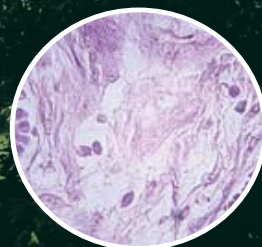
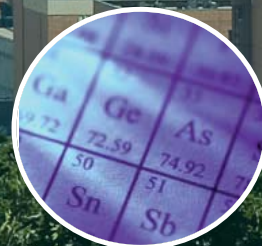
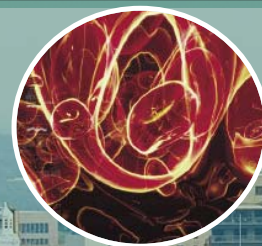


Office of Graduate Biomedical Sciences

2010-2011 Student Handbook



The University of
Alabama at Birmingham

This student handbook includes references to policies and procedures that are current at the time of publication, but may change during the academic year. Before relying on the printed version, please always check current policies, procedures, rules and regulations at the website links indicated in the Student Handbook. You may use the online Student Handbook at www.gbs.uab.edu for clickable links to current documents.

The printed version of the Student Handbook is intended to be used as a convenient reference guide when an Internet connection is not readily available. The Student Handbook is updated annually, but the referenced policies and procedures may be changed at any time.

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GBS Student Basics & Resources

Start-up Basics

Blazer ID

Your Blazer ID is vitally important to you while at UAB. It serves as part of your email address, allows you access to your important personal information like your paystub information, and you use it to register for classes. Setting up a Blazer ID is one of the first things you must do. It opens the portals of UAB to you.

For example, if your UAB email address is jdoe@uab.edu, your Blazer ID is going to be jdoe. The Blazer ID is everything before the @uab.edu.

To set up your Blazer ID, go to <https://padlock.dpo.uab.edu/blazerid.html>, and follow the instructions.

Email Account

To get a UAB email account, go to https://padlock.dpo.uab.edu/mk_mailbox.html. Note that you must be already registered in the UAB Electronic Phonebook with an alias/BlazerID in order to do this. If you do not have a BlazerID, are not sure if you have one, or do not recall its password, please go (or return) to [BlazerID Central](#) for assistance.

BlazerNET

BlazerNET is your portal to UAB registration, transcripts, news and information, and other areas of interest. You log into BlazerNET with your Blazer ID and password. See the BlazerNET link on the UAB homepage.

Direct Deposit

UAB does not issue paychecks. Instead, they deposit your earnings directly into your bank account, issuing you a pay stub summary only.

To set up direct deposit information:

1. Go to <http://www.uab.edu/adminsystems/>
2. Click on Oracle HR & Finance
3. Under Administrative Systems Status, click on the link "You may log into the application here"
4. Enter your Blazer ID (which is the id you chose MINUS the @uab.edu) and password
5. Click on **I Agree**
6. Click on **UAB Self Service Applications**
7. Click on **Manage Direct Deposit Account** . This is where you enter the pertinent information.

ID Badge/Card Key

You will receive a form to take to Key Control <http://main.uab.edu/Sites/PhysicalSecurity/2147/> to have a photo ID made and receive an ID card that also provides access to the buildings in which you have classes and laboratory rotations. As your rotations continue you may need to have access to additional buildings added. The administrators of those departments or the theme program staff will help to process these requests.

Parking

Parking information for students is found at <http://www.uab.edu/parking/parking/students> .

Graduate students can access the commuter student lots if they do not live on campus. In addition, graduate students can access the 9th Avenue deck, 10th Avenue deck, and 5th Avenue deck for a nominal additional fee. All of these facilities' permits are also honored in any commuter lot (Lot 15). Parking is assigned on a first-come, first-serve basis. If demand for deck parking exceeds availability, then a waiting list will be taken for the current academic year only.

After-hours parking is available for certain areas. After-hours is defined as 5 p.m. - 6 a.m. weekdays, and all day weekends. This access is free for any graduate student with a deck permit. For those in commuter or resident student facilities, a \$20 charge applies. Current after-hours locations are:

- **University Boulevard Deck**
- **5th Avenue Deck**
- **Lot 16A (Underneath Education Building)**

Graduate students also have access to the UAB Escort Service (5pm – dawn) and Campus Ride <http://www.uab.edu/parking/campus-ride-a-escort> .

Training Requirements

All new students will be required to complete the following training sessions before the first-year ends: IRB, IACUC, Effort Report, and HIPAA training. Your theme manager will advise you concerning the completion of these courses. Each of these requirements can be completed on-line at the **GBS website** - **Student Life & Services** - see **Start-up Basics** tab <http://gbs-uab.infomedia.com/content.asp?id=256677>

Important Note: The following page provides additional information on the training and approvals that will be required for students to participate in research involving human or animal subjects. **These approvals are also required in order to apply for individual extramural fellowships, to be approved for admission to candidacy and to have the dissertation accepted if the student's research involves human or animal subjects.**

Foreign Nationals

Upon arrival to the United States, international students should visit the International Scholars Office located in the Hill University Center in room 250. The staff there will provide a temporary social security number. Please provide the social security number, a valid passport, Visa, and I 94 to the theme manager. Application for a permanent social security number should be done as soon as possible. When received from the Social Security Administration, a copy of permanent social security number needs to be given to the theme manager.

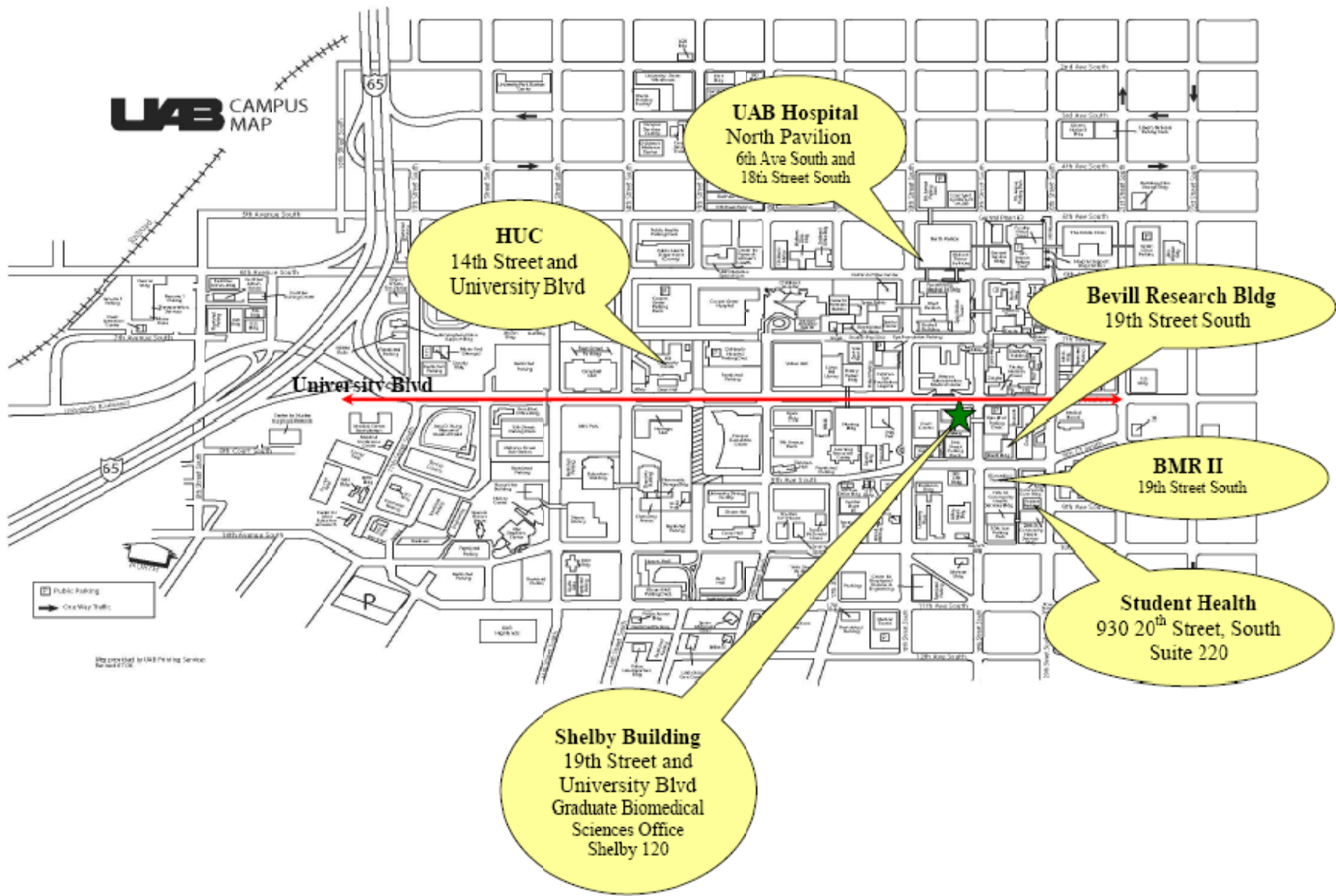
Tip Sheet for Students Involved in Research Involving Human or Animal Subjects

