



Cold Spring Harbor Laboratory
SCHOOL OF BIOLOGICAL SCIENCES

Graduate Program 2025-2026

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

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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 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.
- 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 a wide range of 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.

Program Learning Objectives

The objective of the graduate program is to provide students from varied scientific backgrounds with an exceptional PhD training that enables them to complete their degrees in approximately 5 years, while producing top-level research and gaining the academic training and the professional development they need to succeed in a diverse range of careers. The curriculum is designed and timed to ensure students get the range of knowledge required to make informed choices about what research to pursue in their PhD, and this broad knowledge that is later augmented by the technical, operational and professional skills they learn through ongoing training and which together equip them to be leaders in either academia or the ever broadening, and rapidly evolving, biomedical work force after graduation.

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 and founded the bioRxiv preprint server. 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 45 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

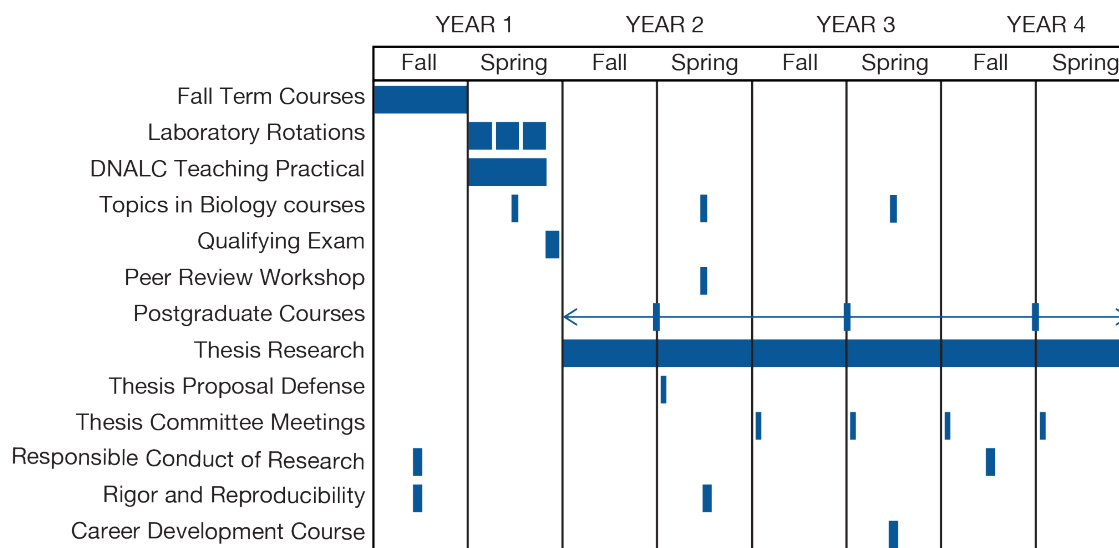
Advances in biology depend on multidisciplinary approaches, in which knowledge and technology from diverse areas intersect to inspire new discoveries. Today, however, the breadth of accumulated knowledge about biology is immense—far more extensive than any individual can assimilate. Thus, the curriculum 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 core 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. The full “*Curriculum at a Glance*” is shown following.

1.2.1 Curriculum at a Glance



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. Faculty receive mentor training based on the curriculum by the Center for the Improvement of Mentored Experiences in Research (CIMER).

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 meets regularly with the student to offer advice and support regarding the student’s academic and research progress, and their well-being

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 is not 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 their 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 may hold different views and can then offer unique and in-depth evaluations of the student. *The mentor pool available to students entering in Fall 2025 is detailed in Appendix II.*

Additional mentoring is provided by two Non-Research Faculty members, Alexander Gann, Professor of History of Biology (Dean of SBS 2013-2022) and Rebecca Leshan, Executive Director of the Banbury Conference Center. As non-research faculty, Alex and Rebecca provide alternative means for students to initiate a conversation on matters that may pose a conflict of interest for their academic and/or research mentor.

Students in years 2 and 3 should meet individually with the Director of Graduate Studies at the start of the academic year to discuss their progress in the training program and their plans for the upcoming year.

Students in year 4 write a postgraduate plan and discuss it with their thesis committee and the Director of Graduate Studies.

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). 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 18 to August 22, 2025 (*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 policies 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 18, 2025). 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. They are encouraged to discuss their choice with the Director of Graduate studies. The students subsequently 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 varied 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 three core courses—Scientific Reasoning and Logic, Scientific Exposition and Ethics, Specialized Disciplines, as well as the weekly research topics seminars—which span the length of the fall term. Students are also introduced to research activities at the Laboratory through an annual Laboratory-wide symposium and Laboratory-wide In-House seminars. Graduate Student Symposium occurs twice throughout the academic year.

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 their academic mentors. 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.

Students have the opportunity to attend the CSHL Pedagogy Course offered in collaboration with faculty from the State University of New York at Old Westbury (SUNY OW). Sessions include

Course Design, Learning Styles and Tools, and Assessment. Upon completion of the course, students may gain first-hand experience in undergraduate teaching at SUNY OW.

2.5 Mentoring Opportunities and Mentor Training

Students have numerous mentoring opportunities while receiving their graduate training. They may mentor participants of the summer Undergraduate Research Program and high school students as part of the Partners for the Future Program. In preparation for their mentoring experience, students are provided with mentor training based on the CIMER curriculum that addresses such competencies as Aligning Expectations, Assessing Understanding, and Fostering Independence.

2.6 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.

2.7 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.

2.8 The Summer Months

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

3. Fall 2025 Courses

Attendance in all courses is mandatory. If you need to miss a class, you must email the instructors and the School beforehand.

3.1 Scientific Reasoning and Logic

[Lead Instructors: Linda Van Aelst, Christopher Hammell, Leemor Joshua-Tor, Christopher Vakoc]

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.

About 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. 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	Lead Instructor
Gene Expression and Genetics	Vakoc
Macromolecular Structure and Function	Joshua-Tor
Gene Regulatory Logic and the Construction of Multicellular Organisms: Insights from Flies, Plants and Worms	Hammell
Mock Grant Study Section	Van Aelst

3.2 Scientific Exposition and Ethics

[Instructors: David Jackson – lead instructor, Jeremy Borniger, Hannah Meyer, Razan Alnahhas]

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: Alyson Kass-Eisler, Catherine Perez]

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 2025, two bootcamps are offered: Techniques in Molecular and Cell Biology, and Quantitative Biology. 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 2025 offerings are as follows:

3.5.1 Plant Biology

[Lead Instructor: Ullas Pedmale]

This course integrates fundamental and advanced concepts of plant biology, focusing on the cellular, molecular, and genetic mechanisms that govern plant life. The curriculum is structured

around critical areas of plant science: plant cell types, photosynthesis, plant hormones and their roles in growth and development, light signaling and flowering, plant stem cells, and stress biology and immunity.

The course will explore how plant cell types are specialized for different functions and how photosynthesis drives plant energy production. We will examine how plant hormones regulate growth and development, asking questions like: How do hormones interact to shape plant architecture? What are the molecular pathways that underlie these processes? The course will also delve into light signaling, examining how plants perceive light and how this influences their flowering patterns. Key questions include: How do plants integrate light signals into their growth and developmental programs? What genetic and molecular mechanisms control flowering time?

In studying plant stem cells/meristems, students will learn the genetic and signaling networks that control plant growth and organ formation. This section will ask: How are meristematic cells regulated at the molecular level? What are the key genetic interactions that maintain meristem function? Finally, the course will address plant stress biology and immunity, exploring how plants detect and respond to environmental stresses and pathogens. Key topics include: What are the signaling pathways involved in plant immunity? How do plants adapt to abiotic stresses such as drought or high salinity?

Through a combination of lectures, and paper discussion, this course will provide students with a deep understanding of plant biology, preparing them to tackle complex research questions in life science.

3.5.2 Cancer Biology

[Lead Instructors: Corina Amor Vegas, Peter Westcott]

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 Neuroscience

[Lead Instructors: Stephen Shea, Jessica Tollkuhn, Arkarup Banerjee]

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

[Lead Instructors: Justin Kinney, Helen Hou, Benjamin Cowley]

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.

3.6 Shared Core Principles in Biology

[Instructors: Arkarup Banerjee, Christopher Hammell, Zachary Lippman, Jessica Tollkuhn]

Shared Core Principles in Biology will explore the universal patterns and principles foundational to diverse biological systems. Spanning four interactive sessions at the end of the Fall term, we will discuss: (1) *Network Architecture and Function* – focusing on the prevalent network motifs consistently found across biology; (2) *Decision Making* – understanding how biological circuits process information and take decisions; (3) *Homeostasis* – examining the mechanisms that maintain stability amidst disturbances; and (4) *Network Evolution* – delving into the evolutionary trajectories that shape complex networks. Students will apply what they have learned throughout the Term to recognize and appreciate the interconnectedness of seemingly disparate disciplines such as plant genetics, development, cancer, and neuroscience.

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, Razan Alnahhas, Zachary Lippman]

Each year, invited instructors offer seven-day courses 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 have included:

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

Students are required to attend an assigned course in years 1 and 2 of the program. Students are also required to attend a third course of their choosing in years 3 or 4.

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. To obtain credit, please confirm your attendance in a course(s) with the Director of Academic Programs.

Students may also attend an off-campus course or meeting to satisfy one of the postgraduate course requirements, with prior approval of the Director of Graduate Studies. 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 Director of Graduate Studies.

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: Tobias Janowitz]

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: Hiro Furukawa]

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: Zachary Lippman, Bruce Stillman]

The Gavin Borden 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.

4.2.6 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 and Commitment; Data Management; Mentoring and Healthy Research Environments; 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; and 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, two-day course with a total duration of eleven 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. Students are required to take this course in their second year.

4.2.7 Peer Review Workshop

The peer review workshop is required for second year graduate students to provide students with a well-rounded training that includes non-research skills necessary for a scientific career. Led by our colleagues at CSHL Press, including Richard Sever, the co-founder of bioRxiv and medRxiv, students have the opportunity to review current preprints and demonstrate their critical thinking skills, improve their writing skills, and discuss topics outside their specific area of interest. The instructors lead discussions on the publication and peer review process and provide students with a guide for writing their peer reviews. The students' peer reviews are then discussed with the group with feedback provided by the instructors. The students gain the skills to think critically and to offer rigorous peer reviews contributing to the publication process early on in their careers.

4.2.8 Career and Skills Development Course

The career and skills development course is required for third year graduate students. In the course, students will have the opportunity to learn about the various career options available to PhDs, work on their own individual development plan, conduct informational interviews, and improve communication and mentoring skills. 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 2 hours.

Additional career programming is provided through the Postdoc, CASE, and Research Operations Offices, 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.

4.2.8 Optional internship opportunities

Experiential learning and internships have been shown to improve student confidence in career exploration without detracting from time to obtain their degrees. Students interested in pursuing an internship are encouraged to first speak with the Associate Dean and/or Director of Academic Programs to discuss internship opportunities. Options might include local partners Regeneron Pharmaceuticals and Google, or the other education divisions of CSHL such as Meetings and Courses, CSHL Press, and the Dolan DNA Learning Center. The student is required to get final approval from their doctoral research mentor and the Director of Graduate Studies before beginning their internship.

4.3 Courses and Credits

	Course	Credits
YEAR 1 (32 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
<u>Fall Term:</u>	Core course on Scientific Reasoning and Logic	8
	Core course on Specialized Disciplines in Biology	6
	Core course on Scientific Exposition and Ethics	2
	Research Topics Seminar	0.5
	Fall term exam	—
<u>Winter Term:</u>	Laboratory rotation (2)	4
	Teaching	0.5
<u>Spring Term:</u>	Laboratory rotation (1)	2
	Course on Topics in Biology	2.5
	Teaching	0.5
	Qualifying exam	—
<u>Summer Term:</u>	Laboratory research	3
YEAR 2 (7.5 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	2.5
	Peer Review Course	1
	CSHL Postgraduate course	1
YEAR 3 (7.5 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	2.5
	Career Development Course	1
	CSHL Postgraduate course	1
YEAR 4 (4 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
	CSHL Postgraduate course	1
	Internship (optional)	—
	Thesis defense	—
Total		51

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 their 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 Master's degree.

5.2 *Thesis Preparation and Defense*

With the approval of the thesis advisory committee, each student prepares a written thesis on their 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 *Requirements of Degree*

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 Director of Graduate Studies. 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. Assessment of each student's academic 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 discussion. Student progress in the thesis years is evaluated at specific benchmarks, such as the thesis proposal defense and the dissertation.

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 10 questions; students must not fail more than two of these questions in order to pass. Students who fail the Final Exam will be given one opportunity to re-take only the questions they initially failed. Students may not begin rotations until they have successfully completed the re-take. If a student does not pass the re-take, they may be subject to dismissal from the program.

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 three courses within 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.

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 their 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, they 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 their thesis committee, each student prepares a report describing their research progress for review by the committee. Each meeting begins without the doctoral research mentor, providing the student with an opportunity to discuss in confidence with their committee any issues of concern. This is followed by the research mentor discussing the student's progress in confidence with the committee without the student. The meeting then ensues with the student presenting their research progress. After meeting with the student, the chair of the thesis committee prepares a report describing the student's progress in their thesis and the committee's advice to the student. The report also includes assessment of presentation and analytical skills, breadth of knowledge, rigor and reproducibility in experimentation, and independence acquired during their training. This report is accompanied by a quantitative assessment by the committee members of the student's attributes.

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 Director of Graduate Studies 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 51 credits.

6.6 Change of Thesis Lab

Students may change their thesis lab because of changes in research interests and/or an incompatible mentor-mentee relationship. Resources and tools are available from the School for improving mentor-mentee relationships and aligning expectations. Students and advisors are encouraged to utilize these tools to proactively and as issues arise. The student must also first discuss their intent and reason for changing labs to their academic mentor, followed by a discussion with the School staff. Final approval for the lab change comes from the Director of Graduate Studies and the Executive Committee after discussions with the student, academic mentor, and research mentors. If the student changes their research lab, they are required to write and defend a new thesis proposal.

In the event that a student's research mentor leaves CSHL the student may 1) continue their thesis work at CSHL in the absence of the mentor; 2) leave CSHL with the mentor and receive their

degree from the host institution; 3) leave CSHL with the mentor and receive their degree from CSHL; or 4) choose an alternative research mentor with a new thesis project. The student and their research mentor will determine which of these options is best suited for the student with final approval from the Director of Graduate Studies. Funding for students in such situations will be determined by the Director on a case-by-case basis.

6.7 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. 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.

After the student successfully defends their 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, placed 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 Director of Graduate Studies and the Executive Committee.

6.8 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.

6.9 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 highly encouraged to have a published manuscript or pre-print prior to completion of degree requirements.

6.10 Student Retention, Graduation and Outcomes

Since 1999, a total of 240 students have enrolled at the School of Biological Sciences. Between 1999 and 2018, 96% of entering students earned degrees from the program: 86% earned Ph.D. degrees and the remainder earned M.S. degrees. Upon graduation, 64% of doctoral graduates have taken postdoctoral positions, 22% have taken independent positions in academia or industry, 11% have taken non-research positions in science, and 3% have taken faculty positions. For those students who completed their studies between 2003 and 2018, 41% percent of graduates are now in faculty positions, 14% are in postdoctoral or staff positions in academic labs, 10% hold positions in non-research scientific careers such as journal editing, administration, scientific core management and business, and 35% are in industry or biotech positions.

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 their grievance with their academic mentor. If, after such discussion, the student wishes to pursue the grievance further, they should discuss it with the Director of Graduate Studies, 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 their thesis committee Chair or to the Director of Graduate Studies. 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 they have 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 their 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 they are satisfied that the conflict has been resolved successfully, by submitting a written statement of withdrawal.

7.1.1 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 Director of Graduate Studies. 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 Director of Graduate Studies 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.

7.1.2 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.

7.1.3 Grievance 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

8.1 Student Stipend

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 \$45,000 per year. Graduate Students who receive an independent fellowship shall receive a stipend 10% greater than the initial stipend level (\$45,000). If the student's fellowship offers a stipend above the basic stipend plus 10% (greater than \$45,000), the student will be paid the stipend's rate without receiving an additional 10%. If a student receives two full independent fellowships, but the timing of the awards creates a gap in funding, they may continue to receive the 10% increase during the time that they are not funded by the fellowships, for up to one year. Students do not receive additional compensation for teaching. *See Graduate Student Stipend Policy in Appendix V for more details.*

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.

8.2 Thesis Research Funds

Each year, for years 2-4, the student and research mentor are provided with \$4,000. First-year students receive \$2000. This money is for research and career development costs specifically related to the student's needs. Students may petition the School for additional funds after they have discussed the matter with their research mentor. Such funds are to be allocated on a case-by-case basis at the discretion of the Director of Graduate Studies.

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

Students may petition the Director of Graduate Studies 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 Director of Graduate Studies 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. *See the Leave of Absence policy in Appendix V for more details.*

10. Facilities

10.1 Computing Services

10.1.1 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.

10.1.2 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.

10.1.3 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 Wi-Fi access at all locations including the outside plazas. Redundant fiber optic paths to the Internet provides up to 10 Gbps of connectivity to external sites. Dark fiber to off-campus facilities, including the Banbury Center, ensures that all high-bandwidth data transfer requirements are met.

High-Performance Computing (HPC) is crucial for accelerating research that involves large-scale data analysis and complex computations. It enables researchers to process vast datasets quickly, facilitating breakthroughs in fields like genomics, neuroscience, and cancer research.

Our HPC cluster is a powerful and evolving resource. It is composed of multiple interconnected computers, or nodes, that work in concert to efficiently perform massive calculations. Compute nodes are interconnected via a high-speed Ethernet network, enabling fast data transfer and seamless integration with our storage environment. The distribution of computational work across the cluster is managed by Altair Grid Engine (AGE), ensuring efficient and fair utilization of resources.

The current cluster is powered by Intel Xeon Gold and Platinum processors, providing over 2000 cores. We also offer specialized high-memory and GPU nodes, including 56 NVIDIA Tesla V100 GPUs, 60 NVIDIA H100 NVL GPUs, empowering advanced AI and machine learning applications.

10.1.4 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 HPE. Scientific data storage, currently well in excess of 17 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 spring of 2024, CSHL upgraded and expanded the main data storage system. The previous system, a GridScaler GS14K, was acquired from Data Direct Networks (DDN) in the fall of 2017 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 GS14K demonstrated significantly faster data transfer rates than the previous generation of DDN hardware (GS7K) that it was supplanting and met or exceeded our performance requirements. In 2024 CSHL acquired a pair of GridScaler 400NVX2-S systems, with three times the theoretical throughput of the GS14K and far greater expandability. The enhanced performance metrics of the 400NVX2 provides the requisite capability to support new AI/QB workloads. To accommodate increasing cloud presence, and cross-institution collaboration, our internet connectivity was increased five-fold in 2027 by upgrading our external network connectivity from 2Gbps to 10Gbps.

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.

10.1.5 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 their [Ticketing system](#) (login is your CSHL email & password). 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). More information can be found on the [IT website](#). 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

10.2.1 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 faculty by providing access to resources 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 resources in print including journals and textbooks. The Library's print collections include books about science, the history of science, and books on scientific writing. Whether you are grant writing or preparing a thesis defense, the Cold Spring Harbor Laboratory Library provides an inviting space, equipped with reading rooms and small private study rooms that serve 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. There is also a collection of neuroscience books in the Beckman building, and a small collection of quantitative biology books in the Koch buildings.

10.2.2 Library Access

The main Library is accessible 24/7 with a CSHL ID card. The Library's staff is available to provide in-person assistance Monday-Friday from 9:00 am to 10:00 pm. All digital Library resources are also available off-campus through VPN access.

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, x6872, or by emailing libraryhelp@cshl.edu.

Desktop computers (Macs and PCs) are available for use within the library.

Two networked **color photocopier**/printer/scanners are available in a copy room on the main floor. You can print in person or remotely.

Located in the basement of the building, our “**Russian Tea Room**” is freely available for use and includes a refrigerator/freezer, microwave, toaster, filtered water, coffee or tea, and dining table for the library patrons and staff alike.

10.2.3 Library Website

This is the source for everything the library has to offer, including resources, services, and 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/>

10.2.4 Journals, eBooks, Databases, and Protocols

All current journal subscriptions are available online. 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 Librarians, 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 (<https://cosp.sirsi.net/uhtbin/cgisirsi/0/x/0/60/502/X>)

10.2.5 Science Informationists

Kathleen McGuire and Jacqueline Gunther, the Science Informationists, are the liaison between the Library and the Laboratory's scientific community. The Science Informationists provide in-depth guidance on the effective use of library resources. This includes one-on-one and group training in:

- Optimal use of databases (PubMed, Web of Science, Scopus, etc.)
- NCBI Resources: My Bibliography, SciENcv, etc.
- Conducting literature searches and creating automatic citation alerts
- Assisting in writing and preparing theses
- Navigating author rights and copyright for publications and dissertations
- Setting up and integrating profile systems e.g. Elements, ORCID, Scopus
- Federal Public Access Compliance
- Reference Management (EndNote, Mendeley, Paperpile, and Zotero)

Contact Kathleen at x6844 or kmcguire@cshl.edu or Jacqueline at x8825 or gunther@cshl.edu for assistance.

