the Respondent.

6.5 MAINTENANCE OF RECORDS

If PHS Support is involved, the Responsible Director must maintain, and provide to ORI upon request, records of the Research Misconduct proceedings, as defined by 42 CFR §

93.317. Unless custody has been transferred to HHS or ORI has advised in writing that the records no longer need to be retained, records of the Research Misconduct proceedings must be maintained in a secure manner for seven years after completion of the proceeding or the completion of any PHS proceeding involving the Research Misconduct Allegation. The Responsible Director is also responsible for providing any information, documentation, Research Records, evidence or clarification requested by ORI to carry out its review of an Allegation of Research Misconduct or of the Laboratory's handling of such an Allegation.

SECTION 7: DIGITAL MISCONDUCT

7.1 DIGITAL IMAGES

According to the Council of Science Editors, "The revolution in electronic communications has meant that many journals now have completely electronic workflows. The ease of image manipulation in powerful applications like Photoshop makes it tempting for authors to adjust or modify digital images. With simple forensic techniques, manipulations can be revealed that would not have been visible on a printout." Any manipulations found at CSHL will be considered fraud under this policy. An Allegation of Research Misconduct could be warranted under this policy.

The digital images guidelines are as follows:

- No specific feature within an image may be enhanced, obscured, moved, removed, or introduced.
- Adjustments of brightness, contrast, or color balance are acceptable if they are applied to the whole image and control(s) and as long as they do not obscure, eliminate, or misrepresent any information present in the original.
- The grouping of images from different parts of the same gel, or from different gels, fields, or exposures must be made explicit by the arrangement of the figure (e.g., dividing lines) and in the text of the figure legend.

ACKNOWLEDGEMENT

RESEARCH MISCONDUCT POLICY

I _____(Print Name) have received a copy of and will promptly read and familiarize myself with and comply with the CSHL policies on scientific misconduct.

_____

Signature Date

Individual Development Plans and Post-Graduate Plans

Two mechanisms are in place to help students develop plans for their postgraduate careers in a timely and informed manner. Such pre-planning is critical to maintain momentum moving forward, and equally so whether students intend to do a postdoc or pursue another career.

1. Starting in the second year and once per year thereafter, all students are required to complete an individual development plan (IDP). The goal of this requirement is to help students focus their career goals and establish the necessary steps to reach these goals. Moreover, the NIH strongly urges students to develop their own IDPs. Students should use the "myIDP" exercises and analysis provided by AAAS (myidp.sciencecareers.org) to assess their skills, interests, and values and define the careers that best fit these parameters. This exercise takes about 15 minutes. Following from the IDP, students should discuss their career goals and career development plans with either their academic mentor; a member of their thesis committee (once established); or the Dean, Associate Dean, or Director of Academic Programs. This discussion should include concrete career development steps the student will take in the coming year, distinct from their thesis research. At each Spring/Summer thesis committee meeting, the student must report to the committee that this discussion has taken place. The committee will indicate on the thesis committee meeting form that the student has completed and discussed the IDP, providing a permanent record of such. Students are not required to share their IDPs.

2. IDPs complement the existing requirement that all students must provide a written description of their postgraduate plans at the start of their fourth year. The postgraduate plans are provided to the members of the thesis committee and should be discussed at the student's Fall/Winter thesis committee meeting. These plans define precisely what the student intends to do upon graduation, with a view to their long-term career goals. The description should also indicate how the student's experience and skill set prepare them for this career. If a student is considering multiple options (for instance, postdoc in academia or job in biotech/industry) they should have defined plans for both paths (for instance, specific research area, labs, and companies). The postgraduate plan should also include a timeline from the present until graduation, describing when the student will contact future advisors/employers and other relevant deadlines, such as submission of fellowship proposals or applications for advanced degree programs. Students should appreciate that early applications are viewed favorably by potential postdoc supervisors and employers, as it demonstrates genuine interest and motivation. Students intending to pursue postdoc positions in competitive academic labs should keep in mind that it can take more than a year to arrange such a position.

In addition to the formal postgraduate plan submitted at the start of the fourth year, students will update their thesis committee on progress at each committee meeting thereafter. At the meeting, students should report precisely whom they have contacted regarding postgraduate positions and the outcome of those communications. This is true for students pursuing academic research careers as well as those interested in research outside of academia or non-research careers. Students must also continue their IDP analyses and discussions on an annual basis and confirm these with the committee.

Cold Spring Harbor Laboratory
SCHOOL OF BIOLOGICAL SCIENCES

Students' Bill of Rights

Cold Spring Harbor Laboratory is committed to providing options, support, and assistance to victims of sexual assault, domestic violence, dating violence, and/or stalking to ensure that they can continue to participate in Laboratory programs, activities, and employment. All victims of these crimes and violations, regardless of race, color, national origin, religion, creed, age, disability, sex, gender identity or expression, sexual orientation, familial status, pregnancy, predisposing genetic characteristics, military status, domestic violence victim status, or criminal conviction, have the following rights, regardless of whether the crime or violation occurs on campus, off campus, or while studying abroad.

All students have the right to:

1. Make a report to local law enforcement and/or state police;

2. Have disclosures of domestic violence, dating violence, stalking, and sexual assault treated seriously;

3. Make a decision about whether or not to disclose a crime or violation and participate in the judicial or conduct process and/or criminal justice process free from pressure by CSHL;

4. Participate in a process that is fair, impartial, and provides adequate notice and a meaningful opportunity to be heard;

5. Be treated with dignity and to receive from CSHL courteous, fair, and respectful health care and counseling services, where available;

6. Be free from any suggestion that the reporting individual is at fault when these crimes and violations are committed, or should have acted in a different manner to avoid such crimes or violations;

7. Describe the incident to as few CSHL representatives as practicable and not be required to unnecessarily repeat a description of the incident;

8. Be protected from retaliation by CSHL, any student, the accused and/or the respondent, and/or their friends, family and acquaintances within the jurisdiction of CSHL;

9. Access to at least one level of appeal of a determination;

10. Be accompanied by an advisor of choice who may assist and advise a reporting individual, accused, or respondent throughout the judicial or conduct process including during all meetings and hearings related to such process; and

11. Exercise civil rights and practice of religion without interference by the investigative, criminal justice, or judicial or conduct process of CSHL.

To file a complaint contact Katherine Raftery (Vice President of Human Resources and Title IX Coordinator) at raftery@cshl.edu or (516) 367-8499.To file a complaint involving the individual listed above, contact the Chief Operating Officer, Dill Ayres at ayres@cshl.edu or (516) 367-5200.

Cold Spring Harbor Laboratory
SCHOOL OF BIOLOGICAL SCIENCES

Transcript Notation Policy

A record of disciplinary action shall be placed on a student's academic transcript in the following cases:

1. A student is expelled or suspended from the School of Biological Sciences (this includes but is not limited to cases in which a student is found responsible for an act of violence). A notation will be placed which states, "suspended after a finding of responsibility for a code of conduct violation" or "expelled after a finding of responsibility for a code of conduct violation". Further, if a Respondent withdraws from the School while conduct charges are pending and fails to complete the disciplinary process, a notation will be placed which states, "withdrew with conduct charges pending"

2. An academic dishonesty determination

Removal of Transcript Notations

Notations for expulsions shall not be removed. Students may request removals of other notations by petitioning the Dean of the School. This request must be in writing and include the rationale for the request. The Dean, or his or her designee, will review the request and provide a written response within 45 days from the date the request was received.

Cold Spring Harbor Laboratory

COLD SPRING HARBOR LABORATORY

WHISTLEBLOWER POLICY

1.0 PURPOSE

To outline reporting procedures and protections available to directors, trustees, officers, employees, students and volunteers who seek to or actually report activities reasonably considered illegal, fraudulent or dishonest occurring in the workplace.