	<i>IRB</i>	<i>IACUC</i>	<i>OH&S</i>
Who can serve as Principal Investigator (PI)?	PI may be the student, however, the faculty mentor must be listed as Co-PI and is equally responsible for the conduct of the study.	PI must have faculty status. List faculty mentor as PI on animal protocol and list student's name in parentheses after title.	PI may be the student, however, the faculty mentor must be listed as Co-PI and is equally responsible for the conduct of the study.
How are students added to a protocol?	(1) Submit amendment/revision form noting addition of personnel to existing protocol, (2) submit new protocol including student's name as PI (3) add student's name to request for changes in Investigator's Progress Report (renewal form) if involvement coincides with renewal due date.	(1) Submit modification request form noting addition of personnel to existing protocol, (2) submit new protocol including student's name in personnel section, or (3) add student's name to renewal form if involvement coincides with renewal due date.	(1) Send email to Glenda P. Moon (Glenda@uab.edu) or Donna S. Williamson (dsw@uab.edu) and indicate protocol name and funding agency (provide OH&S project #) and list students to be added. (2) Amend Project Registration form to include additional student names. Make a note that the addition of students is the only amendment.
When is it a procedural vs personnel modification?	n/a	If the student proposes to conduct animal procedures that are not already part of an approved protocol under their mentor then the mentor must either submit an amendment or a new protocol.	n/a
Timeline for review and approval.	Amendment/Revisions are normally reviewed within a week – you may add RUSH to top of form with an explanation as to the nature of the RUSH request – some request may be returned in 2 – 3 working days.	Personnel modifications are reviewed within 1 -2 business days of receipt and can be approved when all required training documentation is on file. Procedural modifications and new protocols received by the 21 st of the month (or next regular business day if 21 st is holiday or weekend) are entered into the subsequent month for review. Voting for protocols called for Full Committee Review occurs on the last Wednesday of the assigned review month.	Personnel modifications are reviewed within 1 - 2 business days of receipt. PI and added personnel will be notified if additional information is needed.
Required training.	Initial and continuing Human Subjects Training which as applicable. Available training options and instructions are available at http://main.uab.edu/show.asp?durki=56078 . If students have completed training at another institution it may be submitted for review by the OIRB and may be accepted to meet UAB's training requirements. On-line training may be started before student arrives on campus.	Students must complete the following training items, accessible through BlazerNet: (1) Basic training in rules, regulations, ethics and (2) species-specific training. Items 1 and 2 are on-line training modules (ca. 3 hrs).	Depends on the nature of the research. In addition to IACUC and IRB requirements, the use of material of human origin requires annual bloodborne pathogen training.
Occupational Health Requirements		The requirements for the UAB Occupational Health Program must be met before final approval to work with animals is granted. All non UAB employees must receive clearance from their personal physician indicating that the physician has reviewed the proposed work and the medical history of the individual, that the individual is current for all required immunizations, and has been cleared to conduct the work proposed on the UAB Employee Occupational Health Enrollment Form. The letter and the form must be submitted before the requirements are met and the student cleared.	The requirements for the UAB Occupational Health Program must be met before final approval to work with animals and certain other work (i.e., work with material requiring immunizations) is granted. All non UAB employees must receive clearance from their personal physician indicating that the physician has reviewed the proposed work and the medical history of the individual, that the individual is current for all required immunizations, and has been cleared to conduct the work proposed on the UAB

		Please note: this may take extra time.	Employee Occupational Health Enrollment Form. The letter and the form must be submitted before the requirements are met and the student cleared. Please note: this may take extra time.
Student defined.	An individual enrolled in a UAB undergraduate or graduate program.	An individual enrolled in a UAB undergraduate or graduate program.	An individual enrolled in a UAB undergraduate or graduate program.
Non-UAB students.	An individual enrolled in an undergraduate or graduate program at another institution. Non-UAB students must complete training, however, training from their "home" institution may be accepted. Please call OIRB for clarification. Non-UAB students may need a "blazer ID" to access on-line training. Faculty mentors may contact Human Resources for more information about obtaining a blazer ID and appointment of the student.	An individual enrolled in an undergraduate or graduate program at another institution. Non-UAB students may complete training items 1 and 2 but are not eligible for enrollment in the UAB Occupational Health Program. They must submit documentation of an equivalent evaluation provided through their own personal physician. They may use the UAB form, which must be submitted with a physician clearance, as the basis for that evaluation.	An individual enrolled in an undergraduate or graduate program at another institution. Non-UAB students may complete UAB on-line training (call to register) but are not eligible for enrollment in the UAB Occupational Health Program. They must submit documentation of an equivalent evaluation provided through their own personal physician. They may use the UAB form, which must be submitted with a physician clearance, as the basis for that evaluation.
Sponsored Projects	If the student is the Prime Awardee of their own sponsored research project they must submit a new protocol specifically detailing the protocol which must be concordant with the funding application.	If the student is the Prime Awardee of their own sponsored research project (i.e., funds budgeted for direct support of animal purchases, per diems, supplies, etc.) they must submit a new protocol specifically detailing the animal procedures proposed in the corresponding grant, fellowship, contract, etc. If the student is the Prime Awardee of a grant, fellowship, contract, etc with funds solely for salary support they must submit the IACUC form to register the project as a salary support project. Note: faculty mentor should be listed as PI on the IACUC form.	If the student is the Prime Awardee of their own sponsored research project, and that project either involves material that is potentially hazardous or requires some sort of approval from OH&S, they must submit a new protocol specifically detailing the protocol which must be concordant with the funding application.
Forms and staff directory.	www.uab.edu/irb	www.uab.edu/iacuc	www.healthsafe.uab.edu

CAMPUS BUILDING ABBREVIATION KEY

AB	Administration Building
BBRB	Bevill Biomedical Research Building
BDB	Boshell Diabetes Building
BMR2	Bevill Biomedical Research Building II
CBSE	Center for Biophysical Sciences and Engineering
CH19	Community Health Services Building, 19th Street
CHT	Childrens Hospital Tower
CIRC	Civitan International Research Center
HH	Heritage Hall
HUC	Hill University Center (site of Graduate School Office and Great Hall)
KAUL	Hugh Kaul Human Genetics Building
LHRB	Lyons Harrison Research Building
MCLM	Basic Health Sciences Building (McCallum)
SC	Sparks Center
SDB	School of Dentistry Building
SHEL	Shelby Interdisciplinary Biomedical Research Building
SRI	Southern Research Institute
SW	Spain – Wallace
THT	Tinsley Harrison Tower
VH	Volker Hall
WP	West Pavilion
WTI	Wallace Tumor Institute
ZRB	Zeigler Research Building



Course Registration

Registration announcement emails are sent out approximately 2 weeks prior to the registration date. **YOU MUST REGISTER FOR YOUR CLASSES ON TIME. IF YOU KNOW THAT YOU WILL BE AWAY DURING THE CLASS REGISTRATION PERIOD, CONTACT THE GRADUATE PROGRAM OFFICE PRIOR TO YOUR LEAVING SO THAT APPROPRIATE ARRANGEMENTS CAN BE MADE.**

Students may register by telephone or on-line.

To register by phone:

Call 5-9600 from on-campus or 930-0087 from off-campus. You will then need to enter your social security number and your personal identification number (PIN) (the first time you register it will be set to your birthday, the first two digits are the month and the second two digits the day).

To register on-line:

Go to <https://blazernet.uab.edu/cp/home/displaylogin> and enter your Blazer ID and password. Once in, click on the Student Resources tab. Scroll down until you see Registration Status. Click on Add and Drop Classes and follow along.