10.2.6 The Research Engagement and Data Curator

Jacqueline Gunther will assist with the data needs of the scientific community by providing information and resources regarding data management and sharing policies and helping with grant applications. Additionally, the curator will assist with acquiring Electronic Lab Notebook software, as well as, help with scientific profiles. Jacqueline participates in the institution's effort to measure the impact of CSHL research by developing metrics, collecting, and analyzing publication and engagement data. Contact Jacqueline at x8825 or gunther@cshl.edu for assistance with the following:

- Developing Data Management Plan documents for NIH, NSF, or other funding sources
- Research data management (data management plans, data organization, etc.)
- Research data sharing (curating, choosing a repository, following standards, etc.)
- Data tracking post-award for compliance
- Maintaining electronic lab notebooks
- Calculating and tracking research impact, publication citation counts, journal impact factor
- Bibliometric and altmetric analysis

10.2.7 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.

10.2.8 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 chapters 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.

Literature searches and Reference management: 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. The librarians can teach/help you with these skills.

To build your library of references you will need to use software such as EndNotes, Mendeley, and Zotero. Our Science Informationists can teach you the best way to use the software for your literature collection and writing needs. You can check out our LibGuides on [Endnote](#), [Mendeley](#), and [Zotero](#).

LibGuides (<https://cshl.libguides.com/>) provide information and short tutorials on topics ranging from finding [databases](#) for your research, and vital introductory information for 1st-year students to getting [settled on Long Island](#). These can be a great starting point for learning about relevant skills and resources to assist in your research career. Also, check our LibGuide for the [1st year graduate students](#).

Center for Humanities and Modern Biology (<https://www.cshl.edu/education/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), and host virtual, as well as physical exhibitions. The Center leads the Oral History Project and annual meetings on the 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 science, and visions of the future by prominent scientists.

10.2.9 CSHL Archives

The CSHL Archives (<https://www.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? Find out about researchers who worked in your building and their breakthroughs.

10.2.10 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	Systems and Operations Manager		tadams@cshl.edu
Jacqueline Gunther, Ph.D	Research Engagement and Data Curator		gunther@cshl.edu
Kathleen McGuire	Science Informationist		kmcguire@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

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; CryoEM; Flow Cytometry; Functional Genomics (RNAi and CRISPR); Gene Targeting and Transgenic Mice; Histology; MapSeq/BARseq; Mass Spectrometry; Microscopy; Next Gen Sequencing; Organoid; Single-Cell Biology; Tissue Culture; and Uplands Farm. For more information, visit: <https://intranet.cshl.edu/core-facilities/core-facilities/>

10.4 Office of Career Advancement & Scientific Engagement

The office of Career Advancement and Scientific Engagement (CASE) is the central hub for career development and community building for all students and scientists on campus, particularly those early in their careers such as PhD students, postdoctoral fellows, and research technicians. Current programs span a variety of topics including scientific development, career exploration, communication, mentoring, networking, and other transferable skills. The CASE office is also home to CSHL's trainee-led and mission-driven affinity groups (described below), which develop and run their own complementary programs in career development, outreach, and advocacy, with guidance and support from CASE staff members. The CASE office works closely with the School of Biological Sciences and all other research, training, and administrative divisions that support scientists at CSHL.

10.5 Amenities

Cold Spring Harbor Laboratory offers many amenities. It has extensive resources for recreational activities including a fitness room; pool; 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, pickleball, and weekly soccer games.

Blackford Hall and the Hillside Café provide dining facilities, coffee and an on-campus bar for employees. The Laboratory 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 have included 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 without School approval.

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. Vision benefits are provided through EyeMed.

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, it can also be helpful to participate in a few coaching/ counseling sessions for additional support. 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 Brian Quinn at (631) 424-5042 or at bquinn2@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 in the Davenport building by appointment. The program can assist students with a wide range of concerns from emotional and behavioral issues to learning difficulties.

- Family issues – marital/relationship concerns, homesickness, financial issues, substance use

- 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 Brian Quinn at (631) 424-5042 or at bquinn2@northwell.edu.

Also, a free and confidential offsite Employee Assistance Program (EAP) is available 24 hours a day, 7 days a week to all students and their covered dependents who are enrolled in the United Healthcare EPO. 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 then press 2 to identify as an EAP member. This service consists of telephonic sessions or face-to-face sessions with an offsite psychologist. EAP members may also access mental health education and resources by visiting www.liveandworkwell.com and entering UHC as the company access code.

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

11.1.2 SightMD 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, 8:30am to 4:30pm. It is recommended that you schedule an appointment by calling 516-422-4422 or emailing cshlwellness@northwell.edu. 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 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. The monthly fee for these locations is \$850.00, and all utilities and Wi-Fi are included. Single second-year graduate students can apply for housing through the Laboratory's Residence Housing program. Longer term Campus Housing is first come, first served, and not guaranteed. 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 to three individuals. The housing fee for these locations range from \$950.00 to \$1100.00 per month, all included. For all residences in the program, there is a \$500.00 security deposit which will be held in escrow and returned upon inspection, and departure.

Uplands Farm has a group of residences located less than a five-minute drive to the Laboratory with weekday shuttle service provided to and from the Main Campus throughout the 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 housing fee for the above locations ranges between \$950.00 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 WiSE

CSHL WiSE (Women in Science and Engineering) is dedicated to fostering an environment where all individuals in science can thrive. Through mentorship, networking, and educational opportunities that center the experiences of girls and women, WiSE supports scientists across all career stages in STEM, both on-campus and within the broader Long Island community. Each year, WiSE engages over 100 local students through hands-on scientific tours, activities, and camps. Membership in WiSE is open to all trainees and scientists at CSHL, and students of all genders are welcome in its programs.

11.3.2 DIAS

CSHL DIAS (Diversity Initiative for the Advancement of STEM) amplifies the voices of scientists from all backgrounds within CSHL and beyond. It aims to make science accessible by leading education and outreach events which center the experiences scientists from groups historically marginalized in STEM. DIAS collaborates closely with the CSHL administration to advocate for and support these groups, and to foster a welcoming environment for all in science. Membership in DIAS is open to all trainees and scientists at CSHL.

11.3.3 BEC

The mission of the Bioscience Enterprise Club (BEC) is to expose CSHL research trainees to careers outside of academia, and help them leverage their cross-disciplinary skill sets and expertise to transition into fulfilling bioscience careers. To accomplish this, BEC organizes events that showcase diverse career paths, provide networking opportunities, and sharpen professional skills needed in these careers.

11.3.4 PDLC

The Postdoc Liaison Committee (PDLC) mission is to improve the postdoctoral experience at CSHL by providing personal and professional support to the CSHL postdoc community. PDLC meets regularly with CSHL's postdocs and postdoc advisory committee to discuss postdoc affairs at CSHL, and it represents postdoc concerns in discussions with CSHL's leadership. Members of PDLC are elected each year by their peers.

11.4 Affiliate Memberships

11.4.1 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.

11.4.2 Science Alliance

The New York Academy of Sciences is an independent, not for profit organization committed to advancing science and technology for the benefit of society. The Academy hosts the Science Alliance program to offer students and faculty access to cutting-edge STEM content, leadership training, and networking opportunities.

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, Julie Block-Rosen - blockro@cshl.edu - (516) 367-5017. Additional information may be found at <http://intranet.cshl.edu/administration/human-resources/title-ix>.

13. Accreditation

Cold Spring Harbor Laboratory School of Biological Sciences is accredited by the New England Commission of Higher Education (formerly the Commission on Institutions of Higher Education of the New England Association of Schools and Colleges, Inc.).

Accreditation of an institution of higher education by the Commission indicates that it meets or exceeds criteria for the assessment of institutional quality periodically applied through a peer review process. An accredited college or university is one which has available the necessary resources to achieve its stated purposes through appropriate educational programs, is substantially doing so, and gives reasonable evidence that it will continue to do so in the foreseeable future. Institutional integrity is also addressed through accreditation.

Accreditation by the Commission is not partial but applies to the institution as a whole. As such, it is not a guarantee of every course or program offered, or the competence of individual graduates. Rather, it provides reasonable assurance about the quality of opportunities available to students who attend the institution.

Inquiries regarding the accreditation status by the Commission should be directed to the administrative staff of the institution. Individuals also may contact:

New England Commission of Higher Education
301 Edgewater Place, Suite 210, Wakefield, MA 01880
781-425-7785
E-Mail: info@neche.org

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 <https://www2.nysed.gov/heds/IRPSL1.html>

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

Appendix I
The Role of an Academic Mentor

School of Biological Sciences

The Role of an Academic Mentor

A unique aspect of the School of Biological Sciences graduate program is our ‘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. 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 second faculty member of the Lab community. These interactions can have an enormous impact on students during the course of their graduate studies and can influence their well-being and 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.

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 Term. 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 Fall Course term, mentors and students are encouraged to meet once a month. This will enable a bond to develop between the student and their academic mentor, and for the student to discuss potential rotation laboratories with their mentor.
- (f) At the end of the 3 laboratory rotations, students are to meet with their academic mentors to discuss their choice of thesis laboratory.
- (g) Mentors will sit on the thesis committee of their mentee, but cannot be chair of that committee.
- (h) Beginning with the students' second year, they are to meet with their mentor annually, at a minimum, and preferably more often.
- (i) The academic mentor will submit an evaluation of the mentee's progress at the end of each academic year.

Appendix II
Academic Mentor Pool



Cold Spring Harbor Laboratory
School of Biological Sciences



ACADEMIC MENTORS POOL - FALL 2025

	<u>E-mail</u>	<u>Lab/Office</u>	<u>Phone (Office)</u>
Albeanu, Florin	albeanu	Marks	8822
Borniger, Jeremy	bornige	Demerec	5015
Dos Santos, Camila	dossanto	McClintock	5042
Hou, Xun, Helen	hou	Axinn	5223
Kinney, Justin	jkinney	Koch	5230
Lukey, Michael	lukey	Demerec	5016
Mills, Alea	mills	James	6910
Navlakha, Saket	navlakha	Koch	5540
Pedmale, Ullas	pedmale	Delbruck	5991
Schorn, Andrea	aschorn	James	5980
Shea, Stephen	sshea	Axinn	8823
Trotman, Lloyd	trotman	James	5054
Vakoc, Christopher	vakoc	Quick	5030
Westcott, Peter	westcott	McClintock	8426

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

Appendix III
Faculty Research Interests

Cold Spring Harbor Laboratory
School of Biological Sciences
Faculty Research Interests

Dinu Florin Albeanu

Neuronal circuits; sensory coding; synaptic plasticity; neuronal correlates of behavior; olfactory processing

Katherine Alexander

Gene regulation; nuclear speckles; chromatin organization; transcription factors

Corina Amor Vegas

Senescence; aging; cancer; immunology; cellular communication; mouse models; Cancer Center

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

Synapse; refinement; pruning; sensory experience; microglia; development; autism; 2-photon imaging; single-cell RNA-sequencing; cytokine

Benjamin Cowley

Computational neuroscience; closed-loop experiments; interpretable models; deep neural network models; machine learning

Camila Dos Santos

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

Douglas Fearon

Cancer immunology; pancreatic cancer; mouse models

Hiro Furukawa

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

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

Helen Xun Hou

Neural circuits; neural behaviors; brain-body interaction; electrophysiology; movement control; neural computation

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

Mitra Javadzadeh

Visual cortex; dynamics; population activity; inter-areal communication; systems neuroscience; computational neuroscience; electrophysiology

Leemor Joshua-Tor

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

Justin Kinney

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

David Klindt

Artificial intelligence; computational neuroscience; sensory information processing; robust perception; representation learning

Peter Koo

Sequence-function relationships; deep learning; representation learning

Alexei Koulakov

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

Adrian Krainer

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

Dan Levy

Computational biology; human genetics; phylogenetics; copy number variation

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 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

Ullas Pedmale

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

Gabrielle Pouchelon

Neural circuits; development; gene regulation; synaptic refinement; plasticity; neurodevelopmental disorders

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 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

Peter Westcott

Cancer genomics; immunology; tumor evolution; advanced mouse models; single cell and spatial omics

Anthony Zador

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

Lingbo Zhang

Hematologic malignancies; tumor microenvironment; metabolites; micronutrients; neurotransmitters; diets; nervous system activities

Appendix IV
Fall 2025 Sample Weekly Schedules

School of Biological Sciences: Fall Course Term 2025 Week 1 (August 18 - August 22, 2025)
Orientation Week

	Monday 8/18/25	Tuesday 8/19/25	Wednesday 8/20/25	Thursday 8/21/25	Friday 8/22/25
9:00 AM		(9:15)			
9:30	Matriculation - Urey	Benefits Orientation	Advancement Breakfast Urey	Library Orientation	
10:00				Szybalski Room, Library	Title IX Training
10:30	Curriculum				Plimpton, Beckman
11:00			Wellness Center & On-site Counselor - Urey		
11:30		Urey	Class Photo		
12:00 PM	Lunch				
12:30	Urey				
1:00	IT	Housing Orientation			
1:30	Urey	Urey	Ombuds, Urey	Fire Safety Drill	
2:00				Knight House	
2:30	IDs	TD Bank (optional)	International Student Orientation - Urey		
3:00	Richards				
3:30		Urey			
4:00					
4:30					
5:00					Student Welcome Party
5:30					
6:00					Knight House
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2025 Week 2 (August 25 - August 29, 2025)

	Monday 8/25/25	Tuesday 8/26/25	Wednesday 8/27/25	Thursday 8/28/25	Friday 8/29/25
9:00					
9:30	Security Training, Keith Urey				
10:00				Mol Bio Bootcamp McCombie & Goodwi	Mol Bio Bootcamp Furukawa
10:30				Plimpton, Beckman	Plimpton, Beckman
11:00					
11:30					
12:00					
12:30 PM					
1:00					
1:30	Mol Bio Bootcamp Trotman	Mol Bio Bootcamp Wee		Mol Bio Bootcamp Preall	
2:00	Plimpton, Beckman			Plimpton, Beckman	
2:30					
3:00					
3:30					
4:00		Hershey West			
4:30					
5:00	New Employee & Student Reception		Research Topics with dinner		
5:30	Blackford Bar		Urey		
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2025 Week 3 (September 1 - September 5, 2025)

	Monday 9/1/25	Tuesday 9/2/25	Wednesday 9/3/25	Thursday 9/4/25	Friday 9/5/25
9:00	LABOR DAY <i>Lab Holiday</i>	QB Bootcamp	SEE	QB Bootcamp	QB Bootcamp
9:30		<i>Plimpton, Beckman</i>	<i>Samet, Koch</i>	<i>Plimpton, Beckman</i>	<i>Samet, Koch</i>
10:00					
10:30					
11:00					
11:30					
12:00					
12:30 PM					
1:00			<i>1:15pm start</i>	QB Bootcamp	SEE (1:15)
1:30		QB Bootcamp	QB Bootcamp		<i>James</i>
2:00					
2:30					
3:00					
3:30					
4:00					
4:30		<i>Plimpton, Beckman</i>	<i>Samet, Koch</i>	<i>Samet, Koch</i>	
5:00	Research Topics with dinner				
5:30					
6:00					
6:30					
7:00			<i>Urey</i>		
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2025 Week 4 (September 8 - September 12, 2025)

	Monday 9/8/25	Tuesday 9/9/25	Wednesday 9/10/25	Thursday 9/11/25	Friday 9/12/25
9:00					
9:30	SEE <i>Samet, Koch</i>		SRL Gene Expression Hammell <i>Samet, Koch</i>		
10:00		SRL Gene Expression Vakoc & Hammell <i>Plimpton, Beckman</i>		SRL Gene Expression Vakoc <i>Samet, Koch</i>	SRL Gene Expression Vakoc <i>Samet, Koch</i>
10:30					
11:00					
11:30					
12:00					
12:30 PM					
1:00					SEE (1:15) <i>James</i>
1:30					
2:00		SRL Gene Expression Hammell <i>Urey</i>	Sp. Discp. QB <i>Statistics</i> <i>Cowley</i> <i>Samet, Koch</i>	SRL Gene Expression Gann & Martienssen <i>Pulling, Beckman</i>	
2:30	Sp. Discp. QB <i>Statistics</i> <i>Cowley</i> <i>Samet, Koch</i>				Sp. Discp. QB <i>Statistics</i> <i>Krasnitz</i> <i>Samet, Koch</i>
3:00					
3:30					
4:00		Director's Tea <i>Urey</i>			
4:30					
5:00			Research Topics with dinner <i>Urey</i>		Lab Picnic & Raft Race <i>(optional)</i>
5:30					
6:00					
6:30					
7:00					
7:30					CSHL Beach
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2025 Week 9 (October 13 - October 17, 2025)

	Monday 10/13/25	Tuesday 10/14/25	Wednesday 10/15/25	Thursday 10/16/25	Friday 10/17/25
9:00	Columbus Day/ Indigenous Peoples' Day LAB HOLIDAY	SRL Development Hammell	SEE	Sp. Discp. Plant Bio	SRL Development Hammell
9:30		Urey			Samet, Koch
10:00			Samet, Koch	Pedmale Delbruck	
10:30					
11:00					
11:30					
12:00				CSHL Seminar Bush Auditorium	
12:30 PM					
1:00					SEE (1:15) James
1:30					
2:00			Sp. Discp. QB Hou Samet, Koch		
2:30		Sp. Discp. Plant Bio			Sp. Discp. QB
3:00		Pedmale Delbruck			Hou Samet, Koch
3:30					
4:00					
4:30					
5:00	Neuro methods Bootcamp w/dinner TBD	Research Topics with dinner Urey	Neuro methods Bootcamp w/dinner TBD		
5:30					
6:00					
6:30					
7:00					
7:30					
8:00					
8:30					

School of Biological Sciences: Fall Course Term 2025 Week 15 (November 24 - November 28, 2025)

	Monday 11/24/25	Tuesday 11/25/25	Wednesday 11/26/25	Thursday 11/27/25	Friday 11/28/25
9:00				THANKSGIVING LAB HOLIDAY	THANKSGIVING LAB HOLIDAY
9:30	SEE				
10:00					
10:30					
11:00					
11:30	Samet, Koch				
12:00					
12:30 PM					
1:00					
1:30			NO CLASSES		
2:00	Sp. Discp. Neuro ador, Tollkuhn, Banerjee				
2:30					
3:00					
3:30					
4:00	TBD				
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 2025 (December 8 - 12, 2025)

	Monday 12/8/25	Tuesday 12/9/25	Wednesday 12/10/25	Thursday 12/11/25	Friday 12/12/25
9:00	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 2025 (December 15 - 19, 2025)

	Monday 12/15/25	Tuesday 12/16/25	Wednesday 12/17/25	Thursday 12/18/25	Friday 12/19/25
9:00	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
School 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.



Cold Spring Harbor Laboratory

SCHOOL OF BIOLOGICAL SCIENCES

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.



School of Biological Sciences
Reasonable Accommodation Policy

1.0 PURPOSE

To assist in the implementation of the reasonable accommodation provisions as required by federal, state, and local law.

2.0 SCOPE

This policy applies to all prospective and current students of Cold Spring Harbor Laboratory's School of Biological Sciences.

3.0 RESPONSIBILITY

The interpretation and administration of this policy is the responsibility of the Director of Graduate Studies and the Vice President, Chief Human Resources Officer.

4.0 POLICY

Cold Spring Harbor Laboratory's School of Biological Sciences ("the School") recognizes that individuals with disabilities, pregnant and parenting individuals, individuals with a status as a victim of domestic violence, sexual violence, or stalking, and individuals who observe certain religions, may need reasonable accommodations with respect to their participation in programs and activities at the School. The School will provide a reasonable accommodation to a qualified individual, provided that such accommodation does not impose an undue hardship on the School. The School will consider and respond to each request on a case-by-case basis.

5.0 REASONABLE ACCOMMODATION REQUESTS

Students seeking an accommodation under this policy should contact the Associate Dean, and provide the reasonable accommodation intake form, attached as Appendix A, as well as supporting documentation. The request for accommodation must be submitted with adequate time for it to be considered and a determination made. The Associate Dean, or a designee, may, when necessary and in a confidential manner, consult with appropriate School officials, to determine program requirements and appropriate accommodations.

The School will engage in an interactive process with the individual in order to determine whether to grant the request. The interactive process involves the School working with the individual to identify existing barriers to the individual's access to programs and activities at the School, with the intention of finding an appropriate accommodation to address those barriers.

6.0 DISABILITY ACCOMMODATIONS

The School prohibits discrimination on the basis of disability. The School will provide reasonable accommodations for a student who has a qualifying physical or mental impairment that substantially limits one or more major life activities, has a record of such an impairment or is regarded as having such an impairment.

6.1 Service Animals

A service animal is trained to work or perform tasks for the benefit of an individual with a disability. The work or tasks performed by a service animal must be directly related to the individual's disability. The School has the right to ask for: 1) an affirmation that the service animal is required because of a disability and 2) a description of the work or task that the animal has been trained to perform. If needed, the School may ask for documentation that the service animal is in compliance with all required New York State requirements associated with licensing, vaccinations, and other health regulations.

6.2 Emotional Support Animals

Emotional support animals are animals utilized by individuals with disabilities for emotional support, well-being, or comfort. Students requesting an accommodation for an emotional support animal must submit a request each academic year, along with current supporting documentation from a medical or mental health provider. If needed, the School may also ask for documentation that the animal is in compliance with all required New York State requirements associated with licensing, vaccinations, and other health regulations.