2.0 SCOPE

This policy applies to all directors, trustees, officers, employees, students and volunteers of Cold Spring Harbor Laboratory (the "Laboratory").

3.0 Policy

3.1 Definition. A whistleblower as defined by this policy is a director, trustee, officer, employee, student or volunteer of the Laboratory who reports an activity that he/she reasonably considers to be illegal, fraudulent, dishonest or in violation of an adopted policy of the Laboratory, to one or more of the parties specified in this policy. The whistleblower is not responsible for investigating the activity or for determining fault or corrective measures; appropriate management officials are charged with these responsibilities.

Examples of illegal, fraudulent or dishonest activities, or activities in violation of the Laboratory's adopted policies, include but are not limited to violations of federal, state or local laws; billing or assisting in billing the Laboratory for services not performed or for goods not delivered; misuse or misappropriation of grant or other Laboratory funds; and other fraudulent financial reporting.

3.2 Reporting. If a director, trustee, officer, employee, student or volunteer of the Laboratory has knowledge of or suspects illegal, fraudulent or dishonest activity, or activity that violates any of the Laboratory's adopted policies, he/she must contact his/her immediate supervisor, the Chief Operating Officer or the General Counsel of the Laboratory, or make an anonymous report to the Whistleblower Hotline (1-844-390-9805 or www.cshl.ethicspoint.com). The director, trustee, officer, employee, student or volunteer must exercise sound judgment to avoid baseless allegations. It is the responsibility of the Chief Operating Officer or General Counsel to notify the Audit Committee.

The Laboratory encourages anyone reporting an illegal, fraudulent or dishonest activity to provide their identity when making the report in order to facilitate an investigation. However, anonymous reports may be made to the Whistleblower Hotline.

3.3 Protections. Wherever possible, the confidentiality of the whistleblower will be maintained. However, the identity of the whistleblower may have to be disclosed to conduct a thorough investigation, to comply with the law or to provide accused individuals an opportunity to defend themselves. The Laboratory strictly prohibits intimidation, harassment, discrimination, retaliation or adverse employment consequences against anyone who, based on a reasonable belief, makes a report pursuant to this policy or who participates in the investigation of a complaint pursuant to this policy. Any whistleblower who believes that he/she is being retaliated against must immediately contact and report such retaliation to his/her immediate supervisor, the Chief Operating Officer or the General Counsel of the Laboratory. The right of a whistleblower for protection against retaliation does not include immunity for any personal wrongdoing that is alleged and investigated.

The Chief Operating Officer and the General Counsel will promptly investigate all reports of illegal, fraudulent or dishonest activities.

4.0 DISTRIBUTION

A copy of this policy will be distributed to all directors, trustees, officers, employees and students of the Laboratory and to all volunteers who provide substantial services to the Laboratory.

5.0 RECORDS

All records relating to any reported concern and to the investigation and resolution thereof will be retained on a strictly confidential basis for a period of seven years (or otherwise as required under the Laboratory's record retention policies in effect from time to time). All such records are confidential to the Laboratory and such records will be considered privileged and confidential.

Like all other policies of the Laboratory, this policy is not to be considered an employment contract or a guarantee of any kind. The Laboratory reserves the right to interpret, revise, supplement or rescind policies, as it deems appropriate.

Cold Spring Harbor Laboratory

Cold Spring Harbor Laboratory

Student Code of Conduct

1) Introduction and Statement of Purpose

The following Policy is adopted in compliance with Section 6430 of the New York Education Law and shall be filed with the Commissioner of Education and the Board of Regents as required by statute. This Policy is subject to amendment and/or revision.

Cold Spring Harbor Laboratory ("CSHL" or "Laboratory") is proud of its work and academic environment and strives to maintain a professional, collegial, and academic environment for employees, students, guests, and visitors, all of whom are expected to treat each other with courtesy, consideration, and professionalism. Being a member of the CSHL community is an opportunity, but it is also a privilege. By joining us, a student accepts the responsibility and the obligation to conduct themselves ethically, honestly, and with integrity in a civil and responsible manner in keeping with the highest values of CSHL as an educational institution. Remaining a member of the CSHL community requires, and is conditioned upon, each student continuously complying with the policies contained within this Student Conduct Policy ("Policy') governing academic progress, social interactions, and personal behavior. At CSHL, we are accountable to each other, to the Laboratory, and to ourselves for personal and professional behavior and decisions. By this Policy, CSHL seeks to create a community of scholars that strives for academic excellence, while, at the same time, recognizing and emphasizing mutual respect and responsibility. All students are responsible for their own actions and all are expected to follow, uphold, and respect the policies set forth herein.

2) Application of Rules

This Policy shall apply to all students at CSHL. The Laboratory reserves the right to investigate and resolve any report or incident where a student is alleged to have violated any of the policies set forth herein. This Policy applies to any and all properties owned and/or operated by CSHL. Any additional rules, adopted by the Laboratory, may be included in this policy. The Policy shall apply to all situations involving students affiliated with CSHL and shall govern the behavior of students upon the campus of CSHL and any property under the control of CSHL, including those used in teaching, as residences and for research, administrative, service, cultural, recreational, athletic, and other programs and activities. These policies shall also govern incidents by individuals associated with the Laboratory whose behavior manifests itself on the Internet or through other electronic means.

3) Respect for Others

CSHL is a diverse community—in experience, background, socio-economic status, culture, age, race, politics, religion, ability, gender, and gender expression. The actions of community members should, at all times, show respect for each community member's contributions. CSHL strives to establish and maintain

a culture of tolerance and respect. Principles of free speech and expression are paramount at CSHL. However, members of the community must, at all times, show respect for the rights and dignity of others, regardless of our differences.

4) Compliance with Policy and Notice

CSHL has adopted this Policy, in addition to other policies and procedures, to manage its research, education, business, and other operations. Some of these policies and procedures are proscribed by law and others designed to afford the Laboratory organized and coordinated operations. Members of the CSHL community are expected, and assumed, to have notice of this Policy and are expected to inform themselves of and comply with this Policy as well as the other policies of the Laboratory, each of which are accessible on CSHL's Human Resources webpage (http://intranet.cshl.edu/administration/human-resources/cshl-policy-abstract).

5) Conflicts of Interest and Compliance with All Applicable Laws and Regulations

In all of our dealings, members of the CSHL community should act with fairness, as well as the appearance of fairness, in mind. CSHL is sensitive to situations that could raise questions concerning the potential for, or perceptions of, conflicts of interest between personal interests and the interests of the Laboratory. We should be particularly mindful of circumstances and situations where a conflict exists between a community member's private interests and official responsibilities. CSHL views as equally damaging both conflicts of interest and the perception of a conflict of interest. All members of the CSHL community have a duty to be attentive to these conflicts and community members, who have a duty to report conflicts, must do so in good faith with the interests of the Laboratory's mission, research, and institutional integrity in mind.

The Laboratory exists in a heavily regulated environment. Compliance with applicable laws and regulations is essential to CSHL. Noncompliance carries with it the potential for severe, and potentially extreme, consequences for the Laboratory, monetarily and reputationally. This Policy demands rigorous compliance with all federal, New York state, and local laws and regulations that apply to the Laboratory's performance and responsibilities. All community members have an ongoing duty to remain informed about applicable legal obligations and, when doubt exists, contact a Laboratory representative for clarification.

6) Compliance with Contractual and Grant Obligations

CSHL is committed to its contractual and grant obligations to donors, government agencies, suppliers, and others. When contractual or grant obligations are difficult to interpret or apply, community members are instructed to consult with a Laboratory representative for clarification.