The official confirmation of your course schedule will then be sent to your address within two weeks.

It is required that you register for the set number of hours each semester.

IMPORTANT NOTE: If registration is on time, you will be exempt from paying FICA taxes; however, if registration is late, FICA taxes will be deducted from your paycheck. In addition, late registration results in a loss of tuition rebate from the department to your mentor. Late registration cannot be done online or by phone – only in person. If you have an unjustified reason for registering late and/or must be reinstated into the school, you will be responsible for the fees; the department will only pay the normal tuition and fees.

During the first year, tuition and fees will be paid from the theme manager's office; thereafter, they will be paid from the mentor's department.

Disability Support Services

Section 504 of the Rehabilitation Act of 1973, and Title II of the Americans with Disabilities Act of 1990 provide for accommodations and academic adjustments, including auxiliary aids and services, to ensure there is no discrimination on the basis of disability. Under the ADA and the Rehabilitation Act, a person with a disability is defined as any person who has a physical or mental impairment that substantially limits a major life activity as compared to the average person in the general population.

UAB Disability Support Services (DSS) <http://main.uab.edu/Sites/students/services/disability-support/> provides a broad array of services and technologies to make the UAB campus and a UAB education accessible for everyone.

To register for services contact DSS at (205) 934-4205 (voice) or (205) 934-4248 (TDD), or visit 516 Hill University Center. You must present documentation of disability to receive DSS services. After DSS receives your completed documentation, you will meet individually with a member of the staff to discuss your accommodations.

Student Health

Student Health Services

All students in the graduate biomedical sciences are required to have health insurance. Students may choose to be covered by VIVA UAB or provide their own private insurance. If the student elects to be covered by their private insurance, verification of comparable coverage must be on file with the UAB Student Health Office <http://main.uab.edu/Sites/students/student-health-services/> . The program will pay *only* for single coverage VIVA UAB health insurance. Spouse and children are separate and are to be paid for by the graduate student. For additional information regarding health insurance and policy, please contact:

Ms. Brooke Nation

UAB Student Health Services

Room 221, Community Health Services Building

933 South 19th Street

TEL: 205.996.2589

Email: btedder@uabmc.edu

What should you do if you get sick?

If it is a non-emergency, phone or go directly to the UAB Student Health Services Office at the address listed above. The hours of the clinic are Monday – Thursday from 8:00 am-5:00 pm (last patient is taken at 4:00 pm); Friday from 8:00 am – 4:30 pm. It is advisable to call in advance for an appointment because this keeps your waiting time to a minimum. Appointed patients will be taken before drop-in patients, unless the drop-in patient is of an emergency nature. There is physician on call 24 hours a day. If you have any emergency after regular clinic hours, please call the Page Operator at 934.3411 and ask for the Student Health physician on call.

Financial Support and Related Support Information

GBS Student Financial Support

All students accepted into GBS programs receive an annual stipend and fully paid tuition and fees. Single coverage health insurance is also provided at no cost to the student through VIVA Health UAB.

First-year students are funded through their theme programs by Graduate School Fellowships and occasionally by other national and University fellowships. In subsequent years students are supported through their advisor's research grants, institutional funds or training grants. In addition, highly qualified students are encouraged to apply for individual fellowship awards, with the guidance of their advisors. See [Fellowships and Awards](http://main.uab.edu/Sites/gradschool/students/current/funding/43720/) <http://main.uab.edu/Sites/gradschool/students/current/funding/43720/> for additional fellowship information and resources.

Tax Information

The following tax information is from the UAB website (<http://main.uab.edu/show.asp?durki=59892>):

UNDERSTANDING THE TAXES ON FINANCIAL AID TO GRADUATE STUDENTS

Types of Financial Aid:

Scholarships:

- Scholarships are generally given to graduate students to cover tuition and fees.
- If there is no requirement for service to the university or a third party, a scholarship is not subject to state, local, or federal taxes.
- Most scholarships are applied directly to student fees.
- No W-2 form is issued by UAB.

Fellowships*:

- Fellowships typically provide a stipend to defray living expenses, tuition and fees.
- If no service is required to receive the fellowship, it is exempt from state and local taxes.
- Any portion of a fellowship in excess of tuition, fees, and required books and equipment is subject to federal income tax.
- UAB does not withhold taxes from fellowships or issue W-2 forms.
- Students are advised to pay quarterly estimated federal taxes.

** Most 1st year GBS students are funded by Graduate School Fellowships or UAB Comprehensive Minority Faculty and Student Fellowships*

Assistantships*:

- Assistantships are compensation given for work performed.
- The most common forms of assistantships are teaching and research assistantships.
- These awards are not exempt from taxes.
- UAB will deduct taxes from checks and issue a W-2 form at the end of the year.

**Graduate students funded by grants and sources other than individual fellowships and training grants are considered to receive assistantships*

What about FICA?

- FICA is the social security tax.
- Fellowships are exempt from FICA.
- Graduate students receiving financial aid are exempt from FICA if they are enrolled in at least 3 credit hours of classes each quarter the exemption is claimed.
- You must enroll on time to be eligible.
- There are no limits on the number of hours worked.

What is the Lifetime Learning Tax Credit?

The lifetime learning tax credit benefits graduate students.

- After June 30, 1998, anyone paying tuition will be eligible for a tax credit.
- Students will be able to take a tax credit of up to \$1,000 on 1998 tax returns for tuition payments made in 1998. The tax credit is 20% of up to \$5,000 in 1998 and 1999. It increases to 20% of up to \$10,000 in 2000.

Interest on Student Loans

Beginning in 1998, interest paid on student loans will be tax deductible for up to 5 years of interest payments. There are restrictions. The more money you make, the less interest you can deduct. Students will have to itemize deductions to take advantage of this. Lenders will be required to report to students and the IRS if the interest on a student loan exceeds \$600 per year.

Some Common Fellowship Programs

- Graduate School Fellowships
- UAB Comprehensive Minority Faculty and Student Development Fellowships
- NSF Fellowships
- NIH Fellowships

Frequently Asked Questions:

1. How do I know what kind of financial aid I have?

Answer: You should receive a letter from your department or program director describing the nature of the award. Any time the award changes, the letter should be reissued. If you don't have a letter, ask for one.

2. I am paid on my advisor's research grant, but I am just working on my thesis. Why are taxes being deducted?

Answer: You have an assistantship. A research grant is awarded to the university for the purpose of conducting research, not training. Your advisor cannot give you fellowship support from a research grant.

3. If I have a fellowship, how do I pay estimated taxes?

Answer: Estimated taxes are due four times per year, starting on April 15th. You can get the forms, [1297 Publ 505 Tax Withholding and Estimated Tax](#) (560K, Adobe PDF) and [1196 Publ 520 Scholarships and Fellowships](#) (75K, Adobe PDF), from the IRS web site--<http://www.irs.ustreas.gov>, as linked above--or from the Graduate School Office, HUC 511.

4. I have a fellowship, but I supplement it by teaching a class. Will any taxes be deducted from my check?

Answer: Taxes will be deducted only from the portion of your funding that is a teaching assistantship. Because this is compensation, it is fully taxable.

5. I am on an NIH Training Grant. Is this a fellowship or an assistantship?

Answer: NIH Training Grants (e.g., T32, T35, T90) are treated like fellowships.

Graduate School Incentive Program to Promote Individual Fellowship Applications

The *Graduate School Incentive Program to Promote Individual Fellowship Applications* will provide \$250 awards to students who submit fellowship applications and \$2000 additional support to students who receive a fellowship award. See instructions at <http://main.uab.edu/Sites/gradschool/students/current/funding/41831/>.

Graduate Student Travel

Graduate student travel for professional reasons may apply to trips for the purpose of attending a scientific conference or learning new techniques. With appropriate documentation travel costs can be paid by grant or other sources. The specific documentation required will be determined by the student's status as a *research assistant* (employee policies apply) or as a *trainee/fellow* (i.e., funded by a training grant or individual fellowship).

Documentation requirements for travel reimbursement:

Trainees

Trainee travel <http://uabfinancial.infomedia.com/content.asp?id=208890>

Trainee travel expense report <http://main.uab.edu/sys/images/vpad/pdf/controller/traineeexprpt.pdf>

Research Assistants

Research Assistants <http://uabfinancial.infomedia.com/content.asp?id=208886>

International Professional Travel

From the Office of the Provost:

The Office of the Provost is pleased to announce the development of a new Web-based process for faculty, staff and students to request and receive approval for UAB-related foreign travel.