6.3 Additional Restrictions Regarding Service and Emotional Support Animals

Students must not leave their animal unattended, and the animal must remain leashed at all times when in and around campus facilities. The School may prohibit the use of animals in certain locations because of health and safety restrictions (e.g., where the animals may be in danger, or where their use may compromise the integrity of research) or where the animals' presence would fundamentally alter the nature of a particular service, program, or business of the Laboratory or School. Restricted areas may include, but are not limited to, the following areas: research laboratories, areas where protective clothing is necessary, rooms with heavy machinery, and areas outlined in state law as being inaccessible to animals. When these situations are identified, the student and the School must work together to determine how best to maintain the learning environment while still reasonably accommodating the student.

The School will notify other residents within the housing assignment (as well as maintenance and security staff, as needed), that the service or emotional support animal will be residing in a shared living space. If the presence of the animal is creating an access

issue for another resident or student with a disability (e.g., life limiting animal allergies), the student with the service or emotional support animal is expected to work with the School and any other appropriate Laboratory offices to address the access concerns in a manner that allows all impacted students to be reasonably and appropriately accommodated.

7.0 ACCOMMODATIONS BASED ON PREGNANCY, CHILDBIRTH OR A RELATED MEDICAL CONDITION

The School supports the academic success of pregnant and parenting students and prohibits discrimination based on pregnancy, childbirth, or recovery from related conditions, in all of its educational programs and activities pursuant to Title IX of the Education Amendments of 1972.

8.0 INDIVIDUALS WITH A STATUS AS A VICTIM OF DOMESTIC VIOLENCE, SEXUAL VIOLENCE OR STALKING

Individuals requesting an accommodation based on their status as a victim of domestic violence, sex offense, or stalking should contact the Title IX Coordinator. The Title IX Coordinator, or a designee, and the individual will engage in an interactive process with the goal of finding an acceptable accommodation. Individuals may be required where appropriate to submit an intake form and/or provide appropriate documentation to support their status as a victim of domestic violence, sex offense or stalking and to help the School determine a reasonable accommodation. Victims of domestic violence, sex offense, or stalking should consult the Interim Policy and Procedures for Allegations of Title IX Sexual Harassment, available on the School's website, to the extent they need immediate and supportive interim measures that are not addressed herein.

9.0 RELIGIOUS ACCOMMODATIONS

The School prohibits discrimination on the basis of religion. In accordance with New York State Education Law § 224-a, students may miss classes because of their observation of religious holidays. A full list of rights under New York State Education Law § 224-a, is attached as Appendix B.

10.0 ANTI-RETALIATION POLICY

The School prohibits retaliation against individuals for requesting reasonable accommodations, appealing decisions concerning such requests, or for making or participating in claims of discrimination.

11.0 GRIEVANCE PROCESS

In accordance with Cold Spring Harbor Laboratory's Equal Employment Opportunity, Anti-Discrimination, Anti-Harassment, Including Sexual Harassment, and Anti-Retaliation Policy and Interim Policy and Procedures for Allegations of Title IX Sexual Harassment, an individual who believes they been the victim of discrimination or retaliation under this policy should immediately inform the Vice President, Chief Human Resources Officer (516-367-8499) or the Chief Operating Officer (516-367-5200).

The School reserves the right to interpret, administer, revise, supplement, or rescind policies as it deems appropriate.

Appendix A



Cold Spring Harbor Laboratory

School of Biological Sciences

Reasonable Accommodation Intake Form

Name: _____

Preferred Contact Address: _____

Preferred Contact Phone Number: _____

Preferred Email Address: _____

Basis for request (choose all that apply):

- ☐ Disability ☐ Religion ☐ Pregnancy, childbirth, or other related medical condition
☐ Victim of domestic violence, sexual violence or stalking

Request for Accommodation

Please describe the accommodation(s) requested:

Is the condition or circumstance for which you are requesting an accommodation:

- ☐ Permanent ☐ Temporary ☐ Unknown duration

If temporary, please provide the anticipated date that the accommodation(s) are no longer needed: _____

You may be required to provide verification by a health professional or other service provider.

Medical verification/documentation should, to the extent possible:

- Be written on the official letterhead of the qualified health professional or health professional's organization
- Identify the health professional's credentials. (E.g., M.D.)
- Be dated and signed by the health professional

- Describe the limitations in detail as they currently exist and only in relation to your needs as a student at CSHL.
- State whether the duration of the limitation is permanent or temporary or unknown
- If temporary, specify the date the limitation is expected to no longer require accommodation

For those requesting service animals:

1. I affirm that the service animal is required because of a disability, and
2. Provide a description of the work or task that the animal has been trained to perform: _____

I certify that I have read and understood the information provided in this request, and that it is true to the best of my knowledge, information and belief. I understand that I may be contacted by Cold Spring Harbor Laboratory to provide additional information about the limitation(s) or circumstance(s) described above in connection with my request for an accommodation.

Requestor's Signature: _____ Date: _____

Please submit this form and any accompanying documents to the Associate Dean, except where requesting an accommodation on the basis of being a victim of domestic violence, sexual violence or stalking, which should be submitted to the Title IX Coordinator.

New York State Education Law Section 224-A

Students unable because of religious beliefs to register or attend classes on certain days

1. No person shall be expelled from or be refused admission as a student to an institution of higher education for the reason that [they are] unable, because of [their] religious beliefs, to register or attend classes or to participate in any examination, study or work requirements on a particular day or days.
2. Any student in an institution of higher education who is unable, because of [their] religious beliefs, to attend classes on a particular day or days shall, because of such absence on the particular day or days, be excused from any examination or any study or work requirements.
3. It shall be the responsibility of the faculty and of the administrative officials of each institution of higher education to make available to each student who is absent from school because of [their] religious beliefs, an equivalent opportunity to register for classes or make up any examination, study or work requirements which [they] may have missed because of such absence on any particular day or days. No fees of any kind shall be charged by the institution for making available to the said student such equivalent opportunity.
4. If registration, classes, examinations, study or work requirements are held on Friday after four o'clock post meridian or on Saturday, similar or makeup classes, examinations, study or work requirements or opportunity to register shall be made available on other days, where it is possible and practicable to do so. No special fees shall be charged to the student for these classes, examinations, study or work requirements or registration held on other days.
5. In effectuating the provisions of this section, it shall be the duty of the faculty and of the administrative officials of each institution of higher education to exercise the fullest measure of good faith. No adverse or prejudicial effects shall result to any student because of [them] availing [themselves] of the provisions of this section.
6. Any student, who is aggrieved by the alleged failure of any faculty or administrative officials to comply in good faith with the provisions of this section, shall be entitled to maintain an action or proceeding in the supreme court of the county in which such institution of higher education is located for the enforcement of [their] rights under this section.



SEXUAL OR ROMANTIC RELATIONSHIPS POLICY

1.0 PURPOSE

Sexual or romantic relationships may raise actual or perceived conflicts of interest, favoritism, and unfair treatment when both people are in the same work or academic environment. This is especially true when one person has supervisory authority over the other, or the authority to hire, fire, promote, discipline, evaluate, assign, direct, formally mentor or determine compensation of, the other. Even when the relationship is consensual, there is significant potential for harm when there is a power imbalance between parties, particularly with sexual or romantic relationships involving a faculty member or employee on the one hand, and a student on the other hand. These relationships have the potential to affect others in the work or academic environment, undermining the integrity of their supervision and evaluation as well.

CSHL has adopted this policy to avoid difficult working environments and actual or perceived bias, favoritism, or unfair treatment created by the development or existence of certain sexual or romantic relationships.

This policy addresses consensual relationships only. Non-consensual or coerced relationships or sexual contact are addressed in Cold Spring Harbor Laboratory's [Equal Employment Opportunity, Anti-Discrimination, Anti-Harassment, including Sexual Harassment, and Anti-Retaliation Policy](#).

2.0 SCOPE

This policy extends to all people in the Cold Spring Harbor Laboratory work or academic environment, including faculty, post-docs, staff, and students.

3.0 RESPONSIBILITY

It is the responsibility of the Vice President, Chief Human Resources Officer to oversee the resolution of matters arising under this policy in a fair and discreet manner.

4.0 POLICY

In the event a sexual or romantic relationship exists between two parties when one person has supervisory authority over the other, or the authority to hire, fire, promote, discipline, evaluate, assign, direct, formally mentor or determine compensation of the other, it is the responsibility of both parties to promptly report the situation to the Vice President, Chief Human Resources Officer and to cooperate with efforts to ensure an appropriate resolution. The Laboratory shall take appropriate steps consistent with this policy.

Faculty members are strictly prohibited from engaging in or attempting to engage in sexual or romantic relationships with students and, likewise, students are strictly prohibited from engaging in or attempting to engage in sexual or romantic relationships with faculty. Should such a relationship exist as of the date the faculty member and student both become affiliated with the Laboratory, both parties must promptly report the existence of such relationship to the Vice President, Chief Human Resources Officer. The Laboratory shall take appropriate steps consistent with this policy.

Possible actions may include, but are not limited to, the following:

- Reassignment of one or both parties to a new position, lab, or department;
- Altering the reporting relationship of the individuals; and/or
- Any other action deemed appropriate by senior management.

Violation of this policy, including failure to report a relationship described in this policy, may result in disciplinary actions, up to and including discharge.

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



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 Code of 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 [Interim Policy and Procedures for Allegations of Title IX Sexual Harassment](#) or the Laboratory's Equal Opportunity and Discrimination, Harassment, and Retaliation Prevention Policy 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.

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:

Julie Block-Rosen
Main Campus, Nichols Building
blockro@cshl.edu or (516) 367-5017

To file a complaint involving the individual listed above, contact the Chief Operating Officer, John Tuke at tuke@cshl.edu or (516) 367-5200. You can also make a report of an incident, with the option to do so anonymously if you so choose, at <https://incident.cshl.edu/>.

GRADUATE STUDENT STIPEND POLICY

1.0 PURPOSE

To define the criteria for awarding stipend supplements to Graduate Students.

2.0 SCOPE

This policy applies to all Cold Spring Harbor School of Biological Sciences (CSHL SBS) students and visiting PhD-level graduate students performing research at Cold Spring Harbor Laboratory.

3.0 RESPONSIBILITY

The administration of this policy will be the responsibility of the Vice President, Chief Human Resources Officer.

4.0 POLICY

4.1 **Initial Stipend.** The graduate student's initial stipend will be determined by the student's home institution.

4.2 **Stipend Supplement.** Graduate Students who receive funding from their home institution (i.e., Stony Brook University Training Grant) in an amount less than the initial stipend set by their home institution will be supplemented by CSHL from institutional funds up to the initial stipend amount.

4.3 **Independent Fellowships.** Graduate students who receive an independent fellowship with a value of at least 50% of their current stipend level shall receive a stipend 10% greater than the initial stipend level set by their home institution (not to exceed the CSHL SBS stipend plus 10 %*). If the student's fellowship offers a stipend above their university's basic stipend plus 10%, the student will be paid at the higher rate without receiving an additional 10%. If the student is on a NSERC fellowship with a value below 50% of their current stipend level, they shall receive CSHL SBS stipend plus 10%. Students to whom a fellowship has been transferred will only be eligible for the additional 10% if the transfer has been reviewed, evaluated, and accepted by the relevant fellowship committee.

*Note: If the student's institutional stipend level increases during the period of an active fellowship, the student's incentive will be recalculated based on the new stipend level.

4.4 **Foreign Awards.** If a foreign award is paid to the Laboratory in a foreign currency, the student's stipend will be adjusted at a frequency determined by the payment schedule stipulated in the award and in accordance with the exchange rate in effect on the date that funds are received by the Lab for the term of the award. If the award is paid directly to the student, the stipend amount will be adjusted at a frequency determined by the payment schedule stipulated in the award and in accordance with the exchange rate in effect on the first of each month in which payment has been scheduled. The most the Laboratory is responsible for is the student's annual stipend plus 10%, not to exceed the CSHL SBS stipend plus 10%. Reconciliation of any differences between the amount of an award and

the student's stipend plus incentive will occur at the end of each award year. More frequent reconciliations may be considered on a case-by-case basis.

4.5 **Allocation of Funding.** The allocation of funding for CSHL SBS students will be determined by the CSHL SBS. Allocations for non- CSHL SBS students will be determined by the Office of Sponsored Programs and will be dependent upon the source of funding.

4.6 **F-1 Immigration Status Requirement.** A graduate student in F-1 immigration status is required to have his/her Form I-20 updated with the relevant award details.

5.0 PROCEDURES

5.1 **Appointment Details.** Details of the graduate student's appointment will come from the student's home institution to the Human Resources Department for processing.

5.2 **Notification of Independent Fellowships.** Notification and confirmation of independent fellowships paid through the Laboratory will come from the Office of Sponsored Programs to the Human Resources Department. The receipt of independent fellowships paid directly to the student should be reported to the Human Resources Department and the Office of Sponsored Programs.

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.



To: Graduate Students who receive stipends from Cold Spring Harbor Laboratory

The payments you are receiving, also known as an unqualified scholarship, can be used for any living and incidental expenses. There is no requirement that the student perform any services for the benefit of the Cold Spring Harbor Laboratory as condition of receiving this payment. These payments are **taxable** income to the student.

Tax Implications and Reporting Requirements of Unqualified Scholarship Payments to U.S. Citizens, Permanent Residents, and Resident Aliens for Tax Purposes

Unqualified scholarship payments **are taxable** income to the student. However, there is no requirement for Cold Spring Harbor Laboratory to withhold income tax or to report these payments to the student or the Internal Revenue Service (IRS). The student bears the sole responsibility for reporting and paying taxes on the payment if necessary. Students who are U.S. citizens, permanent residents, or resident aliens without a tax treaty for the calendar year will receive an informational letter confirming the amount of the stipend received for the year. This letter should be retained as proof of taxable income received. No official government forms will be issued. Since CSHL does not withhold income tax on the payments, students should file quarterly estimated taxes. Estimated taxes are filed on a declaration of estimated tax, IRS Form 1040-ES. Failure to file the declaration may subject you to interest on any under-payment of tax when you file your income tax return for the year. Refer to IRS Publication 505, *Tax Withholding and Estimated Tax* for a better understanding of the governing regulations on estimated tax payments.

Any unqualified scholarship payments made to resident aliens with an applicable tax treaty are not subject to withholding. CSHL will report unqualified scholarship payments made to resident aliens with an applicable tax treaty on Form 1042-S. Students with applicable tax treaties must also complete and sign a Form W8-BEN in order to claim the exemption. No taxes will be withheld. However, CSHL will report the payments made on Form 1042-S which students will use to complete their annual tax filings.

Tax Implications and Reporting Requirements of Unqualified Scholarship Payments to Nonresident Aliens for Tax Purposes

Unqualified scholarship payments made to nonresident aliens are subject to a 14% federal withholding tax. At the end of the tax year, the student will receive a Form 1042-S, which should be used to complete their annual tax filings. Any unqualified scholarship payments made to nonresident alien students with an applicable tax treaty must also complete and sign a Form W8-BEN in order to be exempt from withholding. No taxes will be withheld. However, CSHL will report the payments made on Form 1042-S.



State Filing Requirements

New York State (NYS) tends to follow the Internal Revenue Code (IRC) when taxing income. The income that the IRC deems subject to taxation is also subject to taxation by the state. If a student files a federal return, he or she will most likely file a corresponding state return. **All** students should file estimated taxes, if necessary (NYS Form IT-2105-I), unless you are either a resident or nonresident alien with a tax treaty.

For more information, see:

Federal Income Tax Guidance: <http://www.irs.gov/>

IRS Publication 17 – Your Federal Income Tax

IRS Publication 505 – Tax Withholding and Estimated Tax

IRS Publication 515 – Withholding of Tax on Nonresident Aliens and Foreign Entities

IRS Publication 519 – U.S. Tax Guide for Aliens

IRS Publication 970 – Tax Benefits for Education

New York State Estimated Income Tax: http://www.tax.ny.gov/pit/estimated_tax/

This letter is provided for informational purposes only, and should not be considered tax, financial, or legal advice. You should consult your own tax or financial advisor with any questions about your personal situation. If there are any other additional questions, please feel free to contact Payroll, or Alison McDermott (mcdermot@cschl.edu) in Accounting.



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.



SCHOOL OF BIOLOGICAL SCIENCES
Academic Probation Policy

Policy Effective Date: August 2023

Last Revision Date: August 2024

1.0 PURPOSE

The Academic Probation Policy ("Policy") outlines the procedures followed when a student is placed on academic probation from the School of Biological Sciences ("School").

2. POLICY

2.1 Definitions.

"Student" means an individual that is matriculated in the School.

"Committee" consists of the student's faculty thesis advisor, faculty academic advisor, faculty thesis committee chair, and faculty committee members.

"Meeting" consists of a thesis progress check with the student and their committee. These occur every 6 months.

"Progress" will be judged by several criteria including: the nature of the experiments performed, place in the context of current science and direction for the future, as well as the ability to communicate in a written report and an oral presentation.

2.2 Policy Statement.

A student will be placed on Academic Probation after having met with their committee for their regularly scheduled meeting, and the Committee determines that the student has not made sufficient progress in their research.

The date of the next Committee meeting will be set within 3 – 6 months of the student's probation, based on their Committee's and Research Mentor's recommendations in consultation with the School. The Chair and the rest of the Committee will determine their expectations for the student's Progress which will be shared with the student.

Students may be placed on Academic Probation a maximum of two consecutive times, though a student can be placed on Academic Probation come off and then be placed on Academic Probation again, if necessary.

2.3 Coming off of academic probation

Once a student has been placed on Academic Probation, they must meet with their Committee for an evaluation meeting within 6 months.

The student must meet with the School to discuss the expectations for their evaluation with clearly outlined goals. Each student's Academic Probation will be clearly defined and will be personalized to each situation and needs.

At the direction of the Committee and in consultation with the Director of Graduate Studies: If at the evaluation meeting the student has made sufficient progress the following may occur:

- a. the student's Academic Probation is immediately lifted, or
- b. the student remains on Academic Probation until a scheduled subsequent evaluation meeting.

2.4 Being asked to leave the School.

If at any evaluation meeting during or after the student's second consecutive Academic Probation, the student has not made sufficient progress, the student may be asked to leave the School. The student will be notified of this possibility in writing and the individual expectations in thesis research, progress, writing, etc. will be outlined specifically.



SCHOOL OF BIOLOGICAL SCIENCES
Academic Review Policy

Policy Effective Date: August 2024

Last Revision Date: August 2024

1.0 PURPOSE

The Academic Review Policy ("Policy") outlines the procedures followed when a student requires extra support from their Committee and/or the School of Biological Sciences ("School").

2. POLICY

2.1 Definitions.

"Student" means an individual that is matriculated in the School.

"Committee" consists of the student's faculty thesis advisor, faculty academic advisor, faculty thesis committee chair, and faculty committee members.

"Meeting" consists of a thesis progress check with the student and their committee. These occur every 6 months.

"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.

2.2 Policy Statement.

A student will be placed on Academic Review immediately upon their return from a Leave of Absence.

The date of the next Committee meeting will be set within 3 – 6 months of the student's return or start of Academic Review, based on their Committee's and Research Mentor's recommendations in consultation with the School. The Chair and the rest of the Committee will determine their expectations for the student's Progress which will be shared with the student.

2.3 Coming off Academic Review

Once a student has been placed on Academic Review, they must meet with their committee for an evaluation meeting within 6 months.

The student must meet with the School to discuss the expectations for their evaluation with clearly outlined goals. Each student's Academic Review will be clearly defined and will be personalized to each situation and needs.

At the direction of the Committee and in consultation with the Director of Graduate Studies: If at the evaluation meeting the student has made sufficient progress the following may occur:

- a. the student's Academic Review is immediately lifted, or
- b. the student remains on Academic Review until a scheduled subsequent evaluation meeting.

2.4 Insufficient progress

If at any evaluation meeting during or after the student's Probation, the student has not made sufficient progress, the student may be placed on Academic Probation.



SCHOOL OF BIOLOGICAL SCIENCES
Student Leave of Absence Policy

Policy effective date: August 2023

Last Revision date: August 2024

1.0 PURPOSE

The Student Leave of Absence Policy ("Policy") outlines the procedures for requesting a leave of absence from the School of Biological Sciences (the "School").

2 POLICY

2.1 Definitions.

"Student" means an individual that is matriculated into the School.

"Part-time" means that students would be only conducting their doctoral research for less than 40 hours per week.

"Full time" means that students are fully matriculated into the school and participate in full time doctoral thesis research as their only job or around 40 hours per week.

2.2 Policy Statement.

A student may petition the Director of Graduate Studies of the School for a leave of absence. A leave of absence may be awarded for medical leave, parental leave, family leave, or any other reason that is approved by the Director of Graduate Studies and the Director of Human Resources. If requesting a leave for a medical reason, documentation from the student's medical provider should be provided to Camille Cava at ccava@cshl.edu. **Do not submit medical documentation to the Director of Graduate Studies.**

2.3 Request for part-time doctoral research

A student may request for conducting part-time doctoral research only under exceptional circumstances, such as a medical reason necessitating a part-time schedule. This request is subject to the approval and discretion of the Laboratory.

2.4 Concurrent employment

Students may not request a leave of absence to accept employment. Students may not have concurrent employment and be fully matriculated at the "School."

2.5 Duration of leave.

The Laboratory will determine the duration of the approved leave on a case-by-case basis based on a number of factors, including reason or basis for leave, supporting documentation provided, etc. Upon return from a Leave of Absence, the student is immediately placed on Academic Review to support their return to full time research.



CSHL SCHOOL OF BIOLOGICAL SCIENCES GRADUATE STUDENT IN ABSENTIA POLICY

1.0 PURPOSE

To define the criteria for when Cold Spring Harbor Laboratory School of Biological Sciences (CSHL SBS) students may remain enrolled in the CSHL SBS and continue their studies while conducting research at another location, either out of the country or within the United States.