7) Treatment of Laboratory Property and Funds

CSHL community members are keepers of the Laboratory's reputation, and often find themselves as stewards of the Laboratory's property and funds. That stewardship comes with a responsibility to the Laboratory's contributors, including donors, organizations, and federal, state, and local governments. Therefore, at all times, CSHL community members should treat Laboratory property and funds with the utmost care and respect, expending the funds properly, ethically, and responsibly. Laboratory property is to be used for Laboratory purposes only. As a rule, wastefulness should be kept to a minimum or avoided all together.

8) Computer Use Policy

All use of Laboratory computers, computer networks, and ancillary communication equipment requires ethical behavior by all CSHL community members. Nothing in this policy should be construed as creating an expectation of privacy for any member of the CSHL community. Any information transmitted to, received from, or stored via the Laboratory's computers, computer networks, and ancillary communication equipment is considered the Laboratory's sole property, unless otherwise subjected to copyright protection. While respectful of community members' privacy concerns, the Laboratory reserves the right to restrict or deny the use of its computers and or network system in the event of a violation of Laboratory policies, federal, state, or local laws, or standards of conduct appropriate for a member of the CSHL community.

9) Academic Misconduct

The following are considered Academic Misconduct and will be viewed as violations of this Policy and will be subject to discipline:

a) Plagiarism, including any representation of another person's work or ideas as one's own in academic and/or educational submissions;
b) Cheating, including any actual or attempted use or possession of resources prohibited by the instructor or those that a reasonable person would consider inappropriate under the circumstances for academic submissions, and/or any actual or attempted effort to assist another student in cheating;
c) Submitting an academic work for more than one course without express permission;
d) Fabrication, including any falsification or creation of data, research, or resources to support academic conclusions and/or submissions.

10) Violations of this Policy

The following actions constitute violations of this Policy:

a) Alcohol and Drugs

- The CSHL community has a shared responsibility for promoting healthy behavior. The following actions are considered violations of the Policy:
    1. Use or possession of alcohol by individuals under the age of 21;
    2. Providing or distributing alcohol to individuals under the age of 21;
    3. Severe intoxication resulting in disruptive behaviors;
    4. Driving under the influence of alcohol or while intoxicated;
    5. Possession or use of illegal drugs or controlled substances, except as expressly permitted by all levels of legal authority and provided such use and possession is consistent therewith;
    6. Sale, manufacturing, or distribution of illegal drugs or controlled substances or drug paraphernalia;
    7. Driving under the influence of any illegal drug or controlled substance;
    8. Being in the presence of the use of illegal drugs or controlled substances on campus;
    9. Violations of other CSHL drug policies or federal, New York state, and local laws pertaining to illegal drugs and controlled substances.

b) Destruction of Property

- No member of the CSHL community shall willfully damage, deface, vandalize, or destroy property of the institution or any other property to which this Policy applies, nor shall any of the above remove or use such property without authorization.

c) Discrimination and Harassment

- In matters of admissions, employment, housing, services, or in the educational programs or activities that the Laboratory operates, CSHL does not discriminate or harass nor permit discrimination or harassment by any member of its community against any individual on the basis of the following: race, color, national origin, sex, gender, gender identity or expression, sexual orientation, marital status, disability, age, religion, creed, veteran status, genetic information, citizenship status, or any other factors prohibited by law.

d) Firearms

- No member of the CSHL community, other than security officials, shall possess upon any premises to which this Policy applies, any rifle, shotgun, pistol, revolver, or other firearm or weapon without the written authorization of the Chief Operating Officer, whether or not a license to possess the same has been issued to such person.

e) Endangering Self or Others

- No member of the CSHL community shall commit an act of physical abuse of another person or act in a way that endangers, threatens, or is reasonably likely to harm the health, safety, or mental well-being of any such person, including oneself.

f) Failure to Comply

- No member of the CSHL community shall fail to comply with a reasonable request or instruction by a CSHL official or emergency personnel acting in an official capacity.

g) Fire Safety

- No member of the CSHL community shall commit the following: damaging or destroying property by fire or explosives, creating or maintaining a fire hazard, tampering with or misuse of emergency or fire safety equipment, smoking tobacco inside any CSHL facility, failing to immediately exit any CSHL facility when a fire alarm or other emergency notification has been made, and any violation of New York state or local fire and fire-related ordinances.

h) Guests and Visitors

- Knowingly allowing one's visitors or guests to violate this Policy, or failing to monitor the behavior of one's visitors or guests to assure adherence to this Policy, is a violation of this Policy.

i) Hazing

- No member of the CSHL community shall, whether on or off CSHL property, act, intentionally or unintentionally, to produce in another individual, mental, physical, or emotional discomfort; servitude; degradation; embarrassment; harassment; or ridicule, or force consumption of liquor or drugs for the purpose of initiation into, affiliation with, admission to, or as a condition for continued membership in a group, team, or other organization, regardless of an individual's willingness or consent to participate.

j) Inappropriate Behavior

- No member of the CSHL community shall engage in inappropriate, disorderly, or disruptive conduct that is unbecoming of a Laboratory member. Inappropriate behavior includes, but is not limited to:
    1. Yelling, cursing, or causing a disturbance;
    2. Participating in a demonstration or activity that disrupts a normal operation or function of the Laboratory;

3. Obstruction or disruption of teaching, research, administration, or other official Laboratory activities;
4. Leading or inciting others to disrupt scheduled and/or normal activities in the classroom or inside any campus building.

k) Misrepresentation

- No member of the CSHL community shall engage in acts of fraud, misrepresentation, or dishonesty.

l) Sexual Harassment and Misconduct

- No member of the CSHL community shall engage in violations of the Laboratory's *Policy for the Prevention of and Response to Sex Discrimination, Sexual Harassment, and Sexual Violence Against Students* incorporated herein, which includes the following:
    1. Gender-based discrimination;
    2. Sexual Harassment;
    3. Sexual Assault;
    4. Sexual Misconduct;
    5. Stalking;
    6. Dating and domestic violence.

m) Theft

- No member of the CSHL community shall commit a theft or the unauthorized use of the Laboratory's or another's property, including being in possession of stolen property.

n) Unauthorized Access

- No member of the CSHL community shall commit an unauthorized access or entry to, presence in, or use of Laboratory properties, physical and virtual, including, but not limited to: CSHL facilities, property, systems, or services and possession, duplication, distribution, or use of keys, access codes, access cards, or other means of entry or access to any CSHL property, premises, or location.

o) Violations of Law

- No student shall conduct him or herself in a manner that negatively impacts the CSHL community, including any such conduct in violation of federal, state, or municipal law. All students are expected to report to the Vice President, Human Resources any knowledge of illegal activity that concerns the Laboratory, its employees, students or affiliates.

11) Consequences of Violations

CSHL reserves the exclusive right to determine appropriate sanctions when violations of this Policy are committed. When determining appropriate sanctions, CSHL will consider the interests of the complainant, respondent, and the overall well-being of the Laboratory community. CSHL will consider the respondent's present and past disciplinary record, the nature and severity of the offense, the injury or harm resulting from the prohibited behavior, and any other relevant factors. The following is a non-exclusive list of sanctions that the Laboratory reserves the right to impose:

a) Warning

- Written notification that a violation of this Policy occurred and that any further responsible finding of misconduct may result in more severe disciplinary action.

b) Probation

- Written notification that indicates a serious and active response to a violation of this Policy for a designated period of time and includes the possibility of more severe sanctions.

c) Loss of Privileges

- Denial of the use of certain Laboratory facilities or the right to participate in CSHL activities, events, and/or programs.

d) Restitution

- A member of the CSHL community may be required to make a payment to an individual or the Laboratory related to misconduct for damage, destruction, defacement, theft, or unauthorized use of property.

e) Relocation or Removal from Laboratory Housing

- Relocation is the reassignment of a student from one living space to another, including the removal of an individual from all CSHL-operated housing;

f) Contact Restrictions

- CSHL reserves the right to prohibit all forms of communication between designated parties, direct or indirect, including in person, social media, text messaging, email, postal mail, and third-party communication.

g) Educational Requirements and Referrals

- CSHL reserves the right to impose counseling or substance assessments or other required educational sanctions.

h) Suspension

- Suspension is the separation of a student from CSHL for a specific period of time, during which the student may not participate in the Laboratory's academic or extracurricular activities.

i) Expulsion

- Expulsion is the permanent separation of a student from the Laboratory.