Beginning March 1, all UAB-Related Foreign Travel Requests must be made online through the UAB Forms site at www.uab.edu/uabforms. **UAB policy requires prior presidential approval for all UAB-related foreign travel, including for all students who participate in Study Away programs and/or travel overseas as part of UAB-related activities.**

Faculty and staff may direct questions regarding the online foreign travel request to the Office of the Associate Provost for Faculty Development/Faculty Affairs at 205-934-0513 or peelc@uab.edu. Students may direct questions to the Office of Study Away at 205-975-6611 or studyabroad@uab.edu.

Graduate School Resources

UAB Graduate School Professional Development Programs

The Graduate School **Professional Development Program**

<http://main.uab.edu/Sites/gradschool/programs/professional/> offers ongoing support for graduate students who want to take advantage of the school's resources to enhance their professional skills and career development. The program offers semester-long credit courses as well as day-long workshops in a variety of areas, including

- Career Support & Advancement
- Academic & Grant Writing
- Teaching at the College Level
- Presentation & Discussion Skills
- Academic English for Internationals
- Pronunciation & Accent Improvement
- Principles of Scientific Integrity (GRD 717) *(required of all GBS students)*

Graduate Student Groups & Activities

Graduate Student Association (GSA) <http://studentorgs.uab.edu/gsa/index.htm>

Graduate Career Awareness and Trends (GCAT) (formerly *Industry Roundtable*)

<http://main.uab.edu/show.asp?durki=47488> A student-initiated and student-run organization devoted to increasing awareness about job opportunities in industry

Graduate Student Research Days

<http://main.uab.edu/Sites/gradschool/students/current/groups/researchday/>

Black Graduate Student Association (BGSA) <http://www.uab.edu/bgsa/>

Scientists and Engineers for America (SEA) <http://www.sefora.org/students/>

For all Graduate School resources, policies and guidelines see the Graduate School website at <http://main.uab.edu/Sites/gradschool/>

GBS Academic Program

GBS First Year Curriculum: Theme-Specific Course Recommendations

All incoming GBS students will take the common course, GBS Basic Biosciences (Blocks GBS 707-709). Themes will have additional courses in place for their students to run concurrent with GBS Basic Biosciences and/or to follow GBS Basic Biosciences. All students will also participate in Lab Rotations as specified.

First year curriculum, arranged by Theme is found below.

All GBS students are required to take the common course, GBS Basic Biosciences, and must fulfill additional course requirements specified by their chosen theme as described below. In consultation with the theme director, a specialized cross-theme curriculum may be designed to meet the specific research interests of individual GBS students.

Biochemistry & Structural Biology Theme

FALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 780: BSB Lab Methods (Oct 25-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 15-Feb 4) – Poster Sessions Feb 7 & 8

GBS 781: Molecular Enzymology (Jan 3-28)

GBS 782: Molecular Genetics (Jan 31-Feb 25)

GBS 783: RNA Biology (Feb 28-Mar 25)

GBS 715: Stem Cell Biology (Mar 28-Apr 22)

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

Cancer Biology Theme

FALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 704: Intro to Exp Med (Oct 25-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 17-Feb 4) – Poster Sessions Feb 7 & 8

GBS 770: Cancer Biology 1-Pathogenesis & Pathobiology (Jan 3-28)

GBS 771: Cancer Biology 2-Etiology (Jan 31-Feb 25)

GBS 772: Cancer Biology 3-Cell Growth Control (Feb 28-Mar 25)

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

CMDB Theme

The following courses are offered through GBS or the CMDB theme but they are not required by CMDB. CMDB has an open curriculum driven by the scientific and research interests of the student. Courses offered by any theme will count toward meeting CMDB course requirements.

FALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 704: Intro to Exp Med (Oct 25-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 17-Feb 4) – Poster Sessions Feb 7 & 8

GBS 710: Cell Signaling (Jan 3-28)

GBS 712: Cellular & Molecular Aspects of Developmental Biology (Feb 28-Mar 25)

GBS 714: Developmental Neuroscience (Feb 28-Mar 25)

GBS 715: Stem Cell Biology (Mar 28-Apr 22)

GBS 717 Methods and Scientific Logic*

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

*CMDB theme specific requirement

Genetics ThemeFALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 704: Intro to Exp Med (Oct 25-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 17-Feb 4) – Poster Sessions Feb 7 & 8

GBS 720: Genomic Structure & Function (Jan 3-28)

GBS 721: Genetic Epidemiology (Jan 31-Feb 25)

GBS 722: Genetics & Genomics Bioinformatics (Feb 28-Mar 25)

GBS 723: Animal Models in Genetic Analysis (Mar 28-Apr 22)

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

Immunology ThemeFALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 740: Intro to Immunology (Oct 25-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 17-Feb 4) – Poster Sessions Feb 7 & 8

GBS 741: Lymphocyte Biology (Jan 3-28)

GBS 742: Dendritic Cell Biology (Jan 31-Feb 25)

GBS 743: Innate Immunity (Feb 28-Mar 25)

GBS 744: Mucosal Immunology (Mar 28-Apr 22)

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

Microbiology ThemeFALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 740: Intro to Immunology (Oct 25-Nov 12)

GBS 760: Prokaryotic Gene & Molecular Biology (Nov 15-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 17-Feb 4) – Poster Sessions Feb 7 & 8

GBS 761: Eukaryotic Molecular Biology (Jan 3-28)

GBS 762: Virology (Jan 31-Feb 25)

GBS 763: Microbial Pathogenesis (Feb 28-Mar 25)

GBS 764: Structural Biology (Mar 28-Apr 22)

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

Neuroscience ThemeFALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 730: Intro to Neurobiology/Dauphin Island Course (July 21-Aug 14)

GBS 731: Principles of Cellular Neuroscience (Oct 25-Dec 17)

GBS 734: Neuroscience Historical Literature Discussion (Aug 20-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 17-Feb 4) – Poster Sessions Feb 7 & 8

GBS 732: Graduate Neuroscience (Jan 3-Feb 25)

GBS 714: Developmental Neuroscience (Feb 28-Mar 25)

GBS 733: Diseases of the Nervous System (Mar 28-Apr 22)

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

GBS 737: Student Summer Seminar Series (Jun 1-Aug 10)

PBMM ThemeFALL SEMESTER (Aug 18-Dec 17)

GBS 795: Lab Rotation 1 (Sep 1-Nov 12) – Poster Sessions Nov 17 & 18

GBS 707: Basic Biochemistry and Metabolism (Aug 18-Sep 9)

GBS 708: Basic Genetics and Molecular Biology (Sep 10-Sep 30)

GBS 709: Basic Biological Organization (Oct 1-Oct 22)

GBS 704: Intro to Exp Med (Oct 25-Dec 17)

SPRING SEMESTER (Jan 3-Apr 29)

GBS 796: Lab Rotation 2 (Nov 17-Feb 4) – Poster Sessions Feb 7 & 8

GBS 750: Nerves, Muscles, and Bones (Jan 3-28)

GBS 751: Heart, Lung, and Kidney (Jan 31-Feb 25)

GBS 752: GI, Endocrine, and Immune System (Feb 28-Mar 25)

GBS 753: Pharmacology and Molecular Medicine (Mar 28-Apr 22)

SPRING BREAK: April 25-29

Note: 3rd Lab Rotation begins Feb 7-Apr 15 – Registration is in Summer

SUMMER SEMESTER (May 1-Aug 10)

GBS 797: Lab Rotation 3 (Feb 7-Apr 15) – Poster Sessions Apr 18 & 19

Register in summer

GBS 701: Biostatistics (9 weeks – TBA)

GBS 702: Bioethics (4 weeks – TBA)

ADDITIONAL TRAINING REQUIREMENTS**HIPAA Compliance:**

www.hipaa.uab.edu/

IRB:

Institutional Review Board for Human Use

www.uab.edu/irb

Any one (1) of the options listed below can be used to fulfill the 4-credit requirement for initial IRB training.

Click the course names for descriptions and instructions.