2.0 OVERVIEW

In absentia status provides an opportunity for graduate students to engage in approved research in a location outside of Cold Spring Harbor Laboratory's campus, while continuing to work under the guidance of their Thesis Committee and meet their CSHL SBS curriculum obligations. Students in absentia are expected to abide by the same limitations on employment as students enrolled on-campus. Students must have completed at least one year of study to be eligible for in absentia status.

3.0 SCOPE

This policy applies to all graduate students enrolled at the CSHL School of Biological Sciences at Cold Spring Harbor Laboratory.

4.0 RESPONSIBILITY

The administration of this policy will be the responsibility of the Vice President, Chief Human Resources Officer.

5.0 POLICY

5.1 **Conducting Research Out of the Country:**

- a. The graduate student's stipend will continue to be paid and deposited into a U.S. bank account.
- b. The graduate student will remain on the graduate student medical plan, but dental and vision coverage will stop.

IMPORTANT – Since the graduate student medical plan is only for medical services obtained in the U.S., the graduate student will be responsible to obtain and pay for temporary health insurance to cover medical services in the country where they are conducting their research.

- c. The graduate student's housing and, if applicable, housing allowance will stop.
- d. The graduate student will not be covered under workers' compensation.
 - 5.1.d.1 The graduate student will be covered under workers' compensation for those periods during which they return to the U.S.

5.2 **Conducting Research at Another Location Within the U.S.:**

- a. The graduate student's stipend will continue to be paid.
- b. The graduate student will remain on the graduate student medical, dental, and vision plans.
- c. The graduate student's housing and, if applicable, housing allowance will stop.
- d. The graduate student will be covered under workers' compensation.

5.3 **Paid Internship**

- a. The graduate student's stipend will stop.
- b. The graduate student will remain on the graduate student medical, dental, and vision plans.
- c. The graduate student's housing and, if applicable, housing allowance will stop. Unless the graduate student is paying rent at CSHL, then the housing allowance will continue.
- d. The graduate student will not be covered under CSHL's workers' compensation policy.

6.0 PROCEDURES

Notification. Notification and confirmation of in absentia status will come from the CSHL SBS Curriculum Director to the Human Resources Department. Notification will include the graduate student's name, the name and location of the institute where the graduate student will be conducting research, and the beginning and end dates of the graduate student in absentia status.

7.0 INTERNATIONAL STUDENTS

All international students must inform the Immigration Office of plans to conduct research in absentia, as their I-20 will need to be updated to reflect this change. International students who will be conducting research outside of the U.S. must provide the Immigration Office with a completed Graduate Research Abroad form. Please note: physical presence outside the U.S. for more than 5 months may affect your eligibility for Post Completion Practical Training and/or require a new form I-20 to reenter the U.S.

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

Deadlines Policy

Policy Effective Date: August 2024

Last Revision Date: August 2024

1.0 PURPOSE

The Deadlines Policy ("Policy") outlines the procedures followed when a student submits work to the School of Biological Sciences ("School").

2. POLICY

2.1 Definitions.

"Student" means an individual that is matriculated in the School.

"Work" consists of the student's written assignments: problem sets in the Fall of the first year, Qualifying Exams Written Reports in the Spring of the first year, Thesis Committee Progress Reports, and Thesis Dissertations.

"Committee" consists of the student's faculty thesis advisor, faculty academic advisor, faculty thesis committee chair, and faculty committee members.

"Meeting" consists of a thesis progress check with the student and their committee. These occur every 6 months.

"Defense" consists of the Thesis Defense where the student orally defends their thesis research.

"Late" means past the 12 PM, Noon, ET deadline.

2.2 Policy Statement.

A student must submit their Work on the deadline that is specified. Any student may request an extension until up to 24 hours before the assignment is due. The request and duration of an extension may be granted at the discretion of the School. **All due dates are set on a specific date at 12 PM, Noon, ET.** *Any changes to that due date time will be specified for the specific work.*

2.3 Work submitted late without requesting an extension

2.3.1 Problem sets

Students that hand in late problem sets without an extension or do not hand them in at all will fail that course module.

2.3.2 Qualifying Exam Written Report

Students that hand in late Qualifying Exam Written Reports risk the oral portion of their Qualifying Exam being rescheduled to later in the summer and possibly September, pushing back the start of Thesis research.

Students that do not hand in the Qualifying Exam Written Report automatically fail the Qualifying Exam.

2.3.3 Thesis Committee Progress Reports

Thesis Committee Progress Reports are due to the School one (1) week prior to the scheduled Thesis Committee Meeting at 12 PM, Noon, ET.

Students that hand in late Thesis Committee Progress Reports may have their Thesis Committee Meeting rescheduled or if deemed by their Committee, be placed on Academic Probation.

2.3.4 Thesis Dissertations

Thesis Dissertations are due to the School three (3) weeks prior to the scheduled Thesis Defense at 12 PM, Noon, ET.

If a student hands in a late Thesis Dissertations without a requested extension, then the School reserves the right to reschedule the Defense. If the thesis is still not handed in on time after the initial postponement then the School reserves the right to cancel the Defense. The student will be asked to leave the Program.



SCHOOL OF BIOLOGICAL SCIENCES
Fourth Rotations Policy

Policy Effective Date: August 2024

Last Revision Date: July 2024

1.0 PURPOSE

The Fourth Rotations Policy ("Policy") outlines the procedures followed when a student requests a fourth rotation from the School of Biological Sciences ("School").

2. POLICY

2.1 Definitions.

"Student" means an individual that is matriculated in the School.

"Rotation" consists of the student working for a short period of time in a lab to help decide where they would like to complete their thesis research. Fourth rotations are not required of any student.

2.2 Policy Statement.

A student must let the School know they would like to complete a fourth rotation by June 1. The student must let the School know which faculty's lab they will be rotating in by the date of their Qualifying Exam. The School recommends that the student speak with their Academic Mentor to discuss their fourth rotation.

Students that fail to meet this deadline will not be allowed to complete a fourth rotation.

2.3 Extensions

Students may only get an extension for these deadlines if the faculty member they would like to rotate with is unavailable for consultation during May and June. Extensions are given at the discretion of the School and must be requested no less than 24 hours in advance of the deadline. Late extensions will not be granted.



ACKNOWLEDGEMENT OF PROCEDURE FOR INTERNATIONAL TRAVEL AND VISA APPLICATIONS FOR CSHL SCHOOL OF BIOLOGICAL SCIENCES GRADUATE STUDENTS

Please read and initial each statement below.

_____ I understand that there may be situations where it is not advisable to travel to renew my F-1 visa sticker due to the possibility of being subject to [Administrative Processing](#) for an extended period of time, which will temporarily not allow me to continue my studies at the CSHL School of Biological Sciences. I confirm that I will notify the CSHL Immigration Specialist prior to traveling internationally in order to review the list of documentation with which I should travel, and to be informed of risks that may pertain to my individual immigration circumstances.

_____ I understand that a visa sticker is a travel document only, which allows me to enter the United States in F-1 Student status.

_____ I understand that a visa sticker in my passport is not necessary to maintain lawful F-1 Student status in the U.S. once I have entered the U.S. in F-1 Student status, or changed status to F-1 Student status within the U.S. I will maintain lawful F-1 Student status inside the U.S. without a valid F-1 visa sticker in my passport.

_____ I understand that international travel is not necessary to maintain my F-1 Student status at the CSHL School of Biological Sciences, and I am consciously making the decision to travel knowing and assuming the risks. I acknowledge that it is possible that I may not be able to return to the U.S. for an extended period of time.

_____ I understand that if I am made subject to [Administrative Processing](#), there is no way to expedite this process.

_____ I confirm that I will review the full list of required documents on the consulate's site where I am making my visa appointment. I will also confirm the suggested list of documents to bring to my visa appointment with the CSHL Immigration Specialist. I will include documentation to prove my nonimmigrant intent, e.g., family ties, job prospects, bank accounts, property owned, family property owned, etc.

_____ I understand that my stipend will be guaranteed for up to one month if my return to the U.S. is delayed. If I am still not able to return to the U.S., continued coverage of my stipend, for a maximum of 5 months as per federal government visa regulations, will be determined on a case by case basis. I acknowledge the possibility that I may be placed on an unpaid leave of absence during which time my stipend will be suspended. My stipend will resume when I re-enter the U.S. in F-1 Student status to continue my studies.

_____ I understand that if I am placed on an unpaid leave of absence, my health and dental insurance will be suspended while I am on unpaid leave. I will be responsible to obtain and pay for temporary health insurance to cover medical services in the country where I am temporarily residing. I understand that I will not be covered under the CSHL workers' compensation policy.

_____ I understand that I may be outside of the U.S. for a maximum of five months. If I am not able to return to the U.S. due to a delay in issuing my F-1 visa sticker, the U.S. Department of Homeland Security will terminate my F-1 Student status automatically. I understand that being outside the U.S. for more than five months is in violation of the [Five-Month Rule](#). I understand that the [Five-Month Rule](#) is immigration law, and there are no exceptions.

_____ I understand that I cannot study or be paid a stipend if my F-1 status is terminated in SEVIS.

_____ I understand that in order to re-enter the U.S. in F-1 Student status, a new SEVIS record and Form I-20 are required to be issued. I acknowledge that I am responsible for the fee for issuing a new Form I-20 in the amount of \$350.00. This fee is subject to change without notice.

_____ I understand that I am required to maintain contact with the CSHL School of Biological Sciences, Human Resources, and the CSHL Immigration Specialist regarding the progress of my visa and plans to return to the CSHL School of Biological Sciences.

_____ I understand that a visa sticker is not required for domestic travel within the U.S. and/or U.S. territories. I acknowledge that I may be eligible to travel to certain destinations with an expired U.S. visa sticker by using the [Automatic Visa Revalidation](#) provision, as described on the U.S. Department of State site. I acknowledge that the process and requirements related to this provision are subject to change.

_____ I understand that failure to comply with the items listed in this document may be grounds for revocation of my F-1 Student status and termination of my student status at the CSHL School of Biological Sciences.

I HEARBY CERTIFY THAT I HAVE READ AND UNDERSTAND THE CONTENTS OF THIS DOCUMENT AND MY REPOSNSIBILITIES REGARDING MY F-1 STUDENT STATUS.

Student – Printed Name and Signature

Date

Zachary Lippman - Professor and Director of Graduate Studies

Date

Danielle Robbins - Vice President, Chief Human Resources Officer

Date

Victoria Panebianco - Immigration Specialist

Date



Cold Spring Harbor Laboratory

SCHOOL OF BIOLOGICAL SCIENCES

AI/ChatGPT Policy

Policy effective date: August 2024

Last Revision date: July 2025

Large Language Models (LLMs) and other AI technologies (e.g., ChatGPT, DALL-E) have become important tools in science. However, one of the goals of the School curriculum is to improve your communication skills. It is important that you engage fully with the assignments in the Fall curriculum (and beyond), and learn to find information, interpret scholarly works, develop your own ideas, and effectively communicate those concepts. In addition, using AI presents academic integrity issues, such as: whether the work is “yours”; whether it uses uncredited material from others; whether it produces accurate results.

Therefore, we have decided to prohibit the use of LLMs or other such AI tools for the following:

- Writing a draft of an assignment, or generating a draft of a presentation
- Writing sentences, paragraphs, or papers
- Creating presentations, posters, talks, figures
- Designing algorithms that perform complex tasks (e.g. solving homework problems)

AI tools are permitted for applications that could otherwise be provided by a human editor:

- Refining your ideas, editing original drafts
- Organizing your thoughts into a personal outline
- Checking spelling, grammar, jargon use
- Debugging code that implements an algorithm the student has designed

Citing Tools

If you use an AI platform for one of the permitted uses, you must include appropriate citations with your submission. Use the following format:

Prompt used. Platform used. Version. Company Name. Date used

Ex. “Act as a structural editor for my personal statement. Based on the following text, suggest a logical flow and potential section headers.” ChatGPT. GPT-4, released March 2023.

OpenAI. 17 June 2024

If you are unsure whether a specific use is permitted, please ask one of the instructors or the School.

Failure to follow this policy will be regarded as academic misconduct.



SCHOOL OF BIOLOGICAL SCIENCES
Academic Misconduct Policy

Policy effective date: August 2024

Last Revision date: August 2024

1.0 Purpose

The Academic Misconduct Policy ("Policy") outlines the procedures followed when a student engages in academic misconduct, how students can identify examples of academic misconduct, and the consequences of engaging in academic misconduct.

2.0 Policy

2.1 Relevant definitions

"Plagiarism" is defined as any representation of another person's work or ideas as one's own in academic and/or educational submissions

"Cheating" is defined as 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.

2.2 Policy Statement

Any student who engages in academic misconduct on an academic or educational submission will fail that assignment and possibly the entire module that it is associated with.

Academic misconduct on a problem set will result in a failure for that course module.

Academic misconduct on the final exam will result in a failure for that exam.

Academic misconduct on a thesis committee report will result in Academic Probation.

Students should refer to the CSHL Institutional Policies for details about Scientific Misconduct in the Policy: Research Fraud and Professional Misconduct.

2.3 Relevant examples of academic misconduct

Students are encouraged to work together on problem sets during the fall curriculum of the first year but the work submitted should be their own, though some similarity in answers can be expected. It would not be appropriate to submit a word-for-word copy of another student's assignment.

For the fall final exam, students should not work together at all, and all work should be individual.

2.4 Citations

When appropriate, students should cite any thoughts or ideas that are not their own in all submitted work. This includes figures, tables, and diagrams from published or online works. Each citation should have a corresponding reference, which provides further details about the source of information you have used. This may include the creator's name, date of publication, title of the work, publisher details and a URL if accessed online.

Students should refer to the AI/ChatGPT policy for the use of large language models and other AI and how to cite properly.



SCHOOL OF BIOLOGICAL SCIENCES Academic Support Policy

Policy Effective Date: August 2024

Last Revision Date: August 2024

1.0 PURPOSE

The Academic Support ("Policy") outlines the procedures followed when a student requires more support from the School and/or their Thesis Committee.

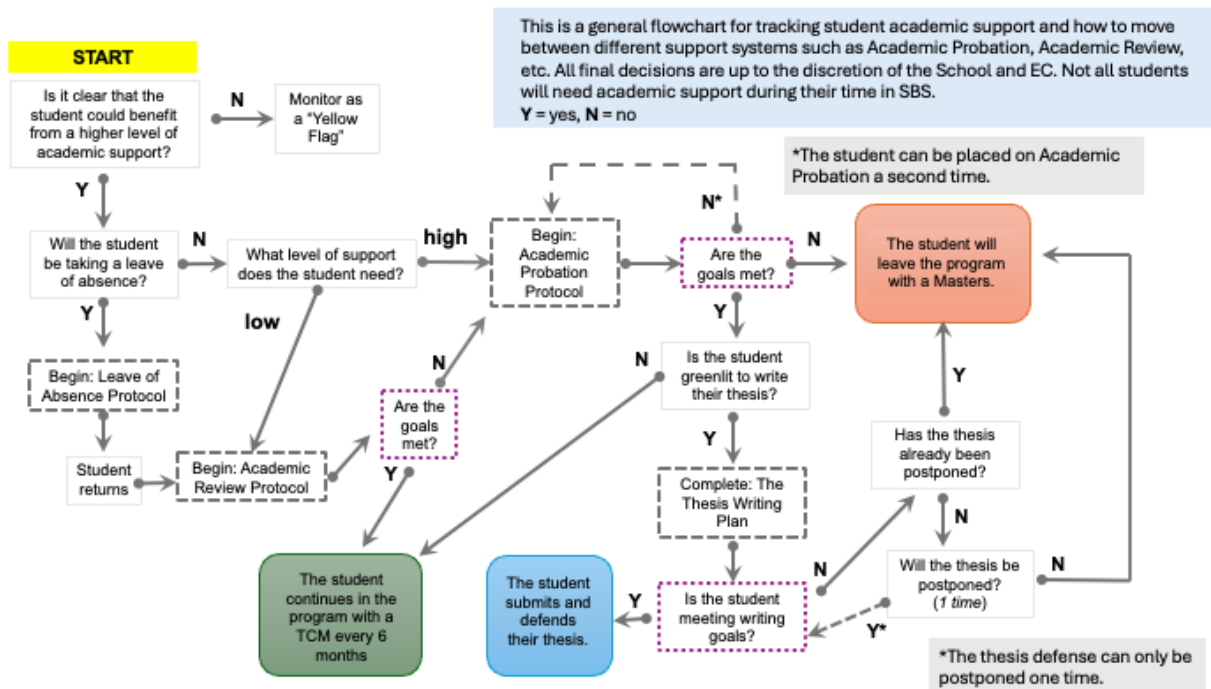
2. POLICY

A student may require additional academic support for a variety of reasons. The following flow chart serves as a general guideline for implementing these systems as needed. There are students that will never need these academic supports during their time in the School.

The "goals" are left purposely general because the goals will vary for each student and will be personalized with the School and the individual Thesis Committee.

The following policies may be implemented as needed and can be found in the Student Handbook:

- Leave of Absence
- Academic Review
- Academic Probation: *Student may be placed on Academic Probation a maximum number of 2 consecutive times, but a student may be placed on Academic Probation multiple discrete times*
- Thesis Writing Plan



Appendix VI
School Forms and Rubrics

Thesis Writing Plan

This document provides a shared timeline for tracking thesis draft submissions and feedback between the student and their research mentor to ensure on-time completion. Consult the Thesis Instructions provided by the School. Reach out to the School if you need further guidance or resources.

Student Name: _____

Lab/Research Mentor: _____

Entering Class of

Date Drafted:

Greenlight Date:

Anticipated Thesis Defense Date:

Scheduled Thesis Defense Date:

Final Draft Due Date to School: (3 weeks before defense date)

Thesis Title (*working*):

Section 1: Plan for check-ins and drafts

Student and Mentor will meet	(Frequency & details)
1. Initial meeting	1. Initial meeting: 1 hour, 1 week before the start of the project.
2. Regular meetings	2. Regular meetings: 1 hour, 1 week, 2 weeks, 3 weeks, 4 weeks, 5 weeks, 6 weeks, 7 weeks, 8 weeks, 9 weeks, 10 weeks, 11 weeks, 12 weeks, 13 weeks, 14 weeks, 15 weeks, 16 weeks, 17 weeks, 18 weeks, 19 weeks, 20 weeks, 21 weeks, 22 weeks, 23 weeks, 24 weeks, 25 weeks, 26 weeks, 27 weeks, 28 weeks, 29 weeks, 30 weeks, 31 weeks, 32 weeks, 33 weeks, 34 weeks, 35 weeks, 36 weeks, 37 weeks, 38 weeks, 39 weeks, 40 weeks, 41 weeks, 42 weeks, 43 weeks, 44 weeks, 45 weeks, 46 weeks, 47 weeks, 48 weeks, 49 weeks, 50 weeks, 51 weeks, 52 weeks, 53 weeks, 54 weeks, 55 weeks, 56 weeks, 57 weeks, 58 weeks, 59 weeks, 60 weeks, 61 weeks, 62 weeks, 63 weeks, 64 weeks, 65 weeks, 66 weeks, 67 weeks, 68 weeks, 69 weeks, 70 weeks, 71 weeks, 72 weeks, 73 weeks, 74 weeks, 75 weeks, 76 weeks, 77 weeks, 78 weeks, 79 weeks, 80 weeks, 81 weeks, 82 weeks, 83 weeks, 84 weeks, 85 weeks, 86 weeks, 87 weeks, 88 weeks, 89 weeks, 90 weeks, 91 weeks, 92 weeks, 93 weeks, 94 weeks, 95 weeks, 96 weeks, 97 weeks, 98 weeks, 99 weeks, 100 weeks.
3. Final meeting	3. Final meeting: 1 hour, 1 week before the end of the project.

Section 2: Schedule for submission of materials

Write the order in which the following thesis components should be submitted by the student and revisions/comments should be provided by the mentor with tentative due dates. Decide on format for drafts and comments (e.g., track changes in Word, verbal discussion, margin notes). Some items may need multiple iterations before being finalized. Do not feel the need to use all the rows. Use the back of this form if more rows are needed. Follow Thesis Guidelines for formatting and chapters.

Item	Student Draft Due	PI Revisions Due	Notes

[illegible]



The qualifying exam committee for _____

Chair _____ Date _____

Examiners _____

Instructions: The Chair, in consultation with the examiners, will complete the following rubric, recommendation, and any comments. Please promptly email the completed rubric alongside your report to the School at alnahas@cshl.edu.

	#	Attribute	Exemplary	Good	Proficient	Poor
Writing Quality	1	Overall Writing	☐	☐	☐	☐
	2	Editing ability (<i>i.e. Grammatical and spelling errors</i>)	☐	☐	☐	☐
	3	Organization	☐	☐	☐	☐
	4	Writing Level	☐	☐	☐	☐
Hypothesis & Aims	5	Overall Aims	☐	☐	☐	☐
	6	Hypothesis development	☐	☐	☐	☐
	7	Rigorous experimental design	☐	☐	☐	☐
	8	Demonstrated scientific thinking	☐	☐	☐	☐
Oral Presentation	9	Overall Presentation	☐	☐	☐	☐
	10	Organization	☐	☐	☐	☐
	11	Depth of understanding	☐	☐	☐	☐
	12	Communication skills	☐	☐	☐	☐
Questioning	13	Overall Questioning	☐	☐	☐	☐
	14	Level of discussion	☐	☐	☐	☐
	15	Answers to questions	☐	☐	☐	☐
	16	Critical thinking skills	☐	☐	☐	☐

Individual Exam Committee's Recommendation

☐	Pass	☐	Conditional Pass	☐	Fail
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Comments

Please feel free to have your written comments sent to the School via a separate document if you prefer.