12) Procedures for Student Conduct Hearings

Student conduct hearings are administrative procedures and, as a result, do not follow the specific steps, methods, or standards of proof or evidence used in civil or criminal courts. Any member of the Laboratory community may file an incident report alleging a violation of this Policy. The Associate Dean, or a designee, will determine if the allegations are covered by the Policy. Formal disciplinary action shall be instituted only after the Associate Dean, or a designee, has determined that such action is appropriate. A respondent shall be sent notice by the most effective method (including electronic mail) that includes the accusation and a copy of the incident report. An impartial disciplinary hearing shall be initiated by the Associate Dean, or a designee. The respondent shall have the opportunity to respond to the allegations during the disciplinary hearing. Following the discipline hearing, the Associate Dean, or a designee, will notify the student of any disciplinary action and the student's right of appeal. The respondent shall have the opportunity to appeal to the Associate Dean, or a designee, a disciplinary sanction where: 1) significant new information that was not available at the time of the hearing becomes available; 2) evidence that the Laboratory failed to follow its own procedures; or 3) the assigned sanctions are grossly disproportionate to the violation.

13) No Rights or Claims

This Policy, and any other Laboratory policies, are not contracts of employment nor do they create rights or claims of any kind for members of the Laboratory community or expectations regarding employment at CSHL.

Cold Spring Harbor Laboratory

STANDARDS OF CONDUCT

POLICY STATEMENT

The Laboratory does not wish to prescribe personal values or employee conduct during non-working time. The Laboratory must, however, define and enforce a formal policy that prevents employees, consultants or members of our governing bodies from using their positions for purposes that are or that give the appearance of being dishonest, malicious, threatening, or intimidating or otherwise in contravention of the principles and guidelines of the Laboratory's policies, or motivated by a desire for private financial gain for themselves or others with whom they have family, business, or personal ties. It is the obligation of each employee to be familiar with the contents of this policy and to conduct themselves in an honest, lawful, respectful and ethical manner at all times and to ensure that their actions conform to the content of this policy.

Additionally, members of the scientific staff shall be required to be familiar with the provisions of the Commercial Relations Policy, and the Research Fraud and Professional Misconduct policy and to conduct themselves in accordance with the intent of those policies.

GUIDELINES

Gifts, Gratuities, Favors

Employees may not solicit or accept substantial gifts, gratuities, favors, or excessive entertainment for themselves or for any person or organization that does business or has the potential of doing business with the Laboratory. Excepted from this prohibition are non-cash gifts of nominal value involving normal and ordinary social amenities or sales promotion. All offers of or actual receipt of gifts, even nominal ones, shall be disclosed to the Vice President, Human Resources.

Avoidance of Favoritism or Other Misconduct

The Laboratory does not discourage the employment of qualified members of the same family or persons in similar relationships. However, no such employment relationship should be maintained under circumstances that tend to or appear to provide opportunity for favoritism or to interfere with sound and consistent judgment regarding the work of any employee. The approval of the Vice President, Human Resources after consultation with the Chief Operating Officer is necessary before any employee may work under the supervision of a relative or someone in a similar relationship. To avoid the existence or appearance of favoritism, breaches of confidentiality, misuse of authority or other unprofessional conduct, employees must disclose the existence of a familial (or similar relationship, e.g., co-habitating, "significant other" relationships, etc.) to the Vice President, Human Resources.

Personal Business

Employees may not conduct personal business during normal working time. This prohibition also bars personal use of the Laboratory's postage, telephones, copy machines, computers or supplies.

Social Media

For the purpose of this policy, social media includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else's web log or blog, journal or diary, personal web site, social networking or affinity web site, web bulletin board or a chat room,

whether or not associated or affiliated with the Laboratory, as well as any other form of electronic communication.

The same principles and guidelines found in the Laboratory's policies apply to your activities on social media. Inappropriate postings that may include discriminatory remarks, harassment, and threats of violence or similar inappropriate or unlawful conduct will not be tolerated and may lead to disciplinary action up to and including termination.

Always be fair and courteous to fellow employees and other entities who work on behalf of the Laboratory. Also, keep in mind that you are more likely to resolve work related complaints by speaking directly with your co-workers or managers, or by having Human Resources intervene, than by posting complaints to a social media outlet. Nevertheless, if you decide to post complaints or criticism, avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening or intimidating, that disparage colleagues or the Laboratory or that might constitute harassment or bullying.

Make sure you are always honest and accurate when posting information or news, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Never post any information or rumors that you know to be false about the Laboratory, employees or other entities working on behalf of the Laboratory.

Maintain the confidentiality of the Laboratory's private or confidential information. Do not post internal reports, policies, procedures or other internal confidential communications.

Express only your personal opinions. Never represent yourself as a spokesperson for the Laboratory. If the Laboratory is a subject of the content you are creating, be clear and open about the fact that you are an employee and make it clear that your views do not represent those of the Laboratory, its employees, or other entities working on behalf of the Laboratory. If you do publish a blog or post online related to the work you do or subjects associated with the Laboratory, make it clear that you are not speaking on behalf of the Laboratory. It is best to include a disclaimer such as "The postings on this site are my own and do not necessarily reflect the views of Cold Spring Harbor Laboratory."

Do not use the Laboratory's logos, trademarks, web addresses, email addresses or other symbols in social media. You may not use the Laboratory's name or other identifying information to endorse, promote, denigrate or otherwise comment on any product, opinion, cause or person.

Please ensure that engaging in social media does not interfere with your work commitments. Do not use the Laboratory email addresses to register on social networks, blogs or other online tools utilized for personal use.

General Conduct

All employees are prohibited from using their position with the Laboratory in any way that fosters a political ambition or bribery. All employees are expected to report to the Vice President, Human Resources any knowledge of any illegal activity that they may be aware of that concerns the Laboratory, its employees, or affiliates in any way.

ADMINISTRATION

A copy of this policy will be distributed by the Human Resources Department to all scientific and administrative personnel upon hire. New hires will be required to sign a statement to verify that they have read and understand the policy. The Vice President, Human Resources is responsible for distribution of related policy revisions to current employees.

Any actions which are in non-compliance with the policy will be brought to the attention of the Chief Operating Officer for review. The Chief Operating Officer shall be responsible for correcting any non-compliance after appropriate consultation with the President and/or the Executive Committee of the Board of Trustees.

- Willful and serious violations of this policy shall result in termination of employment.
- Non-willful and minor violations will result in a written reprimand. Repeated violations may result in termination of employment.

In the event of the termination of a project or program director or other key official, the appropriate awarding office will be promptly notified.

Retaliation is prohibited. The Laboratory prohibits taking negative action against any employee for reporting a possible deviation from this policy or for cooperating in an investigation. Any employee who retaliates against another entity for making a good faith report of a possible deviation from this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

This policy is not to be considered an employment contract or a guarantee of any kind. The Laboratory reserves the right to interpret, administer, revise, supplement, or rescind policies as it deems appropriate.