- CITI Online: CITI Basic—Biomedical or Behavioral—Course in Human Research Protections, University of Miami
- NIH Online: Protecting Human Research Participants, National Institutes of Health
- UAB Online: Investigator 101 WebCT Course—Initial (requires BlazerID and RealPlayer)
- UAB Course: GRD 717: Principles of Scientific Integrity
- UAB Program: K30 Clinical Research Training Program

IACUC:

Institutional Animal Care and Use Committee
www.uab.edu/iacuc

To see the requirements for IACUC training go to BlazerNET.

1. Log in with your BlazerID and password.
2. Click on the Research tab.
3. Scroll down to the bottom of the screen and look for the Compliance Courses channel/area.
4. Click on the IACUC Training link.

Office of Occupational Health and Safety

Radiation Safety Training
www.healthsafe.uab.edu/

To register for the RSTC, call the Radiation Safety Office at **934-4751** or **934-2487**.

A certificate of training will be awarded to those individuals who:

- complete the in-class portions of the RSTC **AND**
- pass the written examination **AND**
- fulfill their baseline bioassay requirements

ACADEMIC REQUIREMENTS

General requirements for first year students:

- a) Students making a C in a first-year GBS course must retake the course.
- b) Receiving a C in the same course twice (or failing to complete the same course twice) will result in dismissal from the GBS program.
- c) 3 Cs in any combination of first-year courses will result in dismissal from GBS program.
- d) Students must achieve B or better in all required first year courses of his/her selected theme before advancing to the qualifying exam in that theme.
- e) A working knowledge of the content of the 3 core topics is expected of all GBS students. If a student does not pass any of the 3 core 1 (Fall semester) courses, he/she will be required to re-take that course. If a passing grade is not obtained in the second attempt, the student will be dismissed from the GBS program.
- f) Appeals for student continuation when the guidelines described above recommend dismissal will be made at the theme director's discretion. All appeals must be forwarded to the Theme Directors Liaison Committee for a final judgment to ensure consistency among themes.
- g) The Biostatistics course will be offered over a 9-week period in the summer. The Bioethics course will run concurrently for 4 weeks. These courses are normally taken at the end of the first year, and should be completed by the end of the second year unless special permission is obtained from the student's theme director.

General requirements for second year and beyond:

- a) 9 credit hours of advanced courses (e.g., 3 courses of 3 credit hours each) will be required for students in all GBS themes.
- b) The mentor and the student's thesis committee will decide the appropriateness of all advanced courses taken by each student.
- c) Students will be allowed to take additional first-year theme-specific courses offered as advanced courses in the spring semester to help satisfy the advanced course requirement. Additional requirements for advanced course status will be determined by the relevant coursemaster.
- d) The Graduate School requires that 48 credit hours should be completed prior to admission to candidacy. GBS students taking the standard course load (12 credit hours during both the fall and spring semesters and 9 credit hours during the summer) will fulfill this requirement before the end of the second year.
- e) Participation in a journal club will be required for all GBS students in both the Fall and Spring semesters until graduation.

Note that individual themes may have additional requirements for their participating students.

Exams and Grading:

Examinations in GBS 707,708,709 and selected other GBS courses will be mixed format examinations (essay, short answer, and/or multiple choice). The course instructors that have lectured on the topics to be tested, the heads of the relevant lecture blocks, and the course director will determine the exact composition of each examination. All examinations will be closed book and will be held for a maximum of 3 hours each. For in-class examinations, the use of dictionaries, calculators, and other electronic devices (e.g., cell phones, laptops, pagers, etc.) will be at the discretion of the course director.

Each examination will be graded and returned to the students within 2 weeks. Grades will be determined on the basis of the following criteria: **A**: scores that are > 1 standard deviation (SD) above the class mean; **B**: scores that are +/- 1 SD around the class mean; **C**: scores that are between 1 and 2 SD below the class mean; **F**: scores that are greater than 2 SD below the class mean. In special circumstances, the grading scale can be adjusted for the class as a whole (i.e., "curved") at the discretion of the course master and Graduate Theme Director.

The Honor System is a part of the exam process. The Honor System seeks to establish a fair academic environment and to maintain high standards of ethical and professional conduct. If any student feels these standards are not met, he or she is able to defer to a fair and impartial body without prejudice, which will first investigate the matter and then make a ruling if warranted

Students who miss an examination will be allowed to make up the test only in cases of documented medical or family emergencies. This documentation must be provided immediately before or after the date of the examination. The decision to administer a make-up examination, and the format of that examination, will be at the discretion of the course master.

GBS students are required to maintain a GPA of 3.0 or better. Students who receive a grade of "C" or lower in a course must retake that course the following year. Students receiving three or more "Cs" are subject to dismissal from the GBS Graduate Program. Please refer to section "**General requirements for first year students**" for additional details.

ROTATIONS

Rotation Schedule:

Lab Rotation 1: Sept 1-Nov 12 (11 weeks)

Poster Sessions: Nov 17 and 18

Lab Rotation 2: Nov 15-Feb 4 (10 weeks, subtracting the week of Nov 22 for Thanksgiving and the weeks of Dec 20 and 27 for Christmas holidays, plus January 17 for MLK Jr Day)

Poster sessions: Feb 7 and 8

Lab Rotation 3: Feb 7- Apr 15 (10 weeks)

Poster sessions: Apr 18 and 19

Rotation and Mentor Selection Process:

Students begin their first rotation on September 1 and continue through November 12. Registration for the first rotation is in Fall semester; for the second rotation, Spring semester; and for the third rotation, Summer semester. This means that students will have completed their three rotations and moved into their permanent labs by the time they register and receive a grade for their third rotation.

Students will have a list of faculty affiliated with each theme from which they can determine lab rotation selection. The student should approach the faculty member via email to set up a time to meet face-to-face to discuss doing a rotation in that lab.

Rotation Lab Selection:

Students should choose their rotation labs in consultation with the rotation advisor appointed by their chosen theme. To help students become familiar with faculty research interests, a faculty poster session will be held during the first week (or two) of classes. In addition, students are strongly encouraged to contact faculty to request a one-on-one meeting to learn more about faculty research interests (and their interest in taking rotation students). While rotations will typically occur with faculty in the student's chosen theme, students are free to rotate with faculty in other themes in other research areas.

Poster Session Evaluations and Percentage of Overall Rotation Grade:

GBS Poster Sessions will be held after each Lab Rotation. Students will be divided into two groups with one group presenting one day and the second group the next day. Students will create professional posters based on their rotation project.

Judges for the poster sessions will come from the theme faculty. Each theme will provide 2 judges for each day, dictating that each judge will evaluate 4-5 posters each. These faculty judges will complete a Rotation Poster Session Evaluation Form that will provide for comments and a grade on each poster. This rotation grade will reflect **90% on the Rotation Advisor grade, and 10% on the Rotation Poster evaluation.**

Poster Printing: The GBS office has a poster printing service available for use. Randy Seay (rseay@uab.edu) is the contact person. Poster dimensions (created in PowerPoint) are either 36" high x 56" wide or 42" high x 56" wide. Additional sizes can be accommodated. Please contact the office for specifics. A service guide can be found at www.gbs.uab.edu; services. Posters printed with this service usually run \$25-\$35.

Dissertation Advisor Selection and Confirmation of Theme Affiliation

Selection of dissertation advisor

The choice of a dissertation advisor/mentor is one of the most important decisions you will make as a graduate student. Thus, you should keep this matter in mind as you choose laboratory rotations and participate in lecture and seminar activities throughout your first year in the program. First year students should select a dissertation advisor by June 1. Students should make this choice in consultation with appropriate faculty so that the student and faculty member can come to a mutually agreeable decision and arrangement. In special cases, students unprepared to make this choice may be allowed to complete an additional laboratory rotation during the summer term. Clearly, a fourth laboratory rotation should be elected only after careful consideration, since could delay the student's completion of the doctoral program. Your program manager should be advised of the student's preference of dissertation advisor on the appropriate form.

Confirmation of theme affiliation

Students enter with a given theme affiliation but have the flexibility to rotate with any faculty with active GBS status and may change theme affiliation if their research training interests change. Alternatively, faculty outside of a given theme may elect to join additional themes if consistent with theme interests, wherein the student could retain their original theme affiliation. Additional 1st year theme-specific courses that may be required upon theme transfer can be completed in year 2 in fulfillment of advanced course requirements. Communication among the student, selected mentor, and the original and new theme directors will be necessary to facilitate transfer among themes. All students should confirm their theme affiliation at the time of dissertation advisor selection.