The thesis proposal defense for _____

Chair _____

Date _____

Entering Class of _____

Instructions: The Chair, in consultation with the committee members, will complete the following rubric, recommendation, and written comments. Please promptly return or email the completed document(s) to the School at alnahhas@csih.edu.

	#	Attribute	Exemplary	Proficient	Poor
Writing Quality	1	Overall Writing Quality	☐	☐	☐
	2	Background research	☐	☐	☐
	3	Organization of document	☐	☐	☐

Scientific Knowledge	4	Overall Knowledge of Subject	☐	☐	☐
	5	Significance of proposed project	☐	☐	☐
	6	Quality of preliminary data	☐	☐	☐

Aims	7	Overall Aims Quality	☐	☐	☐
	8	Feasibility of aims	☐	☐	☐
	9	Rigorous experimental design	☐	☐	☐

Presentation	10	Overall Presentation Quality	☐	☐	☐
	11	Organization and flow	☐	☐	☐
	12	Presentation slides	☐	☐	☐
	13	Response to questions	☐	☐	☐

Individual Exam Committee's Recommendation

☐	Pass	☐	Conditional Pass	☐	Fail
--------------------------	------	--------------------------	------------------	--------------------------	------

Report – Please provide written comments and suggestions for student.



Cold Spring Harbor Laboratory

SCHOOL OF BIOLOGICAL SCIENCES

THESIS COMMITTEE MEETING – RUBRIC REPORT

The thesis committee for _____ met on _____
(Name) (Date)

to examine the student's progress since the previous committee meeting. The following is a summary of the committee's views on the student's progress to date. Confidential information should be shared with the School via email. This summary was prepared by the chair of the thesis committee in full consultation with all other members present at the committee meeting.

ENTERING CLASS OF 20____

Please assess the student for each category. If a student scores "Needs Improvement" please comment on that category in the Chair's Report.

Category	Excels	Proficient	Needs Improvement	Not Applicable
Writing Quality	☐	☐	☐	☐
Presentation Quality	☐	☐	☐	☐
Knowledge in Subject Area	☐	☐	☐	☐
Response to Questions	☐	☐	☐	☐
Addressing Rigor and Reproducibility in research	☐	☐	☐	☐

Overall Progress	☐ Excellent	☐ Good	☐ Minimal	☐ None
------------------	------------------------------------	-------------------------------	----------------------------------	-------------------------------

The student has completed and discussed their Individual Development Plan (IDP). Please circle one.	Yes	No
---	-----	----

Does the student appear to be on track for a timely completion? Please circle the appropriate number below.					
1 (Absolutely)	2	3	4	5 (Not at all)	6 (Not applicable)

Target date for next thesis committee meeting (usually within 6 months).	
--	--

Optional: When do you expect the student to submit their thesis?	Month	Year

Please provide bullet point notes from meeting and discussion. If you typed notes, please email them immediately after.
This is in addition to the formal written Chair's Report.

THESIS COMMITTEE SIGNATURES

Signature	_____	_____	_____
Name	_____	_____	_____
	<i>Chair</i>	<i>Research Mentor</i>	<i>Academic Mentor</i>
Signature	_____	_____	_____
Name	_____	_____	_____
	<i>Committee Member</i>	<i>Committee Member</i>	<i>Committee Member</i>

APPROVAL TO WRITE THESIS

Fill out this portion of the rubric *only* if the student has been greenlit to write their thesis at this TCM.

Does the student have a research paper published, in press, or uploaded to bioRxiv?	Yes	No
Please include an expected time frame for the thesis work to be published:		
I have read and understand the thesis guidelines.		
_____ Student Signature *Green Light Signature		

Appendix VII
Institutional Policies



Cold Spring Harbor Laboratory

ALCOHOL USE POLICY

1.0 PURPOSE

To ensure the responsible use of alcoholic beverages within the Laboratory community.

2.0 SCOPE

This policy applies to all employees, students, and visitors to Cold Spring Harbor Laboratory.

3.0 RESPONSIBILITY

The interpretation and administration of this policy shall be the responsibility of the Vice President, Chief Human Resources Officer.

4.0 POLICY

Alcohol may be consumed in accordance with this policy and New York State law at CSHL-sponsored and/or affiliated events and at authorized locations on CSHL premises.

Consumption of alcohol does not excuse a person from the legal or disciplinary consequences of disorderly or inappropriate conduct.

Alcoholic beverages should not be consumed on CSHL premises, except (in moderation) at authorized Laboratory-sponsored events.

Events sponsored by the Laboratory are regulated by the following alcohol service guidelines:

- Alcoholic beverages will only be served by trained Culinary staff on CSHL premises.
- Employees, students, and guests should not bring alcoholic beverages to any area of the Laboratory premises, including recreational areas, at any time. Nor should employees, students, and guests bring alcoholic beverages for use during and/or after CSHL-sponsored events.
- Excessive consumption of alcoholic beverages is prohibited under any circumstance. Trained beverage serving staff will supervise employees, students, and guests who are served alcoholic beverages. Beverage serving staff, in conjunction with the Laboratory's Security Department, may provide transportation and/or temporary housing, if needed.
- The Blackford Hall Bar is open to employees, students, and guests only. Alcoholic beverages will be served only during designated hours. The sale of take-out alcoholic beverages is prohibited.
- Alcoholic beverages may be purchased, possessed, or consumed only by individuals who have attained the age of 21. Bartenders are instructed to check proof of legal age. The use of false ID is prohibited.
- The unauthorized consumption of alcohol or possession of an open container of alcohol is prohibited in all areas of the Laboratory.
- Requests regarding the planning of an event involving the service of alcoholic beverages may be addressed to our Culinary Services Events Department at extension 6838.

Violation of this policy may result in disciplinary action up to and including termination or expulsion from the Laboratory.

5.0 SERVICES

Resources available for those in need of assistance for alcohol related problems are as follows:

Available to all employees:

US Department of Health and Human Services

<https://www.samhsa.gov/>

New York State Office of Addiction Services and Supports

<https://oasas.ny.gov/>

Available to all benefits-eligible employees

The SightMD Center for Health and Wellness

Dolan Building – East Wing, Room 111

<http://intranet.cshl.edu/administration/human-resources/center-for-health-and-wellness>

516-422-4422

Email: cshlwellness@northwell.edu

On-Site Confidential Counseling Services – The SightMD Center for Health and Wellness

Available by Appointment 2 Days a Week

<http://intranet.cshl.edu/administration/human-resources/center-for-health-and-wellness>

516-422-4422

Email: cshlwellness@northwell.edu

EAP After Hours – Northwell Health

EAP counseling is available after 5PM M-F, and 24 hours/day on weekends and holidays. Call 1-877-EAP-4YOU (877-327-4968) and the service will have the on-call EAP consultant contact you.

Optum – Employee Assistance Program

1-866-248-4094

<http://intranet.cshl.edu/administration/human-resources/care-24-employee-assistance-plan>

Optum Behavioral Health

1-866-248-4094

www.myuhc.com > Find a Doctor > Mental Health Directory > People > Provider

Optum – Substance Use Treatment Helpline

1-855-780-5955

<https://www.liveandworkwell.com/recovery>

Available to all benefits-eligible employees enrolled in a United Healthcare plan

Talkspace

<http://intranet.cshl.edu/administration/human-resources/talkspace>

Sanvello Mobile APP – Self-Guided Behavioral Resource

<http://intranet.cshl.edu/administration/human-resources/sanvello-mobile-app>

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.



Campus Security Guide

The Office of Security Operations and Fire Protection mission is to maintain a safe and secure workplace environment for the Laboratory community through proactive, progressive, and professional life-safety and emergency management services to mitigate potential risks, activities, and behaviors that have adverse strategic and operational impact for scientific research. Security Operations is primarily responsible for administering and directing all aspects of the Laboratory's physical, procedural, and research security programs, to include crisis preparedness and emergency response planning. Security Operations accomplishes its duties and responsibilities through formal and informal engagements, new employee and student orientation briefings, and as the security advisor to the Enterprise Risk Management Committee and Emergency Response Committee identify innovative risk-targeted research security measures and create policies that enhances the Laboratory's foundations of academic freedom, research integrity, open science, transparency, and trusted collaborations for mutual benefit.

Personnel:

Keith Byrne, Director, Security Operations
Robert Gensel, Assistant Director, Security Operations
Robert Kopetic, Fire Safety Technician
Sixteen (16) Full-Time/Part-Time Security Officers

All Laboratory Security Operations personnel are professionally licensed by the NYS Division of Licensing Services. All receive annual eight (8) hour in-service training as mandated by NYS. Most of the Laboratory's Security Operations personnel have prior law enforcement/public safety backgrounds and several are certified Emergency Medical Technicians. All Security Operations personnel receive biennial training in CPR/AED and First Aid/Stop the Bleed.

Staffing Locations:

- Main Campus – Security Operations maintains 24/7 staffing at the Main Campus and conducts mobile patrols of other Laboratory properties as required.
- Woodbury Genome Center – Security Operations maintains staffing from 8:00 am – 4:00 pm, Monday-Friday (Except holidays).
- Banbury Conference Center – Supported by Security Operations mobile patrols and responds to security assistance requests and emergency situations as needed.
- Uplands Farm Station – Supported by Security Operations mobile patrols and responds to security assistance requests and emergency situations as needed.
- Dolan DNA Learning Center – Supported by Security Operations mobile patrols and responds to security assistance requests and emergency situations as needed.

- DNA Learning Center NYC – Supported by CUNY City Tech Department of Public Safety.
- Hicksville Warehouse – Supported by Security Officer mobile patrols and responds to security assistance requests and emergency situations as needed.
- Wrexleigh Estate – Supported by Security Operations mobile patrols and responds to security assistance requests and emergency situations as needed.

Police/Fire-EMS Areas of Responsibility:

- Main Campus – Oyster Bay Cove Police Dept./Oyster Bay and Atlantic Steamer F.D.
- Woodbury Genome – Nassau County Police Dept. (Second Precinct)/Plainview F.D.
- Banbury Conference Center – Lloyd Harbor Police Dept./CSH F.D.
- Uplands Farm Station – Suffolk County Police Dept. (Second Precinct)/CSH F.D.
- Dolan DNA Learning Center – Suffolk County Police Dept. (Second Precinct)/CSH F.D.
- DNA Learning Center NYC – New York Police Dept./Fire Dept. of New York
- Hicksville Warehouse – Nassau County Police Dept. (Eighth Precinct)/Hicksville F.D.
- Wrexleigh Estate - Oyster Bay Cove Police Dept./Oyster Bay and Atlantic Steamer F.D.

Access Control/Video Surveillance (CCTV):

- Security Operations manages the Laboratory's Access Control Program and issues photo ID cards.
- Security Operations provides physical access to Laboratory housing, facilities, and other restricted locations for Laboratory staff and/or contractors for fire alarm system inspections, maintenance repairs, and deliveries. In certain instances, Security Operations personnel will remain on-site until the work is completed.
- Security Operations provides locksmith services, making physical and electronic card keys, key cores and replacing/repairing locksets.
- Security Operations, in coordination with Facilities Operations staff, is responsible for the development, purchase, installation, and maintenance of the Laboratory's hotel lock and software system and provides training on its use for Meeting and Courses staff.
- Security Operations is responsible for monitoring, maintaining, and quarterly testing the Remote Radiation and CCTV Monitoring System (RMS) dedicated specifically for the Laboratory's research irradiator in coordination with DHS, DOE, NYS Department of Health and other federal, state and local law enforcement agencies. Partnering with EH&S and Human Resources, Security Operations is responsible for coordinating fingerprinting services for FBI criminal background checks for staff requiring unescorted access to the Laboratory irradiator.

- Security Operations ensures the operability and maintenance of the Laboratory's closed-circuit television (CCTV) system and other technical security equipment.

Monitoring of Critical Infrastructure and Scientific Equipment:

- After business hours, Security Operations personnel tour the research buildings checking the individual laboratories, equipment rooms, mechanical rooms for potential or existing problems including fires, floods, leaking pipes, air-conditioning malfunctions, heating malfunctions, freezer alarms, incubator alarms and other possible equipment failures. Touch probes are used to document locations visited.
- If any problems are discovered, it's Security Operations' responsibility to document and take corrective action when feasible in order to stabilize the situation before notifying the appropriate Facilities Operations staff to address the problem. When necessary, Security Operations will alert any potentially impacted lab personnel, so the scientific staff can take the appropriate corrective action to safeguard their research.
- Security Operations responds to environmental alarms which electronically monitor all of the Laboratory's refrigerators, freezers, cold rooms, incubators, liquid nitrogen storage tanks, carbon dioxide systems and animal rooms 24-hours a day. If any of the above are not functioning properly, Security Operations will be notified by the Laboratory's Building Management System. Subsequently, Security Operations will check the equipment, notify the appropriate Facilities Operations staff to resolve the problem, and if warranted, contact the relevant scientific stakeholders.

Emergency Management:

- Security Operations develops, maintains, and updates the Laboratory's Emergency Management Plans in coordination with Environmental Health & Safety staff.
- Security Operations provides the necessary training to Laboratory faculty, students, staff, and visitors, where appropriate, in the various aspects of the Emergency Management Plans.
- Security Operations, working closely with Human Resources and School of Biological Sciences, provides a Safety and Security Briefing as part of the New Employee/Student Orientation Program.
- Security Operations develops, implements, and maintains fire safety systems in all Laboratory buildings – including but not limited to: fire alarms, fire extinguishers, sprinkler/fire suppression systems, and central station monitoring systems in close coordination with the Environmental Health & Safety staff.
- As mandated by NYS, Security Operations oversees the implementation of twelve (12) fire drills and two (2) Shelter in Place Drills at the Mary D. Lindsay Child Care Center

annually. In addition, as required by NYS Education Law, Security Operations conducts fire safety training and drills at graduate student housing.

Transportation and Roadside Assistance:

- Security Operations transports sick and injured to local hospital emergency rooms, urgent care facilities and the Laboratory's Wellness Center as necessary.
- Security Operations provides vehicle battery jump starts, tire inflation/changing, and assists with vehicle lockouts and other minor repair issues for staff, students, visitors, and guests as necessary.

Laboratory Vehicles and Authorized Drivers:

- Security Operations is responsible for the documentation of motor vehicle accidents, filing accident reports with the Laboratory insurance carrier, and coordinating all subsequent repairs of Laboratory, employee, or third-party vehicles. Security Operations maintains a database of all staff authorized to operate a Laboratory vehicle and utilizes the NYS DMV License Event Notification System (LENS); an automated system which provides notifications via email regarding license status changes that include expirations, suspensions and revocations. Security Operations also subscribes to the NYS DMV Dial-in System which provides immediate search of NYS registration plate numbers and Drivers licenses.
- Security Operations assists in maintaining the Laboratory's 60-plus fleet of vehicles by scheduling and shuttling vehicles to service stations for maintenance, repair and inspections, and auto body shops for collision repairs and assist with the registration of Laboratory vehicles when necessary.
- Security Operations is responsible for the installation and monitoring of GPS and Dash Cam telemetry on Laboratory vehicles.
- Security Operations provides Golf Cart Safety Training and manages the Defensive Driving Course Program for all employees operating Lab vehicles.

Communications:

- Due to the absence of a dedicated call center person/dispatcher on duty Security Operations personnel working during the hours of 4:00 pm to 8:00 am weekdays and 24-hours on weekends handle all incoming calls to the Laboratory using a cell phone.
- Security Operations is responsible for maintaining the Laboratory Emergency Alert System. (Rave Platform).
- Security Operations maintains the Laboratory's Radio Communications Program, which includes the maintenance, distribution, and repair of radios as needed.

Special Events:

- Security Operations attends monthly planning meetings coordinated by the Communications Department (Event Planning) to review all upcoming events.
- Security Operations assists with logistical planning, traffic control and parking services for all VIP visits, public concerts, lectures and fund-raising events.
- Security Operations is responsible for the provision and coordination of valet parking services for planned special events.

Traffic/Parking Enforcement:

- Security Operations is responsible for the purchase, design and manufacture of all directional signage on Laboratory properties and is also responsible for placing branding decals and striping on all Laboratory vehicles.
- Security Operations deploy temporary reserved parking signs for VIP visitors and for the placement of special event directional signs as required.
- Security Operations manages the Laboratory's Parking Enforcement Program.

Employee Relations:

- At the request of Human Resources, Security Operations will assist with employee terminations by restricting access, retrieving ID Cards, keys, cell phones and other Laboratory property, helping the affected employee in packing any personal items, and escorting them off Laboratory property if necessary.

Crime Statistics:

- Crime at all Laboratory properties has been historically negligible. Statistics of crimes over the previous three years are reported annually as required to the NYS Department of Education and are listed below:

<u>Crimes Reported</u>	<u>2022</u>	<u>2023</u>	<u>2024</u>
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	1
Motor Vehicle Theft	0	0	0

Manslaughter	0	0	0
Arson	0	0	0
Bias or related hate crimes ¹	0	0	0
Arrests on Campus	0	0	0

Law Enforcement/Emergency Management Liaison:

- Security Operations fosters and maintains close working relationship with the Federal Bureau of Investigation, Department of Homeland Security – Cybersecurity and Infrastructure Security Agency (CISA), Village of Oyster Bay Cove Police Department, Nassau County Police Department, Suffolk County Police Department, Village of Lloyd Harbor Police Department, Town of Oyster Bay Department of Public Safety, NYS Department of Environmental Conservation, New York Police Department, CUNY City Tech Public Safety, and other law enforcement and first responder agencies, which are leveraged to aid with providing a safe and secure workplace environment.

If you have questions/concerns regarding safety and security matters, please contact Security Operations at ext. 8870.

CSHL Safety and Security Emergency Line – 516.367.5555

¹ NY Penal Law 485.05 defines hate crimes as an offense 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, gender identity or expression, religion, religious practice, age, disability or sexual orientation of a person, regardless of whether the belief or perception is correct.

Computer Usage Policy

1.0 PURPOSE

Cold Spring Harbor Laboratory (“Laboratory” or “CSHL”) computing resources are powerful tools that are made available to support CSHL’s research and education missions and its administrative and other business functions. This was established to notify all Authorized Users of Laboratory Computer Systems (defined below) of the acceptable uses of those systems, help ensure appropriate use of CSHL resources, and reduce the legal and financial liabilities of CSHL and the Authorized Users.

2.0 SCOPE

This policy will apply to “Authorized Users”, meaning all CSHL employees, students, visiting scientists, consultants, or other individuals authorized by CSHL to access and use the Laboratory’s Computer Systems. “Laboratory Computer Systems” means all computers, networks, servers, services and all devices at any time on the Laboratory network systems (including, but not limited to, voice, video and data networks, switches, routers and storage devices), whether or not administered or owned by the Laboratory, and all Laboratory-owned computers.

3.0 RESPONSIBILITY

The interpretation and administration of this policy is the responsibility of the Vice President, Chief Human Resources Officer.

4.0 Acceptable Uses of Laboratory Computer Systems, Internet and E-Mail:

- 4.1 All Authorized Users benefit from the use of Laboratory Computer Systems, but it must be kept in mind that all such use reflects on CSHL and its reputation. Authorized Users of the Laboratory Computer Systems are responsible for exercising good judgment when using Laboratory Computer Systems, and are expected to be mindful of and respectful towards CSHL and members of the CSHL community. Authorized Users should take personal responsibility for adhering to the Laboratory’s standards of appropriate conduct and propriety. These standards, at an individual level, include the commitment to a professional work environment in which all individuals are treated with respect and dignity and do not experience discrimination or harassment. On an institutional level, these standards include a recognition that Laboratory Computer Systems are provided to support the Laboratory’s research and education missions, and that misuse of these resources is damaging to the Laboratory community and threatens the efficiency and integrity of the Laboratory’s operations.
- 4.2 Laboratory Computer Systems, Internet, Intranet and e-mail access are Laboratory property and are primarily intended for CSHL’s scientific and business use. The Laboratory encourages the use of Laboratory Computer Systems to make communication more efficient and effective.
- 4.3 Incidental and occasional personal use of Laboratory Computer Systems consistent with CSHL policy and rules is permitted so long as such use does not disrupt or distract from the conduct of Laboratory business, due to volume or frequency. Consistent with the foregoing, the Laboratory

recognizes that from time to time, Authorized Users may send or receive a limited amount of personal, non-commercial e-mail messages from their CSHL e-mail addresses.

- 4.4 Authorized Users assume personal responsibility for the use of their accounts and are responsible for maintaining the security of their accounts, including their passwords. Passwords on all computers and software applications at Laboratory locations (including those not maintained by the IT Department) must follow the current Laboratory guidelines.
- 4.5 Authorized Users assume personal responsibility for protecting their computers. Protection from malware, such as viruses and spyware, must be installed as per Laboratory guidelines. Authorized Users also assume personal responsibility for proper use of the network, and must not install network devices (such as wireless access points, hubs, and routers) without notification to and permission from the IT Department.
- 4.6 Authorized Users of the Laboratory Computer Systems should respect the shared nature of the Laboratory's computing resources and refrain from activities that will interfere with the ability of others to use those resources.