COLD SPRING HARBOR LABORATORY
SCHOOL OF BIOLOGICAL SCIENCES

Guide to Campus Security

Colleges and universities have traditionally projected an image of insulated security for the students living and studying on their campuses. While the potential for crime has always existed at colleges, many institutions did little to inform students of the danger of violent crimes on campus. In some instances, information about campus crimes had been hidden from students and parents in such a way that could only be construed as negligent.

Events of recent years have changed the approach that colleges must take regarding violent crimes on campus – the most prominent being the violent 1986 death of 19 year old Lehigh University freshman, Jeanne Clery. Jeanne was raped, beaten, and murdered in her third floor dormitory room five days after returning to school from spring break. Jeanne's parents learned that not only had her killer been a fellow student who had repeatedly demonstrated violent behavior, but that there had been 38 violent crimes (including rapes, robberies, and assaults) committed on the Lehigh campus in a three-year period.

The Clerys used the settlement they received from a civil suit brought against the university to begin a campaign to force colleges to disclose crime statistics and take measures to protect students on campus. Their cause eventually led to the passage of the *Student Right to Know and Campus Security Act*, signed into law on November 8, 1990, by President George Bush.

The *Student Right to Know and Campus Security Act* requires colleges and universities that participate in federal Title IV student aid programs to publicly disclose certain violent crimes that have occurred on their campuses for the preceding three years and to inform students and staff of campus security programs in place to help prevent and deal with these violent crimes. In 1998, the law was amended to include additional offenses and was renamed the *Jeanne Clery Disclosure of Campus Security and Campus Crime Statistics Act*, incorporating the *Campus Sexual Victims' Bill of Rights* from the *Higher Education Act Amendments of 1992*.

Cold Spring Harbor Laboratory-School of Biological Sciences is not a Title IV institution and is not required to comply with the Clery Act at this time. However, the Laboratory recognizes the students right to know and will disclose annual statistics for certain offenses committed on campus, in off campus locations owned or controlled by the Laboratory, and on public property on or around the campus. This information will be published annually in the Guide to Campus Security and will be distributed to every student.

Security on Campus

Cold Spring Harbor Laboratory is committed to providing a secure environment on campus for all students and employees. The Laboratory employs a full-time security staff and has taken reasonable measures to prevent the occurrence of violent crimes on campus. Security programs at the Laboratory also include procedures and Memorandums of Understanding with county police departments for dealing with violent crimes and missing students should they occur.

Reporting Crimes on Campus

Students and employees are encouraged to report all criminal activity to the Security Department as soon as possible. Crimes that occur on campus or in Laboratory housing should be reported to Laboratory Security at extension 5555. Victims or witnesses may also report crimes directly to local law enforcement agencies by dialing "911" from any phone. Note that "9" must first be dialed to obtain an outside line if calling from a Laboratory house phone.

Upon receiving the report of a crime on campus, Laboratory Security will notify appropriate emergency response personnel and provide any assistance necessary.

The Laboratory will make every effort to protect the privacy of victims and witnesses who report crimes that have occurred on campus. While these crimes must be reported to all students the identities of the victim and the alleged assailant are revealed only to those Laboratory administrators responsible for student safety and security.

If desired, victims may report crimes directly to the Director of Security, Assistant Director of Security, the VP Chief Facilities Officer, or VP Human Resources.

Campus Crime Statistics

Section 6433 of Article 129 A of the NYS Education Law requires each college and university to include the U.S. Department of Education website address for access to campus crime statistics. As noted above, Cold Spring Harbor Laboratory is not required to comply with these Clery Act reporting requirements, and does not report crime statistics for publication on this website. However, in order to comply with NYS Law, the website address is provided as follows: **http://www.ope.ed.gov/security**

The Director of Security may be contacted during normal business hours at extension 8817 for inquiries regarding Cold Spring Harbor Laboratory crime statistics.

Statistics of crimes that have occurred on campus properties and off-site housing over the previous three years are listed below:

Crimes Reported	2015	2016	2017
Murder/non-negligent manslaughter	0	0	0
Negligent manslaughter	0	0	0
Forcible Sex Offenses	0	0	0
Non-forcible Sex Offenses	0	0	0
Robbery	0	0	0
Aggravated Assault	0	0	0
Burglary	0	0	0
Motor Vehicle Theft	0	0	0
Manslaughter	0	0	0
Arson	0	0	0
Violent crimes that manifested evidence of prejudice based on race, religion, sexual orientation, or ethnicity	0	0	0

Arrests on Campus

Liquor Law Arrests	0	0	0
Drug Use Arrests	0	0	0
Weapons Possession Arrests	0	0	0

Disciplinary Action Referrals

Liquor Law Violations	0	0	0
Drug Law Violations	0	0	0
Weapons Possession Violations	0	0	0

Laboratory Security

The Laboratory maintains a full-time security staff consisting of a Director of Security, an Assistant Director of Security and a staff of full and part time security officers. All Laboratory security staff are licensed by the NY State Division of Licensing Services and receive annual training regarding all facets of the Laboratory security program. There is at least one security officer on duty at all times on the Laboratory's main campus.

Laboratory Security is not a campus police force. They are not armed and they do not have police powers or the authority to make arrests. Laboratory Security serves primarily to observe incidents on campus and report them to the Laboratory's administration or the local police department.

Uniformed security officers are on duty at all times at the Laboratory. While security officers are assigned to the main campus and the Woodbury Genome Center, some other off-grounds facilities are included as part of the main campus patrols due to their close proximity.

While security officers do not respond directly to incidents at off-campus facilities, they will dispatch appropriate emergency response personnel to the scene of an incident and notify the Laboratory's administration as required.

Duties of Laboratory Security

Acts as the authorized representative of the Laboratory's administration

Acts as the campus fire and safety watch after normal working hours

Enforces Laboratory policy on campus

Maintains logs of security incidents that occur on campus

Provides roadside assistance to students and staff on campus

Responds to reports of crimes or other incidents on campus

Acts as first responder in an emergency on campus

Provides security escorts to students and staff upon request

Monitors campus facilities for safety or security discrepancies

Interacts with police or fire departments who respond to incidents on campus

Security of Campus Facilities

Cold Spring Harbor Laboratory is located in a wooded, suburban campus on the north shore of Long Island, yet it is only a few miles away from a major metropolis. While free access to most Laboratory facilities is in keeping with the Laboratory's philosophy of open exchange among students and faculty, some measures are necessary to ensure adequate security on campus.

– Most Laboratory buildings, parking lots, and walkways are equipped with lights that are designed to automatically illuminate at dusk. Laboratory Security verifies that these are operational during nightly foot patrols.

– Most Laboratory buildings are either locked or secured by keypad access systems after normal working hours. The Security Manager issues keys and access codes to authorized students and staff members to enable them to access Laboratory buildings. These access codes must be kept private and not shared with anyone, even another student or staff member.

– Security features of Laboratory facilities, such as latches or locks, are not to be altered or tampered with in such a way as to make them less effective at securing the facilities. Doors and windows are not to be propped or blocked open at any time.

– Emergency phone numbers, such as "911", police, or fire departments may be called from any Laboratory house phone, whether the phone is restricted or not. Note that "9" must be first dialed to obtain an outside line.

– The Laboratory has security officers on duty at all times to patrol and monitor campus facilities. These security officers verify that campus facilities are secure, investigate incidents on campus, provide emergency assistance, and provide security escorts as required.

– Students and staff members should report problems with campus facilities that may compromise safety or security as soon as possible. This may include broken doors or windows, inoperative lights, loose or broken steps, or any other obvious safety or security hazards.