QUALIFYING EXAM

General Qualifying Exam/Thesis Committee Guidelines:

1. All GBS students are required to pass a qualifying exam prior to being considered for admission to candidacy.
2. Students must successfully complete all first year course requirements of their chosen theme before scheduling the qualifying exam.
3. After selecting a lab, a thesis committee should be formed to administer the qualifying exam and guide the student in selecting an appropriate program of advanced courses, seminars, and independent study. This program will be designed to meet the student's specific needs and satisfy GBS Program and Graduate School requirements.
4. The qualifying exam will entail both a written research proposal and an oral defense of this proposal.
5. Ph.D. students should form their thesis committee during the second year of study in the GBS program; MSTP students should form their committee during the third year of study in the GBS program. Ph.D. students should schedule their qualifying exam as early as possible in their 3rd year (and no later than the end of the 3rd year), while MSTP students should schedule their qualifying exam as early as possible in their 4th year (and no later than the end of the 4th year).
6. Determining Graduate Committee Composition:
 - a. The student and advisor should jointly agree on the graduate committee membership.
 - b. The advisor should submit those recommendations for committee membership to their GBS Theme Director for approval.
 - c. The Theme Director will then submit those recommendations to the Graduate School Dean for final approval. The Graduate School Dean, who is an *ex officio* member of all

graduate student committees, is ultimately responsible for all graduate committee appointments.

7. The Qualifying Exam/Thesis Committee will include five faculty members (including the mentor). At least one or two committee members should have significant research interests outside the student's primary area of research. All committee members should bring some relevant insight and expertise to guide the student.
8. The student is required to meet with his/her thesis committee at least once per year during years 2-4 in the GBS program and every 6 months after that.
9. A Masters Degree in Basic Medical Science (MSBMS) can be awarded under unusual circumstances to students leaving the GBS program who have successfully completed all of the course work requirements (first year and advanced courses) and the qualifying examination. Please refer to specific guidelines set by the UAB Graduate School for awarding the MSBMS. Specific requirements (defending a Master's thesis and/or first author publication) for completing the MSBMS will be determined on a case-by-case basis by the student's mentor, student's thesis committee if one has been formed, and the Theme director.
10. Each theme has the option of adding additional requirements for the qualifying exam/thesis committee as needed.

Qualifying Exam Guidelines:

1. Students should have one thesis committee meeting before the qualifying exam to approve the planned topic of their thesis research.
2. Completion of a grant-writing course before the qualifying exam will be encouraged but not required.
3. A committee member other than the mentor will coordinate and chair the qualifying exam. The chair should be selected by agreement of the student and mentor.
4. Each examination committee will decide the extent to which the mentor participates in the qualifying exam. If the mentor does participate in the oral examination, it is recommended that he/she only be allowed to ask questions and not otherwise contribute to the discussion.
5. The qualifying exam will be written on the topic of the student's proposed thesis research. The written proposal should follow the new NIH R01 format (one page for Specific Aims; 12 pages for Research Strategy; and a Literature Cited section).
6. The mentor and other committee members are encouraged to provide only general guidance and advice to the student as he/she writes the proposal.
7. A draft of the proposal should be provided to each committee member for his/her review at least two weeks prior to the scheduled committee meeting (i.e., two weeks before the scheduled oral defense of the proposal).
8. It is the responsibility of the committee members to notify the student and mentor if the written proposal is unacceptable prior to the oral defense meeting. If so, the student will be allowed one attempt to revise the written proposal. If the revision is also unacceptable, the student will fail the qualifying exam.
9. Upon approval of the written proposal by each committee member, the student may proceed with the oral defense of the proposal before the committee.
10. During the oral phase of the qualifying exam the committee members will ask questions that extend beyond the scope of the proposal to gauge the student's general comprehension and critical thinking skills.
11. Following the oral defense, the committee may recommend corrections to the written proposal. The student should complete the corrections and re-submit the revised proposal to the committee within a month of the defense.

12. If the student fails the oral defense, he/she will be allowed one more attempt to pass the oral component of the qualifying exam within 2 months of the initial defense.
13. Students who fail either the written or oral components of the qualifying exam twice will be dismissed from the GBS program.
14. Upon successful completion of both the written proposal and oral defense, the student may apply for candidacy.
15. Each examination committee has the option of preparing written critiques of the proposal, as would an NIH study section. This could entail providing the student with brief written critiques in bullet-style format with criterion scores on the 1-9 scale currently used by NIH study sections. The committee will decide whether to prepare written critiques before the student begins writing the proposal.
16. It is understood that the aims of the qualifying exam proposal do not constitute a binding contract for the successful completion of the thesis project.
17. Each theme has the option of adding additional requirements for the qualifying exam as needed.

Requirements for Doctoral Degree

See *UAB Graduate School Handbook* or *Graduate School Policies and Procedures, Section 10.*

Requirements for the Doctoral Degree

<http://main.uab.edu/Sites/gradschool/students/current/policies/7281/#limit91> . Also review

requirements found in *Completing a Graduate Degree*

<http://main.uab.edu/Sites/gradschool/students/current/7287/>

Note that individual themes may have additional requirements for their participating students.

UAB Graduate School, SECTION 10 - REQUIREMENTS FOR THE DOCTORAL DEGREE

Policy 1: General Statement

The doctoral degree is granted in recognition of (1) scholarly proficiency and (2) distinctive achievement in a specific field of an academic discipline. The first component is demonstrated by successful completion of advanced coursework (of both a didactic and an unstructured nature) and by adequate performance on the comprehensive examination. Traditionally, the student demonstrates the second component by independently performing original research, which is presented in the form of a dissertation, publicly defended before the university community. In certain doctoral programs, the dissertation may take the form of a major project undertaking, which, although not of a traditional research nature, presents the results of independent study. The Graduate School also recognizes professional doctorates awarded in preparation for the autonomous practice of a profession. Professional doctorates are accredited programs of study designed to prepare students for the delivery of clinical services. Students in professional doctorate programs must demonstrate competence in clinical practice and scholarship but are not required to conduct and defend original independent research. In lieu of a dissertation, students in programs designated as professional doctorates are required to demonstrate that they are capable of evaluating existing research, applying it to their professional practice, and expanding the body of knowledge on which their professional practice is based. This requirement is met by the design and conduct of a research or scholarly project submitted in writing and presented formally before the members of the program.

Policy 2: Faculty Advisor

Immediately after a degree-seeking student enters the UAB Graduate School, a member of the faculty of the graduate program to which the student has been admitted should be assigned to serve as the student's advisor. This assignment may be a temporary arrangement. The student and the advisor should confer about the initial courses and any special work to be taken on the basis of the student's previous experience and the requirements of the graduate program.

Policy 3: Graduate Study Committee

As soon as possible, a graduate study committee should be formed to guide the student in a program of courses, seminars, and independent study, designed to meet the student's needs and satisfy program and Graduate School requirements. This committee should consist of at least five graduate faculty members, one or two of whom should be from outside the student's graduate specialization and each of whom should be able to bring some relevant insight and expertise to guide the student. Recommendations for graduate study committee membership are submitted by the advisor and the student to the program director, who subsequently submits these recommendations to the Graduate School Dean. Graduate study committee appointments are made by the Graduate School Dean, who is an ex officio member of all graduate study committees.

Policy 4: Minimum Course credit requirements in Ph.D. programs

A. If entering with a baccalaureate degree:

1. Completion of 48 credit hours of course work prior to candidacy
2. Up to 16 credits of the 48 can be as non-dissertation research credits
3. Up to 10 credits can be as lab rotation, seminar, or directed study credits
4. Must complete at least two semesters as a full time student in candidacy or accumulate at least 24 credits in 799 research or course work in candidacy

B. If entering with a previous Masters degree appropriate to the Ph.D. degree field:

Also applies to previously earned M.D., D.V.M., D.M.D., D.D.S., etc.

1. Completion of 27 credit hours of course work prior to candidacy
2. Up to 6 credits of the 27 can be as non-dissertation research credits
3. Up to 6 credits can be as lab rotation, seminar, or directed study credits
4. Must complete at least two semesters as a full time student in candidacy or accumulate at least 24 credits in 799 research or course work in candidacy

C. Program requirements for course work may exceed the Graduate School minimums

Policy 5: Registration Requirements

Because the doctoral degree is earned on the basis of satisfactory completion of the comprehensive examination and the dissertation, the Graduate School does not specify any minimum number of courses or semester hours that must be completed for award of the degree. Courses taken at other institutions and in other degree programs may be used to satisfy program requirements upon approval of the graduate study committee and the graduate program director.