5.0 Improper/Unacceptable Uses of the Internet and Laboratory E-Mail:

- 5.1 The Laboratory continually strives to provide a positive working environment for its employees and students. Authorized Users of the Laboratory Computer System that do not contribute to that goal, or potentially harm the Laboratory and/or its employees and students, are not permitted.
- 5.2 The Laboratory Computer Systems may not be used for printing, viewing, transmitting, retrieving or storage of any communications or materials that are obscene. Using the Laboratory Computer Systems for harassment of any kind is strictly prohibited. No profane or defamatory messages or messages with derogatory or inflammatory remarks about an individual's race, color, creed, religion, sex, pregnancy status, national origin, mental or physical disability, age, veteran status, military status, citizenship status, marital 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 shall be transmitted using the Laboratory Computer Systems. In considering whether an electronic communication or material may be inappropriate, a user should consider whether the content, style or timing of the communication or material would be perceived as hostile or unwelcome by any recipient or would be unlawful if made public (including through the media or in a court proceeding) and/or if the author was publicly identified.
- 5.3 The Laboratory Computer Systems may not be used for any purpose that is illegal, or against Laboratory policy. Solicitation of non-Laboratory business through the use of the Laboratory Computer Systems is also prohibited.

6.0 Communications:

- 6.1 All communications sent by Authorized Users via the Laboratory Computer Systems must comply with federal, state and local law as well as other Laboratory policies. Each Authorized User is responsible for the content of all text, audio or images that they place or send over the Laboratory's Computer Systems. No e-mail or other electronic communications may be sent which hides the identity of the sender or represents the sender as someone else or someone other



than themselves. All messages communicated on the Laboratory's e-mail/Internet system (including those communications that are outside of the scope of an Authorized User's job/employment) should contain the Authorized User's name. Any messages or information sent by an Authorized User to another individual outside the Laboratory via an electronic network (e.g., bulletin board, online service or Internet) are statements that reflect on the Laboratory. While some users may include personal "disclaimers" in electronic messages, there is still a connection to the Laboratory. Statements damaging to the Laboratory and its reputation are not permitted.

7.0 Software:

- 7.1 Infringement of software copyrights subjects the Laboratory and Authorized Users of the Laboratory Computer Systems to substantial financial liability and damages. The Laboratory licenses the use of computer software from a variety of outside companies and does not own such software. Unless authorized by the software developer, the Laboratory does not have the right to reproduce such software except for backup purposes. Authorized Users shall not download or upload unauthorized software over the Internet, nor shall they install software on any machine other than the one the license was originally purchased for, unless the software is completely removed from the original machine and the software company allows this transfer.
- 7.2 To be sure all software is properly licensed, Authorized Users should give advance notification to the Information Technology Department before installing new software. All software installed must be registered to the Laboratory. Authorized Users should contact the Information Technology Department if they have any questions.

8.0 Copyrights:

- 8.1 Copyrights promote the dissemination of information by protecting author's and publisher's rights. This promotes publication and avoids excessive secrecy. Authorized Users may not transmit copyrighted material on the Laboratory's e-mail/Internet system that belongs to entities other than the Laboratory. All Authorized Users obtaining access to other firms' or individuals' materials must respect all copyrights and may not copy, retrieve, modify or forward copyrighted materials, except with permission, or as a single copy, to reference only.

9.0 Security:

- 9.1 The Laboratory does not routinely monitor the contents of e-mails and files of its Computer System. To ensure privacy of its Authorized Users, all Authorized Users are prohibited from reading personal e-mails and files of other Authorized Users without their express prior approval. The Laboratory does track and monitor patterns of use (and potential abuse) to determine cost and usage of the Laboratory Computer Systems, and for the purpose of computer system maintenance and/or protection.
- 9.2 Under very infrequent circumstances, there may be reasons or requirements for the Laboratory to read and monitor certain e-mails or files more closely. For example, the Laboratory may be required to allow such monitoring in response to a court order or other legal requirement. In such circumstances, any and all telephone conversations or transmissions, electronic mail or transmissions, or Internet access or usage by an Authorized User by any electronic device or system, including but not limited to the use of a computer or telephone may be subject to

monitoring at any times and by any lawful means. Such monitoring is not permitted without the prior authorization of (i) the Chief Information Officer and (ii) the Vice President, Human Resources, the Director of Research, or the Vice President, General Counsel. Abuse of this section will result in serious disciplinary action including possible termination of employment or student status.

10.0 Confidential Information:

- 10.1 Confidential information, particularly medical information or personal or private data typically thought to be non-public (such as an individual's social security number, health information or academic record), must be used and maintained according to applicable law, Laboratory policies, rules or guidelines and Laboratory contractual obligations regarding the use and maintenance of such data. Those who handle confidential information as part of their job duties must follow applicable operating procedures for working with the information.
- 10.2 Authorized Users may gain access to confidential or proprietary information through contractual arrangements entered into by CSHL. Authorized Users must not knowingly violate the Laboratory's contractual obligations that restrict the use or maintenance of such information.
- 10.3 Faculty and other Authorized Users who use the Laboratory Computer Resources to collect, examine, analyze, transmit or store research information that is required by law or regulation to be held confidential or for which a promise of confidentiality has been given are responsible for taking steps to protect such confidential research information from unauthorized access or modification. In general, this means storing the information on a computer or auxiliary hard drive that provides strong access controls (passwords) and encrypting files, documents, and messages for protection against inadvertent or unauthorized disclosure while in storage or in transit over data networks. Robust encryption and passwords must be used to protect Confidential Research Information, and is strongly recommended for information stored electronically on all computers, especially portable devices such as notebook computers, Personal Digital Assistants (PDAs), and portable data storage (e.g., auxiliary hard drives, memory sticks) that are vulnerable to theft or loss, as well as for information transmitted over public networks.

11.0 IT Staff access to Private Emails and Files:

- 11.1 Members of the Information Technology Department (IT) may from time to time be exposed to and need to work on, copy, retrieve, modify or read portions of others personal emails and files as required by their job (for example, IT may conduct searches for viruses or "spamming" problems, etc.). Members of the IT staff will not read or pry into the personal e-mail of Authorized Users beyond that which is reasonably necessary to perform their job-related duties. Abuse of this section of this Policy by members of the IT staff will result in serious disciplinary action, including discharge of employment.

12.0 Violations:

- 12.1 According to applicable copyright law, persons involved in the illegal reproduction of



software can be subject to civil damages and criminal penalties. Any Authorized User who violates the terms of this Policy or abuses the privilege of Laboratory-facilitated access to Laboratory Computer Systems will also be subject to corrective action.

Contacts:

Computer Systems and Security:

Vice President, Chief Information Officer

MaryJo Zaborowski

Software License Issues:

Administrative Manager

Bobbie Peters

Harassment:

Vice President, Chief Human Resources Officer

Katie Raftery

Legal Issues:

Vice President, General Counsel

Debra Arenare

This Policy has been amended effective March 5, 2024

Cold Spring Harbor Laboratory Computer Systems User Agreement

I have read the aforementioned Policy and agree to follow all of the terms and procedures that are set forth therein and all policies and guidelines located on Information Technology's Intranet page at: <http://intranet.cshl.edu/administration/information-technology/policies>.

As an Authorized User of the Laboratory Computer Systems, gateway to the Internet and e-mail system, I understand that this Policy applies to me.

I am aware that violations of the Cold Spring Harbor Laboratory Computer Systems Usage Policy may subject me to disciplinary action.

I understand that this Policy can be amended by the Laboratory at any time and that I will be notified of any such changes.

I have read and accept the terms of this Policy.

Signature

Printed Name

Date



**EQUAL EMPLOYMENT OPPORTUNITY AND DISCRIMINATION,
HARASSMENT, AND RETALIATION PREVENTION POLICY**

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Cold Spring Harbor Laboratory

1.0

PURPOSE

The Laboratory is committed to providing equal employment opportunities and a workplace that is respectful, productive, and free from discrimination, harassment, and retaliation. The purpose of this Equal Employment Opportunity and Discrimination, Harassment, and Retaliation Prevention Policy (the “Policy”) is to establish the Laboratory’s expectations for a productive and positive work environment, alert employees to their legal rights under applicable laws, and provide information on options for raising concerns either internally or externally.

2.0

SCOPE

- 2.1 The protections under this Policy apply to the Laboratory’s employees, and also includes the following covered individuals: applicants, interns, and non-employees working at the Laboratory, and students enrolled in a research program at the Laboratory, including visiting students, regardless of immigration status (“Other Covered Persons”). A non-employee is someone who is (or is employed by) a contractor, subcontractor, vendor, consultant, volunteer or anyone else providing services in the workplace. Protected non-employees include persons commonly referred to as independent contractors, “gig” workers, and temporary workers.
- 2.2 Conduct not falling under the scope of this Policy may be addressed under other Laboratory policies. For example, the Laboratory also maintains a Code of Conduct, which sets forth standards for honest, lawful, respectful and ethical conduct. A copy of the Code of Conduct is available on the [Intranet](#).
- 2.3 For purposes of this Policy, the workplace includes not only Laboratory-owned or operated locations, but also off-campus or off-site research facilities, field sites, and while in attendance at conferences and workshops connected to Laboratory activities or programs.
- 2.4 The administration of this Policy shall be the responsibility of the Vice President, Chief Human Resources Officer.

3.0

EQUAL EMPLOYMENT OPPORTUNITY (“EEO”)/DISCRIMINATION PREVENTION

- 3.1 Cold Spring Harbor Laboratory is an equal employment opportunity employer and does not discriminate against any employee, intern, student, applicant, or non-employee working at the Laboratory, because of actual or perceived race, color, creed, religion, sex, pregnancy status, national origin, mental or physical disability, age, veteran status, military status, citizenship status, marital status, familial status, sexual orientation, gender identity or expression, status as a victim of domestic violence, sexual violence, or stalking, genetic information, caregiver status, sexual or reproductive health decisions, or immigration or citizenship status, or any other characteristic protected by applicable law (referred to as “Protected Status”).
- 3.2 All activities of the Laboratory, including, but not limited to, recruiting and hiring, recruitment advertising, promotions, performance appraisals, training, job assignments, compensation, demotions, transfers, terminations (including layoffs), benefits, and other terms, conditions, and privileges of employment, are and will be administered on a non-discriminatory basis, consistent with all applicable federal, state, and local requirements.

- 3.3 Discrimination in the workplace based on a person's Protected Status (as defined above) is unlawful, may subject the Laboratory to liability for the harm experienced by targets of discrimination, and will not be tolerated by the Laboratory. Discrimination occurs when an individual is treated differently on the basis of a Protected Status. Any person covered by this Policy who engages in discrimination will be subject to appropriate discipline, as described below.

4.0 **HARASSMENT PREVENTION**

Harassment in the workplace based on a person's Protected Status (as defined above in the EEO/Discrimination Prevention section of this policy) will not be tolerated by the Laboratory and is unlawful. Individuals who engage in unlawful harassment may be individually subject to liability and employers or supervisors who fail to report or act on such conduct may be liable for aiding and abetting such behavior. In addition, harassment of any sort, whether or not based on a person's Protected Status, is prohibited by the Laboratory's Code of Conduct. Employees and Other Covered Persons at every level who engage in harassment, including managers and supervisors who engage in or who allow such behavior to continue, will be penalized for such misconduct.

A. Harassment Generally Defined

- 4.1 Harassment is any unwelcome verbal, visual, written, or physical conduct that occurs with the purpose or effect of creating an intimidating, hostile, degrading, humiliating, or offensive environment or unreasonably interferes with an individual's work performance. In general, harassment is unlawful when it subjects an individual to inferior terms, conditions, or privileges of employment because of their Protected Status. Any harassing conduct, even a single incident, can be discrimination and is covered by this policy. The impacted person does not need to be the intended target of the harassment. **Examples of harassment can be found in Appendix B.**
- 4.2 Unlawful harassment is not limited to Laboratory-owned or operated locations.. It can occur, for example, while individuals are traveling for business, at Laboratory events or parties, or at off-campus or off-site research facilities, field sites, and during conferences and workshops, and is not restricted to work hours. Harassment can occur when employees and Other Covered Persons are working remotely as well. Harassment can happen on virtual meeting platforms and in messaging apps, as well as through calls, texts, emails, and social media.
- 4.3 Consistent with the Laboratory's [Computer Usage Policy](#), computers, computer files, software, email systems, messaging platforms, and voice mail furnished by the Laboratory may not be used for any improper purpose. For example, any use, display, or transmission of intimidating, hostile, degrading, humiliating, offensive, or sexually explicit images, messages, or cartoons is strictly prohibited. Use of the Laboratory's property to maintain or communicate material or information of such a harassing nature, including sexually harassing content, will not be tolerated.
- 4.4 Harassment and/or discrimination experienced by an employee or Other Covered Person can be impacted by biases and identities beyond an individual's gender, including but not limited to an individual's race, immigration status, or past experiences as a survivor of domestic violence. Individuals bring personal history with them to the workplace that might impact how they interact with certain behavior. In the interest of creating a safe and equitable workplace, it is especially important for all employees and Other Covered Persons to be aware of how words or actions might impact someone with a different

experience than their own.

B. Sexual Harassment Defined

- 4.5 Sexual harassment is a form of sex discrimination and is unlawful under federal, state, and (where applicable) local law. The Laboratory prohibits any form of sexual harassment, and all individuals are required to work in a manner that prevents sexual harassment in the workplace. This policy is one component of the Laboratory's commitment to a discrimination-free work and learning environment.
- 4.6 Sexual harassment includes harassment on the basis of sex, sexual orientation, self-identified or perceived sex, gender expression, gender identity, and the status of being transgender. Sexual harassment, includes but is not limited to sexual contact, touching, or expressions of a sexually suggestive nature and sexual violence. Sexual harassment includes all forms of gender discrimination including gender role stereotyping and treating individuals differently because of their gender. **Examples of sexual harassment can be found in Appendix B.**
- 4.7 Respecting an individual's gender identity is a necessary first step in establishing a safe workplace. The gender spectrum is nuanced, but the three most common ways people identify are cisgender, transgender, and non-binary.
1. A cisgender person is someone whose gender aligns with the sex they were assigned at birth.
 2. A transgender person is someone whose gender is different than the sex they were assigned at birth.
 3. A non-binary person does not identify exclusively as a man or a woman. They might identify as both, somewhere in between, or completely outside the gender binary. Some may identify as transgender, but not all do.
- 4.8 Sexual harassment includes any unwelcome conduct which (1) is either directed at an individual because of that individual's sex, gender identity, or gender expression (perceived or actual), or is of a sexual nature and (2) has the purpose or effect of unreasonably interfering with an individual's work performance or creates an intimidating, hostile, or offensive work environment.
- 4.9 Sexual violence is a form of sexual harassment. Sexual violence, as defined by the Office of Civil Rights refers to physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent (e.g. due to the victim's age or use of drugs or alcohol or because of an intellectual or other disability that prevents the victim from having the capacity to consent.) A number of different acts fall into the category of sexual violence, including rape, sexual assault, sexual battery, sexual abuse, and sexual coercion.
- 4.10 There are two main types of sexual harassment:
1. Behaviors that contribute to a **hostile work environment** include, but are not limited to, words, signs, jokes, pranks, intimidation, or physical violence which are of a sexual nature, or which are directed at an individual because of that individual's sex, gender identity, or gender expression. Sexual harassment also consists of any unwanted verbal or physical advances, or sexually explicit or discriminatory statements which an employee or Other Covered Person finds offensive or objectionable, causes an employee or Other Covered Person discomfort or humiliation, or interferes with the employee's job performance.

2. Sexual harassment also occurs when a person in authority tries to trade job benefits for sexual favors. This type of sexual harassment occurs when employment depends implicitly or explicitly on accepting such unwelcome behavior; or when decisions regarding an individual's employment are based on an individual's acceptance to or rejection of such behavior. This can include hiring, promotion, continued employment, or any other terms, conditions, or privileges of employment such as what shifts and how many hours an employee might work, project assignments, as well as salary decisions. This is also called **quid pro quo** harassment.
- 4.11 Sexual harassment can occur between any individuals, regardless of their sex or gender and does not have to be between members of the opposite sex or gender. **Harassers can be anyone in the workplace, including a supervisor, supervisee, coworker, independent contractor, contract worker, vendor, client, or visitor.**
- 4.12 No supervisor or other individual providing services in the workplace shall threaten or insinuate, either explicitly or implicitly, that another individual's refusal to submit to sexual advances will adversely affect that person's employment, work status, evaluation, compensation, advancement, assigned duties, shifts, or any other term, condition, or privilege of employment or career development. Similarly, no supervisor or other individual providing services in the workplace shall promise, imply, or grant any preferential treatment or employment opportunities in return for sexual favors.

C. Bystander Intervention

- 4.13 There are five standard methods of bystander intervention that can be used when anyone witnesses harassment or discrimination and wants to help.
 1. A bystander can interrupt the harassment by engaging with the individual being harassed and distracting them from the harassing behavior;
 2. A bystander who feels unsafe interrupting on their own can ask a third party to help intervene in the harassment;
 3. A bystander can document the harassment incident to benefit a future investigation;
 4. A bystander might check in with the person who has been harassed after the incident, see how they are feeling and let them know the behavior was not ok; and
 5. If a bystander feels safe, they can confront the harassers and name the behavior as inappropriate. When confronting harassment, physically assaulting an individual is never an appropriate response.

Though not exhaustive, and dependent on the circumstances, the guidelines above can serve as a brief guide of how to react when witnessing harassment in the workplace. Anyone witnessing harassment as a bystander is encouraged to report it as described in Section 7.0. A supervisor or manager that is a bystander to harassment is required to report it.

5.0 RETALIATION PREVENTION

- 5.1 The Laboratory's commitment to equal employment opportunity and a workplace that is free of discrimination, unlawful harassment, including sexual harassment, and retaliation ensures that employees or Other Covered Persons may raise concerns under the Equal Employment Opportunity and Discrimination, Harassment, and Retaliation Prevention Policy without fear of retaliation.
- 5.2 Individuals engage in protected activity by making a complaint or report of harassment, discrimination, or retaliation; testifying or assisting in a proceeding involving discrimination, unlawful harassment, or retaliation under federal, state, or local laws; or encouraging colleagues to report discrimination, harassment, or retaliation. Retaliation is any unlawful action by an employer or supervisor to discharge, threaten, penalize, or otherwise adversely impact an employee because they have engaged in protected activity or seeks to discourage that individual from making a complaint or supporting a sexual harassment or discrimination claim. Unlawful retaliation is not limited to Laboratory-owned or operated locations. It can occur, for example, while individuals are traveling for business, at Laboratory events or parties, or at off-campus or off-site research facilities, field sites, and during conferences and workshops, and is not restricted to work hours. Such retaliation is unlawful under federal, state, and local law. **Examples of retaliation can be found in Appendix B.**
- 5.3 Retaliation against individuals for raising good faith concerns about discrimination, unlawful harassment (including sexual harassment), or retaliation, either with the Laboratory or with any administrative agency or in a court or arbitration proceeding, or for cooperating in an investigation of such concerns will not be tolerated by the Laboratory. This policy is intended to give employees and Other Covered Persons the ability to express legitimate serious concerns without fear of retaliatory action.
- 5.4 Even if the alleged discrimination or harassment does not actually constitute a violation of law, the individual is protected from retaliation if the person had a good faith belief that the practices were unlawful. However, the prohibition of retaliation is not intended to protect persons making intentionally false charges of discrimination or harassment.
- 5.5 Any individual who retaliates against employees or Other Covered Persons who raise good faith concerns about discrimination, retaliation, or unlawful harassment, including sexual harassment, or who otherwise engages in protected activity described in the preceding paragraph, will be subject to appropriate disciplinary action, up to and including termination of employment.

6.0 SUPERVISORY RESPONSIBILITIES

- 6.1 Supervisors and managers have a responsibility to prevent discrimination, sexual or other unlawful harassment, or retaliation. All supervisors and managers who receive a complaint or information about possible discrimination, sexual or other unlawful harassment, or retaliation, observe what may be discrimination, sexual or other unlawful harassment, or retaliation, or for any reason suspect that discrimination, sexual or other unlawful harassment, or retaliation is occurring, are **required to** immediately contact the Vice President, Chief Human Resources Officer or the Chief Operating Officer so it can be investigated in a timely manner. Supervisors and managers should not be passive and wait for an employee or Other

Covered Person to make a claim of discrimination, sexual or other unlawful harassment, or retaliation. If they observe or become aware of such behavior, they must act.

- 6.2 Supervisors, and managers can be disciplined if they engage in discrimination, sexual or other unlawful harassment, or retaliation themselves. Supervisors, and managers can also be disciplined in the event they become aware of any violation of the Laboratory's Equal Employment Opportunity and Discrimination, Harassment, and Retaliation Prevention Policy but fail to promptly report it to the Vice President, Chief Human Resources Officer or the Chief Operating Officer.