Laboratory Housing

Many of the Laboratory's students, faculty, and guests reside in housing owned or leased by the Laboratory. It is important that campus residents be confident that they are safe in Laboratory housing without unnecessary restrictions on their personal freedom. While the Laboratory takes continual steps to ensure that all Laboratory housing is secure, residents must take personal responsibility for their own safety as well.

– Laboratory residences are equipped with locks on all exterior doors and doors to private rooms. These locks should be used whenever residents are absent. Entrance doors must not be propped open or left unlocked when residents are absent.

– Keys to Laboratory housing are issued to residents individually. These keys are the property of the Laboratory and are not to be duplicated or loaned out. The loss of keys must be reported to Laboratory Security immediately. Residents must return keys to Laboratory Security when vacating Laboratory housing.

– Windows should be closed and secured whenever residents are absent, even on upper floors.

– Valuables such as cash, wallets, jewelry, cameras, and notebook computers should be secured from view at all times. Storing valuables in a lockable cabinet or drawer is highly recommended.

– Visitors and guests are permitted in Laboratory housing as long as they are accompanied by a resident. At no time are unaccompanied guests allowed in any shared residence. Visitors of the opposite sex are permitted in single-sex housing only with the prior permission of all the residents.

– Residents should call "911" for assistance in any situation in which they feel their safety is threatened. This call should be followed by notifying Laboratory Security at extension 5555.

– Problems with Laboratory housing that require emergency repairs should be reported immediately to Laboratory Security.

Notification of Fire Safety Standards and Measures in Student Housing

As per Section 129 A, 6428 of the New York State Education Law and New York State Law A.5715-A/S. 4180-B (Kerry Rose Fire Sprinkler Notification Act) which took effect on July 25, 2013, all public and private colleges in New York State must provide a written fire safety notification to each student living in college owned or operated housing facilities. This notification must include a description of the fire safety system for the student's housing facility, including whether or not the housing is equipped with a fire sprinkler system.

In keeping with this statute, all students of the School of Biological Sciences residing in Laboratory Housing receive written notifications from Cold Spring Harbor Laboratory's Environmental Health and Safety Department regarding fire safety systems and equipment that may include the following:

- Fire sprinkler systems
- Fire detection systems
- Carbon monoxide detectors
- Portable fire extinguishers
- Battery operated emergency evacuation lights
- Marked fire exits
- Emergency Contact Information for Laboratory Security and local fire departments

For further information on the Kerry Rose Fire Sprinkler Notification Act or to access the Campus Fire Safety Report contact the CSHL Environmental, Health and Safety Office at 516 367-8336.

Sexual Assault Prevention Information

Section 6450(1) (a) of the New York State Education Law requires all postsecondary institutions to provide specific information to incoming students about sexual assault prevention.

There has been heightened concern at both the national and state levels regarding the incidence of sex offenses on college campuses. The School of Biological Sciences, located on the campus of Cold Spring Harbor Laboratory is committed to providing a safe and secure environment for all of our students. However, no college campus is immune from crime. Students are advised to take reasonable precautions and to use sound judgment regarding their behavior both on and off campus. While unknown assailants sexually assault some victims, more frequently a person known to the victim assaults a campus victim. These incidents are described as "acquaintance rapes". Irresponsible use of alcohol and the use of illicit drugs are frequently involved in these situations. Sound, unimpaired judgment and concern for personal safety help prevent victimization.

Applicable NYS State Laws Relating to Sex Offenses

Definition of Terms Relevant to Sex Crimes and Lack of Consent

Mentally Defective: A person who suffers from a mental disease or defect, which renders him or her incapable of appraising his or her conduct.

Mentally Incapacitated**:** A person is rendered temporarily incapable of appraising or controlling his or her conduct owing to the influence of a narcotic or intoxicating substance administered to him or her without his or her consent, or to any other act committed upon him or her without his consent.

Physically Helpless**:** A person is unconscious and for any other reason physically unable to communicate unwillingness to an act.

Forcible Compulsion**:** To compel by either (a) the use of physical force: or (b) a threat, express or implied, which places a person in fear of immediate death or physical injury to himself, herself, or in fear that he, she, or another person will immediately be kidnapped.

Age**:** It is not a defense that the defendant did not know the age of the victim. A basic element of all sex offenses is lack of consent. Males and females less than 17 years of age are incapable of consenting to any act as per NYS Penal Law Article 130 (Sex Offenses).

Rape: All degrees of rape are felonies. A person is guilty of rape when a person engages in sexual intercourse with another person without that persons consent. Rape may be committed in the following ways:

- A person engages in sexual intercourse with another person by forcible compulsion.

- A person engages in sexual intercourse with a person who is mentally disabled, mentally incapacitated, or physically helpless.

- A person 21 year of age or older engages in sexual intercourse with another person who is less than 17 years of age (16, 15 or 14).

- A person 18 years of age or older engages in sexual intercourse with another person who is less than 14 years of age (13, 12, or 11).

Sodomy: All degrees of sodomy are felonies. A person is guilty of sodomy when a person engages in deviant sexual intercourse with another person without that persons consent. Sodomy may be committed in the same ways described above for the crime of rape.

Sexual Misconduct: Sexual misconduct is always a misdemeanor**.** A person is guilty of sexual misconduct when he or she engages in sexual intercourse without that person's consent; or he or she engages in deviate sexual intercourse without that person's consent; or he or she engages in sexual conduct with an animal or dead human body.

Sexual Abuse: Depending on the degree of crime permitted, sexual abuse may be either a misdemeanor or a felony. A person is guilty of sexual abuse when he or she subjects another person to sexual contact without the latter's consent. In addition to forcible compulsion or incapacity to consent, a person can be charged with sexual abuse in any case which the victim does not expressly acquiesce to the actor's conduct.

Penalties for Commission of Sex Offenses

Any student convicted of a sex offense will be expelled immediately.

"Misdemeanor" means an offense, other than a "traffic infraction" for which a sentence to a term of imprisonment in excess of fifteen days may be imposed, but for which a sentence to a term of imprisonment in excess of one year may not be imposed.

"Felony" means an offense for which a sentence of imprisonment in excess of one year may be imposed.

Procedures for Dealing with Sex Offenses

Sex offenses are taken very seriously by the Laboratory's administration. The Laboratory strongly urges victims to report any crimes immediately to Security at 5555 or 8870 or by

dialing 911 when incidents occur off campus. Laboratory Security will assist victims in reporting incidents to the police at the victim's request and ensure victims receive immediate medical assistance.

All efforts should be made to preserve evidence. Certain actions destroy physical evidence that may be necessary to convict an assailant. Victims are advised not to bathe, change clothing, comb their hair, or brush their teeth before receiving medical attention and to avoid disturbing the area where the crime occurred.

The Laboratory's Director of Security will report the incident to the administration and ensure that students are informed of the assault while preserving the anonymity of both the victim and the alleged assailant. If requested by the victim, the Laboratory will make reasonable changes to his or her living or working conditions after a sexual offense has been reported. This may include reassignment of housing or a temporary or permanent work reassignment. These changes may also be made for the alleged assailant if deemed appropriate by the administration.

During the investigation of the alleged sexual offense, the victim or the alleged assailant may request a leave of absence until the incident has been resolved. This policy helps to protect the victim and the alleged assailant from a hostile campus environment. The Laboratory will evaluate alleged incidents on a case-by-case basis to determine if these actions are warranted. The victim and the alleged assailant are encouraged to seek legal counsel to ensure fairness in any proceedings.

Incoming students are made aware of the availability of sexual assault prevention and counseling information during orientation.