Doctoral students are expected to be registered for credit each regular term.

Policy 6: Residence Requirement

The usual minimal period in which the doctoral degree can be earned is three academic years of full-time study, or longer if the student has periods of part-time enrollment. The nature of doctoral study requires the closest contact between the student and the faculty of the graduate program, and the individual investigation or other special work leading to the dissertation must be done directly under the guidance and supervision of a full member of the UAB graduate faculty. Therefore, Ph.D. students should be in residence (enrolled) for three full semesters each year including summers during a three year period or collectively a minimum of nine semesters if the student has to take a leave or stop out during the course of their Ph.D. education.

Policy 7: Foreign Language or Other Special Tool of Research

In consultation with the faculty, the director of each graduate program will specify any additional requirements, such as a reading knowledge of a foreign language or a working knowledge of statistics, which are considered essential to mastery of the academic discipline. Such requirements become conditions for the completion of the degree.

Policy 8: Comprehensive Examination

The scholarly proficiency of a doctoral student in the chosen field of study must be evaluated by comprehensive examination. The conduct of these examinations is the responsibility of the graduate program in which the student is enrolled and may consist of individual examinations in several appropriate areas or of a single combined examination. Where both written and oral examinations are given, the written should precede the oral, so that there is an opportunity for the student to clarify any misunderstanding of the written questions. Students must be registered for at least three semester hours of graduate work during the term in which the comprehensive examination is taken.

Policy 9: Admission to Candidacy

When the student has passed the comprehensive examination, has satisfied any program requirements for foreign language proficiency or special tool of research, and has presented to the graduate study committee an acceptable proposal for research or special study, the committee will recommend to the Graduate School Dean that the student be admitted to candidacy. A student must be in good academic standing to be admitted to candidacy. Admission to candidacy must take place at least two regular terms before the expected completion of the doctoral program. Admission to candidacy is an important step forward in the student's pursuit of the doctorate. By this step, the graduate committee indicates its confidence that the student is capable of completing the proposed research project and the doctoral program. Since the committee meeting at which candidacy is discussed is so important, it should be scheduled through the Graduate School to allow the dean to attend.

Policy 10: Application for Degree

Each candidate for a doctoral degree must signify the intention to complete the requirements by a particular graduation date by submitting a completed Application for Degree Form. Because this form is used to check requirements, order the diploma, and enter the student on the commencement program, it must be received in the Graduate School Records Office no later than 3 weeks into the expected semester of graduation. Students must be registered for at least 3 semester hours of graduate work in the semester they plan to graduate.

Policy 11: Dissertation

The results of the candidate's individual inquiry must be presented in a written dissertation comprising a genuine contribution to knowledge in the particular academic field. The document should also demonstrate the candidate's acquaintance with the literature of the field and the proper selection and execution of research methodology.

Signatures of committee members and program directors on approval forms indicate their assurance that they have examined the document and have found that it is of professional quality, technical correctness, and professional competency, and that the document conforms to acceptable standards of scholarly presentation. The Graduate School is responsible for ensuring that the final version of the dissertation meets the physical standards required of a permanent, published document and for adherence to the requirements stated in the UAB Format Manual (available online at http://www.uab.edu/graduate/theses_dissertation/FormatManual.pdf).

No later than 2 weeks (10 business days) following the public defense, the completed, final version of the committee-approved dissertation, as a single PDF, must be submitted for final review. There is a \$65 charge, paid online at the time of submission. This fee covers perpetual archiving and maintenance of the dissertation in the ProQuest/UMI database. Also submitted online are the UAB Publication Agreement and the Survey of Earned Doctorates. One copy of the signed approval form is submitted to the Graduate School office. Additional information concerning completing graduation requirements and the dissertation submission and publication process is available online at <http://main.uab.edu/Sites/gradschool/students/current/theses/>.

Policy 12: Final Examination

The final examination should take the form of a presentation and defense of the dissertation, followed by an examination of the candidate's comprehensive knowledge of the field. This examination must be scheduled through the Graduate School to allow attendance of the dean.

The meeting must be open to all interested parties, should be publicized on the UAB campus and must take place at least 30 days before the expected date of graduation. Candidates must be registered for at least three semester hours of graduate work during the term in which the final examination is taken.

If in the opinion of more than one member of the dissertation committee, the student has failed the final, oral examination, there is no consensus to pass. The chair of the committee shall advise the student that the dissertation fails to meet the requirements of the Graduate School. The chair shall notify the student in writing about the reason(s) for failure. If the student resubmits or submits a new dissertation for consideration by the Graduate School at least two members of the new examining committee shall be drawn from the original committee. If the modified or new dissertation fails to meet the requirements of the Graduate School, the student shall be dismissed from the Graduate School.

Students who fail to submit a completed dissertation within one quarter following the final examination will be charged a degree completion fee each quarter. After two quarters students are required to schedule another meeting of the supervisory committee. Exceptions to the policy must be approved in advance of the deadline by the program director or graduate dean.

Policy 13: Recommendation for Degree

The candidate will be recommended for the doctoral degree to the Graduate School Dean by the graduate study committee and the graduate program director. This recommendation must be received no later than 20 days before the end of the term in which the candidate is expected to complete all degree requirements. Candidates must be in good academic standing to graduate, with no temporary grades (I or N) for courses required for degree on their transcripts.

Policy 14: Award of Degree

Upon approval by the Graduate School Dean and payment of any outstanding financial obligations to the university, the student will receive the degree from the president of the university.

Syllabi and Forms referenced in this Section are found at www.gbs.uab.edu

UAB Graduate Student Guidance & Policies

Guidelines for Graduate Assistantships at the University of Alabama at Birmingham

Background¹

Programs of graduate study are designed to transform the individual from student to professional scholar or practitioner. Graduate assistantships² are designed to provide intellectual guidance and financial support for promotion of the student's education. When a graduate assistantship is well conceived and executed, it serves as an ideal instrument to help facilitate the desired transformation. The primary goal of an assistantship is, then, to facilitate progress toward the graduate degree. The graduate assistant is a student functioning in an apprenticeship role which contributes to the student's own professional development.

As a student, the graduate assistant is expected to perform well academically to retain the assistantship. He or she is to be trained, counseled, and evaluated regularly by a graduate faculty mentor so as to develop professional skills in teaching and/or research. The graduate assistant is expected to meet specific obligations in these areas as outlined in the letter of appointment. The contribution made by the graduate assistant supports the teaching and/or research mission of the university. The responsibilities of the graduate assistant may be greater than those required of other students, but the opportunities for professional development are also greater. Any work obligations of the assistant are incident to the assistant's education

Eligibility

To be eligible for an assistantship, a student should be admitted to a graduate program as a full-time, degree-seeking student. The assistant must be enrolled during the period of the assistantship. He or she should have achieved, and should continue to maintain, good standing. Students found to have engaged in academic or nonacademic misconduct are ineligible for appointment and will have their appointments terminated.

Appointment Procedures

Appointment of graduate assistants should be made and monitored by the Program Director, Department Chair, and the Dean of the School where the appointment is made. Because the terms of individual awards may vary from department to department, and even within a single department, it is the responsibility of the Program Director and/or Department Chair to make the offer of appointment in an official letter. In cases where the funding is being provided from an entity outside the Department (e.g., the Graduate School), the terms of the assistantship will be communicated to the Program Director so that these terms can be spelled out in the official letter of appointment. In the case of the Graduate School Assistantship, regular and direct communication should occur between the Program Director and the Graduate School Dean regarding the student's progress. When teaching is involved, the prospective assistant may be required to demonstrate proficiency in spoken and written English before appointment. Each graduate student who receives an assistantship must receive a letter of appointment, signed by the Program Director and/or Department Chair, that clearly spells out the terms of the assistantship.

¹Adapted from the Tennessee Conference of Graduate Schools publication, "A Model Policy for Graduate Assistantship Administration," by C.W. Minkel and M. P. Richards, 1987.

²The term Graduate Assistantship as used here is intended to apply to graduate research assistants, teaching assistants, and fellows.