7.0 PROCEDURES FOR REPORTING VIOLATIONS OF THIS POLICY

- 7.1 An individual who believes they have been the victim of discrimination, harassment, or retaliation or the object of inappropriate behavior or sexual or other unlawful harassment, or who witnesses or becomes aware of potential instances of such conduct, should inform the Vice President, Chief Human Resources Officer (516-367-8499) or the Chief Operating Officer (516-367-5200).
- 7.2 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. An optional form for submission of a written complaint of discrimination, harassment, and/or retaliation may be accessed in one of a number of ways:
1. As an alternative to directly contacting one of the designated individuals listed above, an individual may file a complaint on the Intranet 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 1-844-390-9805. The Laboratory encourages individuals to provide their identity when making the report and provide detailed information in order to facilitate an investigation. However, anonymous reports may be made.
 2. An optional form for submission of a written complaint of discrimination, harassment, or retaliation is attached as **Appendix A** to this policy. Individuals who are reporting on behalf of other individuals also may use the complaint form and note that the complaint is made on behalf of another person. Individuals who believe they have been a victim of unlawful discrimination or harassment, including sexual harassment, may also seek assistance in other available forums, as explained below in the section on Legal Protections and External Remedies. Individuals who are reporting discrimination, harassment, and/or retaliation on behalf of other individuals also may use the complaint form and note that the complaint is made on behalf of another person.
 3. Special policies and procedures apply to allegations of sexual harassment covered under Title IX of the Educational Amendments of 1972, which apply to education programs and activities and locations of the Laboratory. For additional information about prohibited conduct, procedures for handling Title IX complaints, and resources available to students, please see the Laboratory's Title IX Policy. The policy can be found on the Laboratory's School of Biological Science's website. There may be a circumstance when the allegations forming the basis of a complaint, if substantiated, would constitute prohibited conduct under

both this Equal Employment Opportunity and Discrimination, Harassment, and Retaliation Prevention Policy and the Laboratory's Title IX Policy. In that circumstance, the grievance process set forth in the Laboratory's Title IX Policy will be applied in the investigation and adjudication of all of the allegations.

- 7.3 Individuals who have concerns about their safety or the safety of others involved in reporting a complaint should contact Security at (516) 367-5555. The Laboratory will promptly 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 conduct prohibited by this Policy that would justify the removal of an individual from the Laboratory and/or denial of access to the Laboratory's facilities or programs pending further investigation.

8.0 COMPLAINTS, INVESTIGATIONS, AND DISCIPLINARY ACTION

- 8.1 The Laboratory will conduct a prompt, thorough, fair, and impartial investigation following receipt of a complaint about a violation of this policy, or otherwise becomes aware of a violation. The investigation will be conducted in a timely matter by qualified personnel exercising due diligence in as confidential manner as is practical and appropriate under the circumstances, recognizing that some disclosure may be necessary to effectively investigate the complaint.
- 8.2 The investigation process will give persons accused of prohibited conduct notice of the nature of the allegations and a meaningful opportunity to respond, as appropriate. While some complaints may require extensive investigation, whenever possible, the investigation of a complaint should be completed within sixty (60) calendar days of the receipt of the complaint. Upon completing its investigation, the Laboratory will make findings and conclusions based on the evidence. Appropriate corrective action will be taken whenever violations are determined to have occurred. The Laboratory will promptly notify the individual who complained and the individual(s) accused of the final determination and implement any corrective action.
- 8.3 All individuals, including managers and supervisors, are required to cooperate with any internal investigation of discrimination, harassment, or retaliation. Anyone interfering with or providing information that the individual knows to be inaccurate may be subject to disciplinary action, up to and including termination of employment.
- 8.4 Discrimination based on any Protected Status, sexual harassment or other unlawful harassment, and retaliation are forms of misconduct, violations of our policy, and may subject the Laboratory to liability. Individuals of every level who engage in such misconduct, including managers and supervisors who engage in such behavior or who knowingly allow such behavior to continue, will be subject to remedial and/or disciplinary action up to and including termination. Examples of remedial action include, but are not limited to, counseling, training, and mediation.
- 8.5 The Laboratory will comply with all applicable institutional reporting requirements under third party awards, including but not limited to Federal awards, such as those of the National Institutes of Health ([NIH](#)) and National Science Foundation ([NSF](#)), New York State and private foundations. More details can be found in the Laboratory's Sponsored

9.0 LEGAL PROTECTIONS AND EXTERNAL REMEDIES

- 9.1 Unlawful discrimination and harassment (including sexual harassment), is not only prohibited by the Laboratory but is also prohibited by federal, state, and (where applicable) local law. Aside from the internal process at the Laboratory, individuals may also choose to pursue legal remedies as follows.
- 9.2 The United States Equal Employment Opportunity Commission (“EEOC”)
 1. The United States Equal Employment Opportunity Commission (“EEOC”) enforces federal anti-discrimination laws, including Title VII of the 1964 federal Civil Rights Act (42 U.S.C. § 2000e et seq.), the Americans with Disabilities Act (ADA) (42 U.S.C. § 12101 et seq), and the Age Discrimination in Employment Act of 1967 (ADEA) (29 U.S.C. § 621 et seq). An individual can file a complaint with the EEOC. The EEOC will investigate the complaint, and determine whether there is reasonable cause to believe that discrimination has occurred, at which point the EEOC will issue a Notice of Right to Sue permitting the individual to file a complaint in federal court, or, if there is a written arbitration agreement covering the issue in dispute, in arbitration.
 2. The EEOC does not hold hearings or award relief, but may take other action including pursuing cases in federal court on behalf of complaining parties. Federal courts may award remedies if discrimination is found to have occurred.
 3. If an individual believes that they have been discriminated against at work, the individual can file a “Charge of Discrimination.” The EEOC has district, area, and field offices where complaints can be filed. You may contact the EEOC by calling 1-800-669-4000 (1-800-669-6820 (TTY)), visiting their website at www.eeoc.gov, or emailing info@eeoc.gov.
 4. If an individual files an administrative complaint with the New York State Division of Human Rights, the Division will automatically file the complaint with the EEOC to preserve the right to proceed in federal court.
- 9.3 New York State Division of Human Rights
 1. The Human Rights Law (“HRL”), N.Y. Executive Law, § 290 et seq., applies to all employers in New York State and protects employees, applicants, interns, and non-employees regardless of immigration status.
 2. A complaint alleging violation of the HRL may be filed with the New York State Division of Human Rights (“DHR”); in New York State Supreme Court; in federal court in certain circumstances; or if there is a written arbitration agreement covering the issue in dispute, in arbitration. An individual may not file with the DHR if they have already filed an HRL complaint in court. And an individual may not file an HRL complaint in court if they have already filed a complaint with the DHR.

3. The DHR will investigate complaints and determine whether there is probable cause to believe that discrimination, harassment, or retaliation has occurred. Probable cause cases are forwarded to a public hearing before an administrative law judge. If discrimination, harassment, or retaliation is found after a hearing, the DHR has the power to award relief, which varies but may include requiring an employer to take action to stop the discrimination, harassment, or retaliation, redress the damage caused, including paying of monetary damages, attorney's fees, and civil fines.
4. The DHR's main office contact information is: NYS Division of Human Rights, One Fordham Plaza, Fourth Floor, Bronx, New York 10458. You may call the DHR at (718) 741-8400 or visit www.dhr.ny.gov.
5. You may go to <https://dhr.ny.gov/complaint> for more information about filing a complaint with the DHR. The website has a digital process that can be completed on your computer or mobile device from start to finish, as well as a complaint form that can be downloaded, filled out, and mailed to the DHR as well as a form that can be submitted online. The website also contains contact information for the DHR's regional offices across New York State.
6. Additionally, all Covered Persons in New York State may use this free and confidential hotline for more information about filing a sexual harassment complaint or to connect with a volunteer attorney experienced in sexual harassment matters who can provide limited free assistance and counsel over the phone: 1-800-HARASS-3 (1-800-427-2773).

9.4 Additional Local Protections

1. Many localities enforce laws protecting individuals from discrimination, harassment, or retaliation. Individuals may contact the county, city, or town, in which they work to find out if such a law exists.
2. Individuals who work in Nassau County may file complaints with the Nassau Commission on Human Rights at Nassau County Commission of Human Rights, 240 Old Country Road, Suite 606, Mineola, NY 11501; call 516-571-3662.
3. Individuals who work in Suffolk County may file complaints with the Suffolk County Human Rights Commission, which may be contacted at its main office at H. Lee Denison Building, 100 Veterans Memorial Highway, Third Floor, Hauppauge, NY 11788; call (631) 853-5480; or visit www.suffolkcountyny.gov/Departments/HumanRightsCommission.aspx.
4. Individuals who work in New York City may file complaints with the New York City Commission on Human Rights. Such individuals may contact their main office at Law Enforcement Bureau of the NYC Commission on Human Rights, 22 Reade Street, 1st Floor, New York, New York; (212) 306-7450 or (in New York City) 311; or visit www.nyc.gov/html/cchr/html/home/home.shtml.
5. Individuals who work in Westchester may file complaints with the Westchester County Human Rights Division at 112 East Post Rd., 3rd Floor White Plains, NY 10601; call (914) 995-9500.
6. If the harassment involves unwanted physical touching, coerced physical confinement or coerced sexual acts, the conduct may constitute a crime. In such circumstances, individuals may contact the appropriate law enforcement agency.

- 9.5 Questions concerning the Equal Employment Opportunity, and Discrimination, Harassment, and Retaliation Prevention Policy should be directed to the Vice President, Chief Human Resources Officer (516-367-8499) or the Chief Operating Officer (516-367-5200).
- 9.6 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.

Revised: May 2024

Appendix A

Complaint Form For Reporting Discrimination, Harassment, Including Sexual Harassment, or Retaliation

If you believe that you or another individual have been subjected to discrimination, harassment, including sexual harassment, or retaliation, you may, but are not required to, complete this form and submit it to the Vice President, Chief Human Resources Officer (drobbins@cshl.edu) or the Chief Operating Officer (tuke@cshl.edu). If you are more comfortable reporting verbally or in another manner, you may contact the Vice President, Chief Human Resources Officer (516-367-8499) or the Chief Operating (516-367-5200). You will not be retaliated against for filing a complaint.

For additional resources, visit:

<https://www.ny.gov/PROGRAMS/COMBATING-SEXUAL-HARASSMENT-WORKPLACE>

I am completing this complaint form on behalf of: ☐ Myself ☐ Someone Else

COMPLAINANT INFORMATION

Name:	
Work Address:	Work Phone:
Job Title:	Email:
Select Preferred Communication Method: (please select one): Phone: Work Email:	

SUPERVISOR INFORMATION

Immediate Supervisor's Name:	Work Address:
Title:	Work Phone:

COMPLAINT INFORMATION

1. Your complaint of discrimination, harassment, or retaliation is made against:

Name:	Title:
Work Address:	Work Phone:

Relationship to you (or that person's):

☐ Supervisor ☐ Subordinate ☐ Co-Worker ☐ Other

2. Date(s) discrimination, harassment, or retaliation occurred: _____

Is the discrimination, harassment, or retaliation continuing? ☐ Yes ☐ No

3. Please describe what happened and how it is affecting you (or the individual on whose behalf the complaint is made) and your (or that person's) work. Please use additional sheets of paper if necessary and attach any relevant documents or evidence.
4. Please list the name and contact information of any witnesses or individuals that may have information related to your complaint:

The last question is optional, but may help facilitate the investigation.

5. Have you previously complained or provided information (verbal or written) about related incidents or discrimination, harassment, or retaliation at Cold Spring Harbor Laboratory? If yes, when and to whom did you complain or provide information?

If you have retained legal counsel and would like us to work with them, please provide their contact information.

The information submitted on this form is true and accurate to the best of my knowledge.

Signature: _____ *Date:* _____

Appendix B

Examples of Harassment

The following are examples of types of behavior that may constitute unlawful harassment when based on a Protected Status:

1. Engaging in verbal or physical abuse;
2. Threats;
3. Making suggestive or offensive comments or gestures to intimidate or humiliate;
4. Making insulting or abusive comments or jokes;
5. Bullying;
6. Isolation or exclusion;
7. Displaying discriminatory or harassing symbols or imagery;
8. Misuse of power or position for the purpose of intimidating or humiliating; or
9. Engaging in a pattern of unwelcome or inappropriate verbal, behavioral, or environmental indignities, whether intentional or unintentional, that communicate hostile, derogatory, or otherwise negative prejudicial slights and insults toward an individual or group, including, but not limited to, historically excluded groups. These can be referred to as microaggressions, such as commenting on ability to speak English or stating and/or perpetuating stereotypes.

Employees and Other Covered Persons should thoughtfully consider their words and actions as the intent of the behavior, for example, making a joke, does not neutralize a harassment claim.

Examples of Sexual Harassment

Sexual harassment does not happen in a vacuum, and discrimination experienced by an employee or Other Covered Person can be impacted by biases and identities beyond an individual's gender. For example:

1. Placing different demands or expectations on black women than white women can be both racial and gender discrimination;
2. An individual's immigration status may lead to perceptions of vulnerability and increased concerns around illegal retaliation for reporting sexual harassment; or
3. Past experiences as a survivor of domestic or sexual violence may lead an individual to feel re-traumatized by someone's behaviors in the workplace.

The following describes some of the types of acts that may be unlawful sexual harassment. **This list is just a sample of behaviors and should not be considered exhaustive.** Any individual who believes they have experienced sexual harassment, even if it does not appear on this list, should feel encouraged to report it:

1. Physical acts of a sexual nature, such as:
 - Touching, pinching, patting, kissing, hugging, grabbing, brushing against another person's body, or poking another person's body; or
 - Sexual violence, including rape, sexual battery, molestation, or attempts to commit these assaults, which may be considered criminal conduct outside the scope of this policy. Please contact local law enforcement if you wish to pursue criminal charges (the Laboratory's Security Office can assist you with this if you choose).

2. Unwanted sexual comments, advances, or propositions, such as:
 - Requests for sexual favors accompanied by implied or overt threats concerning the target's job performance evaluation, a promotion, or other job benefits;
 - Subtle or obvious pressure for unwelcome sexual activities; or
 - Repeated requests for dates or romantic gestures, including gift-giving.
3. Sexually oriented gestures, noises, remarks or jokes, or questions and comments about a person's sexuality, sexual experience, or romantic history which create a hostile work environment. This is not limited to interactions in person. Remarks made over virtual platforms and in messaging apps when working remotely can create a similarly hostile work environment.
4. Sex stereotyping, which occurs when someone's conduct or personality traits are judged based on other people's ideas or perceptions about how individuals of a particular sex should act or look:
 - Remarks regarding a person's gender expression, such as wearing a garment typically associated with a different gender identity; or
 - Asking employees to take on traditionally gendered roles, such as asking a woman to serve meeting refreshments when it is not part of her job duties.
5. Sexual or discriminatory displays or publications, such as:
 - Displaying pictures, posters, calendars, graffiti, objects, promotional material, reading materials, or other materials that are sexually demeaning or pornographic;
 - This includes such sexual displays on workplace computers or cell phones and sharing such displays while in the workplace;
 - This also extends to the virtual or remote workspace and can include having such materials visible in the background during a virtual meeting.
6. Hostile actions taken against an individual because of that individual's sex, sexual orientation, gender identity, or gender expression, such as:
 - Interfering with, destroying, or damaging a person's workstation, tools or equipment, or otherwise interfering with the individual's ability to work;
 - Sabotaging an individual's work;
 - Bullying, yelling, or name-calling;
 - Intentional misuse of an individual's preferred pronouns.
 - Creating different expectations for individuals based on their perceived identities, i.e. leaving parents/caregivers out of meetings.

Examples of Retaliation

Examples of retaliation may include, but are not limited to:

1. Demotion, termination, denying accommodations, reduced hours, or the assignment of less desirable shifts;
2. Publicly releasing personnel files;
3. Labeling an individual as "difficult" and excluding them to avoid "drama";
4. Undermining an individual's immigration status; or
5. Reducing work responsibilities, passing over for a promotion, or moving an individual's desk to a less desirable office location.

Appendix C



Sponsored Program Procedures and Reporting Requirements Relating to Harassment

Cold Spring Harbor Laboratory (“the Laboratory”) is committed to providing equal employment opportunities and a workplace that is respectful, productive, and free from discrimination, harassment, and retaliation. The Laboratory has established policies, procedures and oversight to promote ethical conduct and compliance with laws, regulations and policies. Part of the Laboratory’s obligation is to ensure that it complies with sponsors’ expectations and requirements regarding harassment-free environments. Many sponsors require the Laboratory to inform them when an individual’s ability to perform work on the project is impacted. To that end, the Laboratory will abide by the following procedures:

1. When the Laboratory receives a complaint of sexual harassment, other harassment, sexual assault, discrimination or other forms of inappropriate conduct that can result in a hostile work environment, the Office of Human Resources (HR) or its designee(s) will coordinate with the General Counsel’s Office to investigate the complaint against the respondent in accordance with the Laboratory’s policies and procedures, including but not limited to its Equal Employment Opportunity and Discrimination, Harassment and Retaliation Prevention Policy, and its Title IX Policy, as applicable.
2. Depending on the circumstances, prior to, during, or after an investigation, the respondent may be put on administrative leave or an administrative action may be imposed.
3. If the respondent is a Principal Investigator (PI), co-Principal Investigator (co-PI) or key scientific personnel, HR and/or the General Counsel will ask the Office of Sponsored Programs (OSP) to confidentially provide a list of that individual’s active sponsored awards.
4. Upon conclusion of an investigation or imposition of an administrative leave/action for a PI, co-PI or key personnel, HR and Legal will engage and work with OSP to draft and submit any required notifications to sponsoring agencies, as applicable.

NIH Notification Requirements: The Laboratory’s AOR, Vice President, Executive Director of Sponsored Programs (osp@cshl.edu) will be instructed by the Laboratory’s CHRO and/or General Counsel to notify the NIH when a PI, co-PI or person identified as key personnel in an NIH Notice of Award is removed from their position or is otherwise disciplined due to concerns about harassment, bullying, retaliation, or hostile working conditions. Such notification will occur within 30 days of the removal or disciplinary action of the PI, co-PI or key personnel, in compliance with [NIH Terms and Conditions](#). In addition, the Laboratory will notify the NIH of changes in a PI, co-PI or other key person’s status, for example modified employment or leave status during an investigation of alleged sexual misconduct. The Laboratory may propose a substitute investigator if it determines the PI or co-PI may not be able to carry out the funded project or activity and/or abide by the award terms and conditions.

NSF Notification Requirements: The Laboratory's AOR, Vice President, Executive Director of Sponsored Programs (osp@cschl.edu) will be instructed by the Laboratory's CHRO and/or General Counsel to notify the NSF's Office of Diversity and Inclusion via its [Organizational Notification of Harassment Form](#) within ten business days from the date of the Laboratory's finding/determination of sexual harassment, other form of harassment, or sexual assault by a PI or co-PI, or the date of the Laboratory's placement of a PI or co-PI on administrative leave or the imposition of an administrative action, whichever is sooner.

Definitions: For purposes of this section:

Sexual Harassment: May include but is not limited to gender or sex-based harassment, unwelcome sexual attention, sexual coercion, or creating a hostile environment, as set forth in the Laboratory's policies or codes of conduct, statutes, regulations, or executive orders. Sexual Violence: Sexual violence is a form of sexual harassment. Sexual violence, as defined by the Office of Civil Rights, refers to physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent (e.g. due to the victim's age or use of drugs or alcohol or because of an intellectual or other disability that prevents the victim from having the capacity to consent.) A number of different acts fall into the category of sexual violence, including rape, sexual assault, sexual battery, sexual abuse, and sexual coercion.

Other Forms of Harassment: Non-gender or non-sex-based harassment of individuals protected under federal civil rights laws, as set forth in the Laboratory's policies or codes of conduct, statutes, regulations, or executive orders.

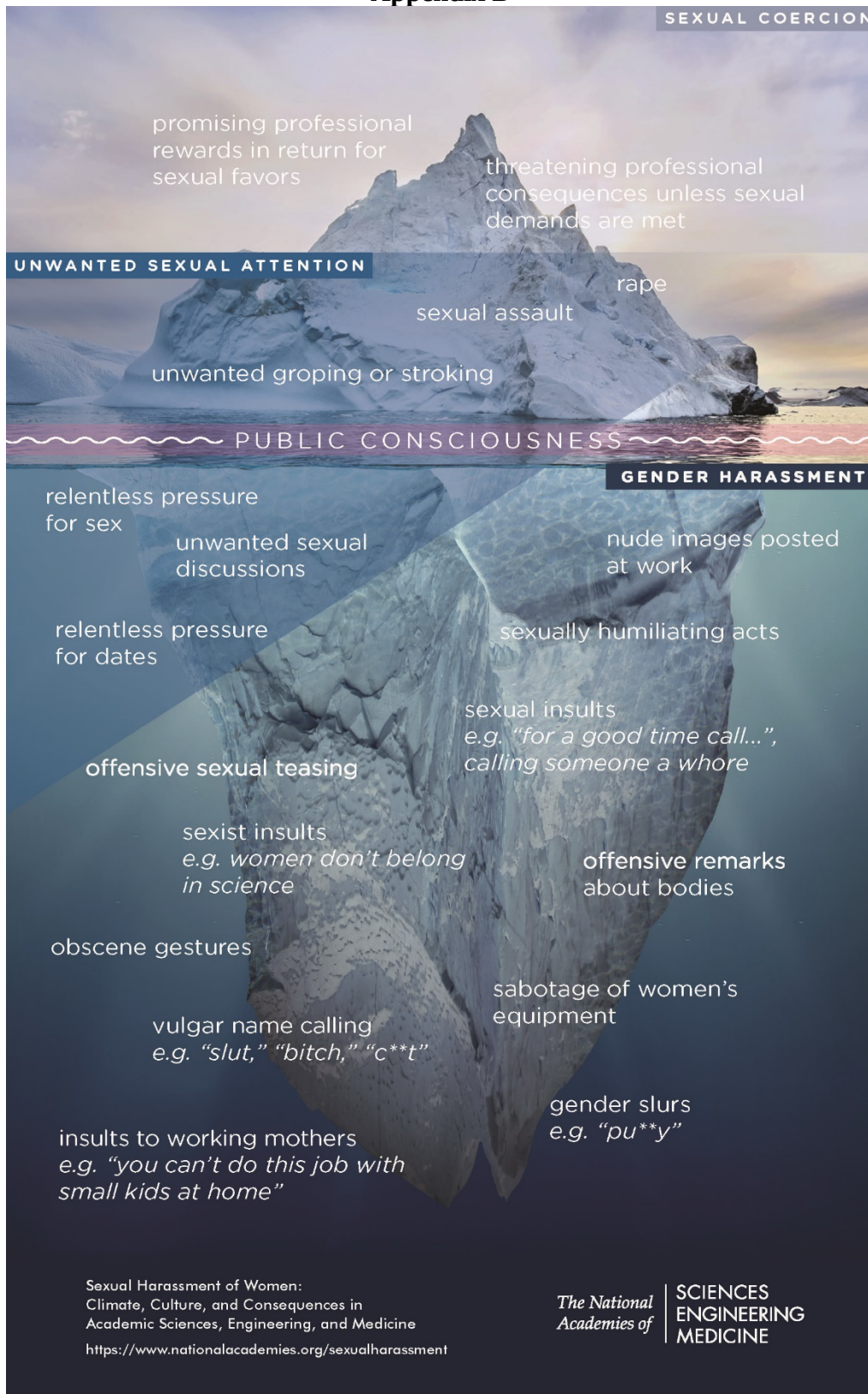
Finding/Determination: The final disposition of a matter involving sexual harassment or other form of harassment under organizational policies and processes, to include the exhaustion of permissible appeals exercised by the PI or co-PI, or a conviction of a sexual offense in a criminal court of law.