Domestic Violence and Intimate Partner Violence

Domestic Violence and Intimate Partner Violence are offenses which exhibit a pattern of coercive tactics, including physical, psychological, sexual, economic, and emotional abuse perpetrated by one person against an adult intimate partner, with the goal of establishing and maintaining power and control over the victim. Domestic violence is more often associated with two people living in the same dwelling; however, violent behavior is not limited to the confines of the home. Intimate partner violence (IPV) may be more recognizable to the college student. IPV occurs between two partners in a close relationship, exhibiting four types of behavior: physical violence; sexual violence; threats with the intent to cause harm; or emotional abuse.

The physical or emotional abuse may not happen continually but it is still abuse even if your partner has exhibited violent behavior only a few times. Victims can be any age, gender, ethnicity, religious affiliation, or sexual orientation.

Signs of an unhealthy relationship include threats and accusations, name calling, humiliation, possessiveness, intimidation and violence – shouting, hitting, and forced sex.

If you experience or feel threatened by violence you are a victim. If domestic violence or intimate partner violence occurs go to a safe place and contact the proper authorities.
If you are in an abusive relationship it is important to take it seriously and seek assistance. It is recommended that the victimized person seek counseling to effectively address the situation, and to contact the authorities to understand the laws that are in place to protect them.

Stalking

Stalking represents a pattern of unwanted and repeated attention, harassment, contact, or other conduct directed at a particular person that causes a reasonable person to experience fear. This conduct can include:

- Unwanted watching or following
- Driving by your residence, workplace, or in close proximity
- Threatening phone calls or hang ups
- Sending hate mail; sending unwanted faxes, letters, and emails; or delivering unwanted objects.

Stalking, if unreported, may escalate to more aggressive behavior. Cyber stalking is on the rise with the use of GPS, installation of spyware, posting on the internet, chat rooms, and other unsolicited use of technology.
Stalking is a crime and should be reported to the Laboratory Security Department and/or the local police department.

The victim of an offense of Domestic Violence, Intimate Partner Violence, or Stalking has the option of pursuing charges against the perpetrator in an or all of the following ways.

• Criminal Prosecution: making a report to the authorities does not mean that the victim has to press charges. However, it does begin the legal process should the victim decide to pursue prosecution at a later date. If necessary it is advisable to seek an Order of Protection
• Civil Suit: the victim has the option of consulting an attorney to initiate a suit in civil court for damages. The purpose of a civil suit is to compensate the victim for the wrong done to him or her. Civil action may be brought against the assailant regardless of whether criminal charges are pursued.

Applicable Laws and Penalties Relating to Domestic Violence, Intimate Partner Violence and Stalking Offenses

Crime	Class	Maximum Penalty

Harassment-2nd Degree	Violation	15 days
Harassment -1st Degree	B Misdemeanor	3 months
Aggravated Harassment -2nd Degree	A Misdemeanor	1 year
Aggravated Harassment-1st Degree	E Felony	4 years
Assault-3rd Degree	A Misdemeanor	1 year
Assault-2nd Degree	D Felony	7 years
Assault-1st Degree	B Felony	25 years
Criminal Obstruction of Breathing or Blood Circulation	A Misdemeanor	1 year
Strangulation-2nd Degree	D Felony	7 years
Strangulation-1st Degree	C Felony	15 years

Bias Related Crime Prevention Information

Section 6436 of the New York State Education Law establishes requirements that colleges provide information to students concerning bias related crime. Bias related criminal acts are referred to in the NYS Penal Law as hate crimes.

Bias crimes, or hate crimes are defined by the FBI as any criminal offense committed against a person or property which is motivated, in whole or in part, by the offender's bias against a race, religion, disability, ethnicity/national origin, or sexual orientation.

These crimes may include acts involving physical assaults, verbal harassment, vandalism, robbery, sexual assault, and murder.

Bias- motivated violence or threats on college and university campuses targeting students, faculty, and staff impair the educational mission of an institution and deprive young men and women of the opportunity to live and learn in an atmosphere free of fear and intimidation.

Cold Spring Harbor Laboratory- School of Biological Sciences is committed to providing a safe and secure environment, free from intolerance and intimidation directed toward any individual or group protected under the Bias Crimes and /or Hate Crimes as defined hereunder.

Applicable Laws, Ordinances and Regulations

Section 485.05 New York State Penal Law Hate Crimes

1. A person commits a hate crime when he or she commits a specified offense and either:

(a) intentionally selects the person against whom the offense is committed or intended to be committed in whole or in substantial part because of a belief or perception regarding the race, color, national origin, ancestry, gender, religion, religious practice, age, disability or sexual orientation of a person, regardless of whether the belief or perception is correct, or

(b) intentionally commits the acts or acts constituting the offense in whole or in substantial part because of a belief or perception regarding the race, color, national origin, ancestry, gender, religion, religious practice, age, disability or sexual orientation of a person, regardless of whether the belief or perception is correct.

2. Proof of race, color, national origin, ancestry, gender, religion, religious practice, age, disability or sexual orientation of the defendant, the victim or of both the defendant and the victim does not, by itself, constitute legally sufficient evidence satisfying the people's burden under paragraph (a) or (b) of subdivision one of this section.

3. A "specified offense" is an offense defined by any of the following provisions of this chapter:

Assault, 1st, 2nd, 3rd Degree
Aggravated Assault Upon a Person Less Than Eleven Years Old
Menacing, 1st, 2nd, and 3rd Degree
Reckless Endangerment, 1st and 2nd Degree
Manslaughter, 1st and 2nd Degree
Murder, 2nd Degree
Stalking, 1st, 2nd, 3rd, and 4th Degree
Rape, 1st Degree
Criminal Sexual Act, 1st Degree
Sexual Abuse, 1st Degree
Aggravated Sexual Abuse, 1st Degree
Unlawful Imprisonment, 1st Degree
Kidnapping, 1st and 2nd Degrees
Coercion, 1st and 2nd Degrees
Criminal Trespass, 1st, 2nd and 3rd Degrees
Burglary, 1st, 2nd, and 3rd Degrees
Criminal mischief, 1st, 2nd, 3rd and 4th Degrees
Arson, 1st, 2nd, 3rd, and 4th Degrees
Petit Larceny
Grand Larceny, 1st, 2nd, 3rd and 4th Degrees
Robbery, 1st, 2nd, and 3rd Degrees
Harassment, 1st Degree
Aggravated Harassment, 2nd Degree (Subdivision one, two, or four)

Or any attempt to commit any of the foregoing offenses.

4. For purposes of this section:

   (a) the term "age" means sixty years old or more;
   (b) the term "disability" means a physical or mental impairment that substantially limits a major life activity.

Penalties for Commission of Hate Crimes

Article 485.00 Hate Crimes Act of 2000 Legislative findings

The NYS Legislature determined that violence, intimidation, and destruction of property based upon bias have become more prevalent in recent years and decided to strengthen the laws to provide clear recognition of the gravity of hate crimes and the compelling importance of preventing their reoccurrence. The legislature found and declared that hate crimes be punished with appropriate severity.

Section 485.10 New York State Penal Law
Sentencing

1. When a person is convicted of a hate crime pursuant to this article, and the specified offense is a violent felony offense, as defined in section 70.02 of this chapter, the hate crime shall be deemed a violent felony offense.
2. When a person is convicted of a hate crime pursuant to this article and the specified offense is a misdemeanor or a class C, D or E felony, the hate crime shall be deemed to be one category higher than the specified offense, the defendant committed, or one category higher than the offense level applicable to the defendant's conviction for an attempt or conspiracy to commit a specified offense, whichever is applicable.
3. Notwithstanding any other provision of law, when a person is convicted of a hate crime pursuant to this article and the specified offense is a class B felony:

   (a) the maximum term of the indeterminate sentence must be at least six years if the defendant is sentenced pursuant to section 70.00 of this chapter;
   (b) the term of the determinate sentence must be at least eight years if the defendant is sentenced pursuant to 70.02 of this chapter;
   (c) the term of the determinate sentence must be at least twelve years if the defendant is sentenced pursuant to section 70.04 of this chapter;
   (d) the maximum term of the indeterminate sentence must be at least four years if the defendant is sentenced pursuant to section 70.05 of this chapter; and

(e) the maximum term of the indeterminate sentence or the term of the determinate sentence must be at least ten years if the defendant is sentenced pursuant to section 70.06 of this chapter.

4. Notwithstanding any other provision of law, when a person is convicted of a hate crime pursuant to this article and the specified offense is a class A-1 felony, the minimum period of the indeterminate sentence shall not be less than twenty years.

Procedures for Dealing with Bias Related Crimes

Cold Spring Harbor Laboratory strongly urges victims to report any crimes immediately to Security at extensions 5555 or 8870, or by dialing 911 when incidents occur off campus. Laboratory Security will assist victims in reporting incidents to the police at the victim's request and ensure victims receive immediate medical assistance and support when necessary.

Laboratory Security Officers responding to a possible bias related crime will make every effort to control a situation in a manner that reduces further threat to life and property, protect potential evidence by securing the area, and obtain all pertinent information relative to description of perpetrators, weapons, vehicles, direction of flight, and witnesses. Factors to be considered by responding security officers are signs, symbols, words, or statements that may indicate that the crime is motivated by hate. Upon arrival of police personnel, the ranking officer will take charge of the scene and Laboratory Security will render assistance as necessary.

The responding security officer will notify the Director of Security and the Chief Facilities Officer as soon as practical. It shall be the responsibility of the Director of Security to apprise and update principal members of the CSHL - School of Biological Sciences administration of all bias related crimes and their subsequent investigation.

It shall be the responsibility of the CSHL Security Department to cooperate fully and coordinate with local law enforcement agencies in the investigation of a suspected bias related crime. The investigating law enforcement agency will review all evidence and determine if the crime committed is to be classified and investigated as a bias crime.

Nature of Circumstances Relating to Bias Crime on College Campuses

According to the latest FBI statistics available, approximately 9 percent of reported hate crimes nationwide took place at schools and colleges. Recent reports by civil right groups that track bias related crimes finds college campuses are the third most common venue for the commission of crimes of this nature. Despite the fact that colleges and universities are widely viewed bastions of tolerance and understanding, the number of hate crimes may

suggest otherwise. The primary factor appears to be the increase in enrollment of racial and ethnic minorities. The enrollment of minority students has more than doubled since 1976 according to the Department of Education. This diversity on campuses is unfamiliar to many students who may come from racially isolated environments. Alcohol misuse and the fact that students face much less direct supervision are also cited as contributing factors in the commission of bias related crimes on campuses.

Because the basis for their attack is their identity, the impact of victimization on bias crime victims can often be emotionally traumatic. Hate crime victims must not only endure the primary physical injuries incurred during the crime, but often experience heightened vulnerability, fear, and prolonged periods of stress and disassociation long after the attack.

The Laboratory will make every effort to render all necessary assistance, counseling, and support in order to ensure the health and wellbeing of the victims of bias related crimes.

Counseling, Support Services and Additional Information regarding Sexual Assault, Domestic Violence, Intimate Partner Violence, Stalking, and Bias Related Crime include:

North Shore University Hospital (888 321-DOCS) and Stony Brook University Hospital (631 444-2499) are both "SANE' sites (Sexual Assault Nurse Examiner). These nurses are specially trained to care for victims of sexual assault and to conduct a medical evidence collection kit. The CSHL Center for Health and Wellness and the Security Department can provide assistance and support if transportation to the hospital is requested or required.

Nearby Huntington Hospital will provide professional counseling to victims in the Emergency Room and will also provide out-patient assistance and referral if necessary. Emergency Room staff may be contacted at 631 351-2300.

The Safe Center is a private, not-for-profit corporation that provides comprehensive services to victims of sexual assault and domestic or dating abuse. Their 24/7 Hotline is 516 542-0404. http://thesafecenterli.org/

Counseling, information on victims' rights, court accompaniment and other support services are available through the Victims Information Bureau of Suffolk. http://www.vibs.org/ The VIBS 24/7 Rape Crisis Hotline can be reached at 631 360-3606. Appointments may be made by calling 631 360-3730. These services are free of charge and completely confidential.

OPTUM, the Laboratory's Employee Assistance Program (EAP) is available for counseling at no expense 24 hours a day, 7 days a week by calling 1-866-248-4094. (Press 2 to identify as an EAP member).

On Site In-Person Counseling Services by a NYS licensed behavioral health consultant are available free of charge through the CSHL Center for Health and Wellness. For appointments call 516 422-4422.

The Laboratory's VP, Human Resources Department is available to assist victims in making use of these services.

The Office for Prevention of Domestic Violence or (OPDV) can be accessed at opdv.state.ny.us

An online Domestic Violence Survival Kit is available at www.dvguide.com

Stalking Resource Center can be accessed at www.victimsofcrime.org

Student Advisories and Updates Relating to Security Procedures

Laboratory Security will notify students in a timely manner if a serious crime is committed on campus, or at an off-campus residence, and when criminal activity committed in the vicinity of our campuses is considered a serious or continuing threat to students and employees. Direct email, individual voice messaging and Lab-wide security alerts over the intranet will be used to disseminate this information.

Students are strongly encouraged to enroll in the CSHL Emergency Alert System. This system enables the Laboratory to communicate critical information and direction via cell phones, land line phones, email addresses or texting devices during an emergency.

Additionally, Cold Spring Harbor Laboratory is a member of the Nassau County Police Department Security Police Information Network (SPIN), the Suffolk County Police Department Shield Program and other crime prevention partnerships between law enforcement and the private sector which seek to increase public safety through the sharing of important and timely information. Through these two way email systems, Laboratory Security receives information daily regarding local crime patterns, missing persons, crime prevention information, and other security related issues. Laboratory Security will disseminate timely alerts and all relevant public safety information about activities which may be considered a continuing threat to students and staff whenever necessary via our CSHL Emergency Alert System, Lab Wide e-mail and through the intranet.

Policy on the Prohibition of the Marketing of Credit Cards on CSHL Property

In compliance with Section 6437 of Article 129-A of the Education Law, Cold Spring Harbor Laboratory (CSHL) has adopted the following prohibition of credit card marketing:

No person, corporation, financial institution nor any other business entity that promotes, offers, or accepts applications for a credit card shall solicit current or potential students for credit card applications, nor conduct any other activity in connection with credit card solicitation on CSHL property or at CSHL sponsored events. These prohibited acts include but are not limited to the posting of material on CSHL property, setting up display tables on CSHL property, inserting credit-card promotional materials into shopping bags that are used in the CSHL shop or bookstore or at events sponsored by CSHL and mailing advertisements in CSHL campus mailboxes or locations, and any other marketing of credit cards.

For More Information

Information about the Laboratory's security policies and crime statistics is available at the Laboratory's Security Office, located in the Richards Building.

Laws and Regulations:

United States Code 20 USC 1092 (1998)
Code of Federal Regulations 34 CFR 668.47 (1997) – Institutional Security Policies and Crime Statistics

New York State Education Laws Article 129A and 129B

Who to Contact

Fire Department/Ambulance ……..9-911

Police ……...……9-911

Laboratory Security (Emergencies)……..5555

Laboratory Security (non-Emergencies)…….....8870

Human Resources ……...…….……6984

Facilities Maintenance ……..8339

Director of Security……8817

Assistant Director of Security……8887

Housing Manager……...6957

Director of Environmental …….....8852
Health and Safety

Dean, School of ……..……..6914
Biological Sciences

Associate Dean, School ……6890
of Biological Sciences