Administrative Leave/Administrative Action: Any temporary/interim suspension or permanent removal of the PI or co-PI, or any administrative action imposed on the PI or co-PI by the grantee under organizational policies or codes of conduct, statutes, regulations, or executive orders, relating to activities, including but not limited to the following: teaching, advising, mentoring, research, management/administrative duties, or presence on campus. The Laboratory may propose a substitute investigator if it determines the PI or co-PI may not be able to carry out the funded project or activity and/or abide by the award terms and conditions.

Related NSF requirement for Conferences: The Laboratory's Meetings and Courses (Conferences) each have a Code of Conduct that addresses sexual harassment, other forms of harassment, and sexual assault, and include clear and accessible means of reporting violations. The applicable Code of Conduct is disseminated to Meetings and Courses participants and is easily accessible to participants throughout the time they attend the Meeting or Course, whether attendance is in person or virtual.

Other Third Party Sponsor Notification Requirements: OSP, working in collaboration with HR and General Counsel, will be instructed to provide any notifications relating to sexual harassment, other forms of harassment or sexual assault as may be required pursuant to the terms and conditions of other third party sponsored awards, including but not limited to other federal agencies and private foundations.

Appendix D



Appendix E

Supportive Resources

Services for CSHL employees and students who believe they have experienced or witnessed harassing or discriminatory behavior

For information about **FILING A REPORT**, scan the QR code



Confidential Onsite Counselor

Appointments with Brian Quinn, PhD, LCSW
631-424-5042 | bquinn2@northwell.edu



Confidential Employee Assistance Program Counselors

Northwell Health
After-Hours Support
1-877-EAP-4YOU (877-327-4968)

Optum EAP (United Healthcare)
24/7 Support
1-866-248-4094

Confidential Ombuds Office

516-367-8404 (voice) | 516-336-3293 (voice/text) | ombuds@cshl.edu

The SightMD Center for Health and Wellness

8:30 am – 4:30 pm (closed 1 pm – 2pm)
Dolan, East Wing, Room 111 | 516-422-4422

Sexual Assault Nurse Examiners

North Shore University Hospital
300 Community Drive
Manhasset, NY 11030
888-321-DOCS

Stony Brook University Hospital
101 Nicolls Road
Stony Brook, NY 11794
631-444-2499



NYS Domestic and Sexual Violence Hotline

Information, support and immediate help in cases of abuse or assault
24/7 Hotline: 800-942-6906 | 24/7 Text Number: 844-997-2121



Cold
Spring
Harbor
Laboratory

Scan to report an incident or learn more at
tiny.cc/CSHLsupport

For **EMERGENCY SERVICES**, please call security
516-367-5555 or 911





**EQUAL EMPLOYMENT OPPORTUNITY AND DISCRIMINATION,
HARASSMENT, AND RETALIATION PREVENTION POLICY**

ACKNOWLEDGMENT AND AGREEMENT

I acknowledge that I have received a copy of the Equal Employment Opportunity and Discrimination, Harassment, and Retaliation Prevention Policy. I understand that this policy reflects important legal rights and obligations with respect to conduct in the workplace and in all work-related settings. I agree to carefully review the policy and abide by it.

Signature

Date

Printed Name: _____

Research Data Policy

CSHL's administration, Principal Investigators ("PIs"), and scientific staff are partners in the management, integrity and protection of Research Data (defined below). This Policy applies to all CSHL faculty, staff, postdoctoral fellows, students, and any consultants, volunteers and visiting scientists involved in the design, conduct, reporting, storage or other administration of research performed at CSHL or using CSHL's resources, regardless of the source of funding.

This Policy complements and does not supersede any other existing CSHL policies and procedures, or applicable regulations, including but not limited to those related to data sharing and human subjects research. However, if a research project is funded pursuant to a written agreement ("Agreement") between a sponsor and CSHL that includes specific provisions regarding ownership, retention and access to Research Data, the provisions of that Agreement supersede this Policy with regard to such research. PIs are responsible for complying with any conditions specified in a grant (including grants from the National Institutes of Health or National Science Foundation), contract, or agreement with respect to Research Data, including but not limited to any applicable data management and sharing plans or data use agreements.

I. Ownership

CSHL owns all Research Data and other records generated by projects conducted at CSHL or with CSHL resources, regardless of funding source, unless such ownership is precluded or altered by the specific terms of a sponsorship or other Agreement. Similarly, any intellectual property rights in Research Data shall remain with CSHL, unless otherwise specified by law or in a duly executed agreement.

For purposes of this Policy, "Research Data" means any recorded information (regardless of form or media) that is collected and/or generated in the course of a research project, including but not limited to raw and curated experimental results; laboratory notebooks (regardless of format or media); computer software programs, algorithms, databases and documentation; recordings and digital images; protocols; graphs; charts; instrument outputs; other deliverables under sponsored agreements; statistics; findings; conclusions; and any other records that could be used for reconstruction and evaluation of reported or otherwise published research results.

II. Data Retention and Responsibilities of Researchers

PIs and other scientific staff are stewards of the Research Data they generate and must work with CSHL to ensure that it is recorded, retained, secured, shared and accessible in accordance with regulatory requirements and the terms and conditions of sponsored programs. PIs are responsible for choosing appropriate means of storing and archiving Research Data, and

determining what needs to be retained in sufficient detail to enable publication of the research and appropriate responses to inquiries about accuracy, authenticity, intellectual property, and compliance with laws and regulations governing the research. PIs are accountable for adoption of an appropriate data security and/or privacy plan for Research Data collected and/or generated in the course of their research projects. PIs are also responsible for providing training and guidance so that all participants in a research project are aware of their obligations regarding Research Data. PIs with any questions regarding the preservation of Research Data should reach out to the Director of Research, who will provide advice or direct the PI to the appropriate person for guidance.

Research Data must be maintained for the longest applicable period required by Federal and/or State law or policy, CSHL policy or sponsored Agreement terms. At a minimum, Research Data must be maintained for three (3) years following final submission of all required scientific and financial reports for the applicable project. The minimum retention period for Research Data may be extended for various reasons, including but not limited to, protecting intellectual property, allegations of scientific misconduct, audit, litigation, or if a student is involved in the research (in which case the Research Data must be kept until the student has been awarded a degree or it is clear the student has abandoned efforts to complete the project). Specific grants or contracts may require a longer minimum retention period.

CSHL encourages PIs to retain Research Data beyond the minimum record retention period, to the extent practical. Once Research Data has been maintained past the required retention period, a PI may request approval from the Office of Sponsored Programs for destruction of the data. However, CSHL encourages the archival of research data for historical records of the research conducted at CSHL and CSHL will provide resources to archive appropriate materials when agreed by the CSHL Director of Research and the PI.

III. Access

CSHL, as owner and co-steward of the Research Data, has the right to access Research Data as necessary or appropriate for technology transfer, reporting, compliance or other purposes, irrespective of the location of the responsible PI. CSHL may take custody of Research Data if necessary and with notification to the PI. CSHL also has the right to move certain aspects of privately funded Research Data to CSHL's Archives and make it publicly available.

IV. Transfer if a Researcher Leaves CSHL for another Academic Institution

When a PI leaves CSHL for another academic institution, ownership of Research Data generated at CSHL may be transferred to the PI's new institution with prior approval of CSHL's Director of Research in consultation with CSHL's President and with written agreement that (1) the PI's new institution accepts custodial responsibilities for the Research Data and (2) CSHL has the right to access the Research Data should that become necessary. In all cases, the transfer of Research Data will be subject to relevant confidentiality and record

retention obligations and, in certain instances, a sponsor's prior approval may also be necessary. CSHL's Director, Research Operations and Chief Information Officer should be contacted to coordinate the transfer of Research Data to the PI's new institution.

If a researcher, other than a PI, leaves CSHL to move to another academic institution, they may take a copy of their Research Data from projects they worked on, unless restricted by the terms of the applicable Agreement with the research sponsor or prohibited by relevant confidentiality and record retention obligations. The departing researcher may not take original Research Data unless permitted by their PI and by the terms of the applicable Agreement with the research sponsor, and subject to relevant confidentiality and record retention obligations. In all cases, the PI of the departing researcher will be responsible for retaining copies of, or CSHL's access to, such Research Data in accordance with the terms of this Policy.

When a PI or other researcher leaves CSHL for any reason other than taking an academic position at another institution, all Research Data (originals and copies) generated at CSHL must remain with CSHL except in extraordinary circumstances where prior approval to retain a copy is granted by the CSHL President or Director of Research. Such approval will be granted when, for example, the departing researcher needs to retain a copy of certain Research Data to complete preparation of a publication.

Researchers that leave CSHL without taking a copy of applicable Research Data but who subsequently desire to access such Research Data for scholarly or other permissible purposes will be provided access to such Research Data, provided it has not previously been destroyed following the applicable retention period.

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Revised and Adopted: January 11, 2022



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

Last Revised 08/09/22

CODE OF CONDUCT

POLICY STATEMENT

Cold Spring Harbor Laboratory is committed to good governance and to following clearly stated principles of integrity and fair dealing. The Laboratory must define and enforce a policy that prevents employees, students, 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, 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 and student to be familiar with this Standards of Conduct Policy ("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.

This Policy has been developed to promote an environment of respect that is central to the success of Cold Spring Harbor Laboratory and the individuals who work or study here. There are a number of policies that cover specific interactions and situations. This policy does not replace those policies, it provides a framework for them.

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

GUIDELINES

Ethical Conduct

All members of Cold Spring Harbor Laboratory are expected to conduct themselves ethically, honestly, and with integrity in all dealings. This is essential to promoting an environment that allows everyone who is part of the Laboratory to do their best work, be respected, and to have as positive an experience as possible at the Laboratory.

All employees and students of Cold Spring Harbor Laboratory must treat each other with respect, fairness, and dignity. Respect for others is expected both inside and outside the community. Always be fair and courteous in verbal and written communications. Respect should be shown at meetings, on the telephone, and in electronic exchanges.

The Cold Spring Harbor Laboratory community is diverse – in experience, culture, age, race, religion, and in many other ways. Respect for others includes a respect and tolerance for those who are different from yourself. Be aware of unconscious bias. This form of prejudice occurs when individuals make judgments at least partially influenced by gender, race, or other factors without realizing that they have done so, usually based on societal stereotypes or their own personal experiences.

Respect for Governance

Respect for governance is the expectation that members of Cold Spring Harbor Laboratory will act in compliance with the laws, regulations and policies that are in effect and govern behavior at the Laboratory and the conduct of Laboratory business.

Cold Spring Harbor Laboratory conducts a significant amount of research that is funded by government agencies and private foundations. As a result, a number of rules and regulations (for example, Conflict of Interest, Research Misconduct, Anti-Harassment), govern activities for people working directly under grants and contracts, and often for everyone conducting research and research-related activities. Members of the Cold Spring Harbor Laboratory faculty and administration are expected to act in accordance with these rules and regulations to maintain the highest standards of compliance and to fulfill their roles as guardians of these important relationships and resources.

Cold Spring Harbor Laboratory is a non-profit institution and is therefore also subject to federal and state rules that govern non-profit institutions. Cold Spring Harbor Laboratory's status as a tax-exempt organization is central to its mission and well-being. Members of the Cold Spring Harbor Laboratory faculty and administration are expected to comply with all applicable rules and regulations pertaining to non-profit organizations and to act as stewards of the trust entailed in the non-profit designation.

Gifts, Gratuities, Favors

Employees and students 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, Chief Human Resources Officer.

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 or studies of any employee or student. The approval of the Vice President, Chief Human Resources Officer, after consultation with the Chief Operating Officer is necessary before any employee or student may work or study 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 and students must disclose the existence of a familial (or similar relationship, e.g., co-habiting, "significant other" relationships, etc.) to the Vice President, Chief Human Resources Officer.

Sexual or romantic relationships may raise actual or perceived conflicts of interest, favoritism, and unfair treatment when both people are in the same work or academic environment. Sexual or romantic relationships are addressed in Cold Spring Harbor Laboratory's Sexual or Romantic Relationships Policy.

Personal Business

Employees and students may not conduct personal business during normal working time. This prohibition also bars personal use of the Laboratory's postage, telephones, copy machines, computers and supplies. Excepted from this prohibition is minor, incidental personal business.

Workplace Bullying

The Laboratory considers bullying unacceptable and will not tolerate it under any circumstances. Workplace bullying may cause the loss of trained and talented employees and students, reduce productivity and morale and cause legal risks.

The Laboratory defines bullying as the use of force, threat, or coercion to abuse, intimidate, or aggressively dominate others. Bullying may be direct or indirect, verbal or physical, and conducted by one or more persons against another.

The Laboratory encourages all employees and students to report workplace bullying to the Vice President, Chief Human Resources Officer. Reported bullying will be treated seriously and investigated promptly, confidentially, impartially and without retaliation.

Social Media

For the purpose of this Policy, social media includes all means of communicating or posting information or content of any type on the Internet, including to your own or someone else's web log or blog, journal or diary, personal website, social networking or affinity website, 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, students, 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.

Always be 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, students, 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 or student and make it clear that your views do not represent those of the Laboratory, its employees, students, 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 your Laboratory email addresses to register on social networks, blogs or other online tools utilized for personal use.

General Conduct

All employees and students are prohibited from using their position with the Laboratory in any way that fosters a political ambition or bribery. All employees and students are expected to report to the Vice President, Chief Human Resources Officer knowledge of any illegal activity that they may be aware of that concerns the Laboratory, its employees, students, 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 and students will be required to sign a statement to verify that they have read and understand the Policy. The Vice President, Chief Human Resources Officer is responsible for distribution of related Policy revisions to current employees and students.

Any actions that are not in 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 or student status.

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 or student for reporting a possible deviation from this Policy or for cooperating in an investigation. Any employee or student who retaliates against another 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

WHISTLEBLOWER POLICY

Amended and Restated: February 3, 2022

1.0 PURPOSE

This Whistleblower Policy (“Policy”) outlines reporting procedures and protections made available by Cold Spring Harbor Laboratory (the “Laboratory”) to its trustees, officers, employees, former employees, independent contractors, students, and volunteers who, in good faith, seek to or actually report activities or suspected activities that are reasonably believed to be illegal, fraudulent, dishonest or in violation of the Laboratory’s policies. This Policy is not a general grievance procedure, and employment-related concerns should be reported and resolved in accordance with the personnel policies set forth on the Laboratory’s Human Resources webpage

<http://intranet.cshl.edu/administration/human-resources/cshl-policy-abstract>.

2.0 POLICY

2.1 Definitions.

“Employee” means an individual who performs services for and under the control and direction of the Laboratory for wages or other remuneration, including former employees, or natural persons employed as independent contractors to carry out work in furtherance of the Laboratory’s business who are not themselves employers.

“Whistleblower” means a trustee, officer, employee, student or volunteer of the Laboratory who in good faith reports an activity or suspected activity that is reasonably believed to be illegal, fraudulent, dishonest or in violation of an adopted policy of the Laboratory, an executive order, or a judicial or administrative decision, ruling or order, to one or more of the parties specified in this Policy. A 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.

“Retaliatory Action” means an adverse action taken by the Laboratory or its agent to discharge, threaten, penalize or in any other manner discriminate against any employee exercising their rights under this policy or NY Labor Law 740,

including (i) adverse employment actions or threats to take such adverse employment actions against an employee in the terms or conditions of employment, including but not limited to discharge, suspension or demotion; (ii) actions or threats to take such actions that would adversely impact an employee's current or future employment, or (iii) threatening to contact or contacting United States immigration authorities or otherwise reporting or threatening to report an employee's suspected citizenship or immigration status or the suspected citizenship or immigration status of an employee's family or household member.

- 2.2 Reporting.** If an employee, trustee, officer, 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, they should contact their immediate supervisor at the Laboratory (if applicable), the Chief Operating Officer or General Counsel of the Laboratory, or the Chair of the Laboratory's Audit & Risk Committee (AuditChair@cshl.edu), or they should submit an anonymous report to the Whistleblower Hotline (1-844-390-9805) or www.cshl.ethicspoint.com).

In order to avoid baseless allegations, the whistleblower must reasonably believe that there is a violation of law or policy or reasonably believe that there is a substantial and specific danger to public health or safety.

The Laboratory encourages whistleblowers to provide their identity when making a report in order to facilitate an investigation. However, anonymous reports may be made through the Whistleblower Hotline.

- 2.3 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, retaliatory action or adverse employment consequences against anyone who in good faith makes a report pursuant to this Policy or who participates in the investigation of a complaint pursuant to this Policy. This includes reports made to any elected governmental body, court, governmental agency, law enforcement, federal, state, or local department of an executive branch of government, or any division, board, bureau, office, committee, or commission of any of the public bodies.

Any whistleblower who believes that they have been subject to intimidation, harassment, discrimination, retaliatory action or adverse employment consequences should immediately report such to their direct supervisor at the Laboratory (if applicable), or the Chief Operating Officer or the General Counsel of the Laboratory. A whistleblower's right to protection does not include immunity for any personal wrongdoing that is alleged and investigated.

The Chief Operating Officer and the General Counsel, or an independent third

party designated by them, will promptly investigate all reports of illegal, fraudulent or dishonest activities or activities in violation of an adopted policy of the Laboratory, unless such investigation would impede or interfere with an external investigation being conducted by law enforcement or other government agency.

2.4 Administration. The Chief Operating Officer and the General Counsel will administer this Policy and report to the Board or an authorized Committee thereof. A person who is the subject of a whistleblower report will not be present at or participate in any Board or committee deliberations or voting related to such report, provided that the Board or committee may request that the person present information as background or answer questions prior to the commencement of deliberations or voting. Trustees who are employees of the Laboratory will not participate in any Board or committee deliberations or voting relating to administration of this Policy.

3.0 DISTRIBUTION

A copy of this Policy will be distributed to all trustees, officers, current employees and students of the Laboratory and to all volunteers who provide substantial services to the Laboratory. Distribution for these purposes includes posting this Policy on the Laboratory's website and in a conspicuous, easily accessible and well-lit location at the Laboratory.

4.0 RECORDS

All records relating to any reported concern and to the investigation and resolution thereof will be retained by the Laboratory 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 guarantee of any kind. The Laboratory reserves the right to interpret, revise, supplement or rescind policies as it deems appropriate.

POLICY AND PROCEDURES FOR ALLEGATIONS OF TITLE IX SEXUAL HARASSMENT

To the extent that this Policy and Procedure overlaps with the Laboratory’s Equal Employment Opportunity, Anti-Discrimination, Anti-Harassment, including Sexual Harassment, and Anti-Retaliation Policy, this Policy will control in cases involving sexual harassment as defined by this Policy.

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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”), and reinstated on January 31, 2025.

II. Scope

This 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 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 8:30 am to 4:30 pm (closed 1 pm – 2 pm, 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 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 Julie Block-Rosen, Title IX Coordinator in the Nichols Building, 1 Bungtown Rd, Cold Spring Harbor, NY 11724, at blockro@cshl.edu or (516) 367-8499 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 1-844-390-9805. The Laboratory encourages individuals to provide their identity when making the report and provide detailed information in order to facilitate an investigation. However, anonymous reports may be made. 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://intranet.cshl.edu/human-resources/report-an-incident/>. 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 be 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 himself 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, including, Laboratory-sponsored events that occur off-campus; all campuses and/or satellite sites; off-campus or off-site research facilities, field sites, and while in attendance at conferences and workshops connected to Laboratory activities or programs; and off-campus and/or online speech or conduct, such as social networking sites, which causes a substantial disruption to the Laboratory's operations and/or mission, or affects students, 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.
 - d. If a party or witness does not submit to cross-examination at the live hearing, the Hearing Officer must not rely on any statement of that party or witness in reaching a determination regarding responsibility; provided, however, that the Hearing Officer cannot draw an inference about the determination regarding responsibility based solely on a party's or witness's absence from the live hearing.
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 be 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/>.

Adopted: 8/14/20

Reinstated: 1/31/25

Revised: 9/5/25