These terms should include, but not be limited to, the following issues:

- Title of appointment, time commitment, and length of appointment
- Conditions and timing for reappointment
- Stipend level and whether or not fees, health insurance, and tuition will be paid
- Course load, if teaching is involved
- Description of duties, if applicable
- Expectation regarding whether or not the assistant may take on employment
- Expectations regarding time commitments and responsibilities between terms
- Name and position of supervisor
- How the student assistant is to be evaluated
- Resources to be provided (e.g., equipment, supplies, office space, travel funds)
- Deadline for acceptance of the assistantship offer

Term of the Assistantship

Each assistantship should be made for a maximum period of one year. Assistantships generally begin with the academic calendar year. Reappointment is possible but the terms of reappointment are variable, determined by policies of the program.

Responsibilities of the Graduate Assistant

A fundamental responsibility of the graduate assistant is to work closely with the faculty supervisor in carrying out research or teaching activities, while at the same time making good progress toward the completion of the degree program. If the student's assistantship responsibilities and academic program are properly coordinated, these responsibilities will be compatible. The assistant should articulate his or her goals early in the term of appointment and work with the supervisor to achieve them. The graduate assistant is obligated at all times to maintain high ethical standards in academic and nonacademic activities, and to report violations of these to the faculty supervisor. The graduate assistant should keep well informed of departmental, school, and institutional regulations, and follow them consistently. If problems arise in the assistantship assignments, the graduate assistant should seek help first from the faculty supervisor. If problems cannot be resolved, the student should consult the Program Director.

In general, graduate assistants are expected to be available in the periods between academic terms. Graduate assistants are entitled to the following short-term leaves:

- A maximum of 15 calendar days (one-half month) paid leave of absence (vacation) per calendar year,
- Three (3) calendar days paid sick leave of absence per calendar year, and
- Parental leave of absence (with pay) of 30 consecutive days per calendar year upon the birth or adoption of a child. Either or both parents are eligible for parental leave.

These leaves (vacation, sick, parental) do not accrue. All leaves require notification of and approval by the mentor or graduate program director and may be extended, if necessary, with the permission of the graduate program director. Program policies regarding leaves of absence must apply equitably to all full time students in good standing in the program. With the agreement of the mentor and graduate program director, extended, unpaid, non-emergency absences from campus for periods up to a month may be approved. Extended absences (without pay) for non-academic purposes should be limited. Students should consult the Graduate School Policies and Procedures concerning leaves of absence. In emergencies, graduate assistants should inform their mentors or program directors as soon as possible about the need for a leave of absence.

Privileges

Graduate assistants should be assigned space and equipment sufficient to carry out their assignments effectively. Normally this would include a desk, chair, file space, a mail box, and office and lab supplies, where needed.

Evaluation

Goals should be worked out with the faculty mentor early in the academic year. Each graduate assistant should receive a formal evaluation from his or her faculty supervisor once each year. Excellence should be noted in an assistant's record, as should inadequacies in performance. Ongoing informal evaluation should precede more formal measures. The results of formal evaluations will be entered into the assistant's departmental record, including evidence that the student has reviewed the evaluation.

Reappointment

Priority for reappointment is determined by the graduate program but should be given to those graduate assistants making good progress toward completion of the degree and performing well in their assistantship duties. Criteria for reappointment should be announced in advance of reapplication and should generally include:

- maintenance of good standing and satisfactory progress toward the degree
- assessment of performance during the annual review
- length of time on the assistantship
- length of time in the degree program

Revised May 11, 2006

Graduate School Guidelines for Graduate Student Compensation

All students accepted into GBS programs receive an annual stipend and fully paid tuition and fees. Single coverage health insurance is also provided at no cost to the student through VIVA Health UAB. The stipend level is reviewed periodically and adjusted, upon recommendation of the GBS Steering and Oversight Committee, with review by the Graduate School.

A salary cap for UAB Graduate Assistants, Graduate Student Assistants and Graduate Student Trainees has been set in consultation with the Academic Programs Council and has been approved by the Provost's office. The maximum is indexed to equal 90 percent of the current NSF individual fellowship stipend. Conditions for exceptions may exist and relevant information can be found at Graduate Student Guidelines <http://main.uab.edu/Sites/gradschool/faculty/directors/7941/>. Students who are supported by extramural fellowships or training grants that provide stipends and additional benefits which exceed the recommended maximum are entitled to receive the full support provided by the extramural award.

ACADEMIC CONDUCT POLICY

From *The Graduate School Policies and Procedures*

<http://main.uab.edu/Sites/gradschool/students/current/policies/7281/#limit71>

The University of Alabama at Birmingham expects all members of its academic community to function according to the highest ethical and professional standards. Students, faculty, and administration of the institution must be involved to insure this quality of academic conduct.

Academic misconduct undermines the purpose of education. Such behavior is a serious violation of the trust that must exist among faculty and students for a university to nurture intellectual growth and development. Academic misconduct can generally be defined as all acts of dishonesty in an academic or related matter. Academic dishonesty includes, but is not limited to the following categories of behavior:

- **ABETTING:** helping another student commit an act of academic dishonesty. Allowing someone to copy your quiz answers, or use your work as their own are examples of abetting.
- **CHEATING:** use or attempted use of unauthorized materials, information, study aids, the answers of others, or computer-related information.
- **PLAGIARISM:** claiming as your own the ideas, words, data, computer programs, creative compositions, artwork, etc., done by someone else. Examples include improper citation of referenced works, use of commercially available scholarly papers, failure to cite sources, copying other's ideas.
- **FABRICATION:** presenting as genuine falsified data, citations, or quotations.
- **MISREPRESENTATION:** falsification, alteration or misstatement of the contents of documents, academic work or other materials related to academic matters, including representing work substantially done for one class as work done for another without receiving prior approval from the instructor. Misrepresentation also includes misrepresenting schedules, prerequisites, transcripts, or other academic records.

A student who commits an act of academic misconduct within the context of meeting course requirements will be given the grade of *F* in the course or on the assignment at the discretion of the department or program in which the misconduct occurred. Academic misconduct can occur in other contexts as well, such as when taking comprehensive examinations, performing research, preparing manuscripts or generally during the performance of other activities related to the process of satisfying degree requirements. Under Graduate School policy the program in which the student is enrolled may choose to expel the student from the university on the first offense. Students should consult the policies of their graduate program to determine whether expulsion can occur with a first offense. If, as determined by the records of the Graduate School or the department or program, the act of academic misconduct is a second offense, the student will be expelled from the university. The transcript of a student expelled for committing academic misconduct will bear the statement "Expelled for Academic Misconduct."

Reporting Academic Misconduct

When a faculty member or another student sees cause to charge a student with academic misconduct, within 7 days of noting the incident that individual will communicate the charge to the department chair

or program director of the department or program in which the accused student is enrolled. The department chair or program director to whom the charge is presented will notify the student of the charge and provide the student with an opportunity to respond. If, at that time, the student cannot refute the charge effectively, the department chair or program director will expeditiously notify the student of the administrative action to be taken. The notice shall also inform the student of the right to appeal and the steps involved in that process. Copies of any such communication will be provided to the Academic Dean of the school in which the student is enrolled.

If the school or department in which the student is enrolled has its own honor code, then the procedures of that honor code must be followed, including any prescribed appeals process. For dual degree students whose academic misconduct occurs in one of their two schools, the honor code of the school in which the infraction occurred should prevail.

However, if no local honor code exists, the following procedure must be followed.

Right to Appeal and Formation of Honor Council

If a student is the subject of an administrative action as the result of an academic misconduct violation and wishes to contest that administrative action, he / she may appeal in writing to the Dean of the school in which the student is enrolled. The dean will then convene an Honor Council consisting of five students and three faculty members from various departments within the school. All of the students chosen to serve must be in good academic standing.

The Honor Council shall elect a chairperson from among the eight members. The Chair may be either a student or faculty member. The duties of the Chair include convening the Honor Council, presiding over hearings and communicating with the administration of their school on behalf of the Honor Council. In all matters, the members of the Honor Council are instructed to treat the information put forward to them in the strictest of confidence. Breaches of confidentiality are themselves violations of the Student Honor Code and will be treated as such.

Initial Procedures

After being informed of the charges and the failure to reach an informal resolution, the Academic Dean may also attempt to informally resolve the impasse between the student and the faculty member(s). In the event this attempt is unsuccessful, the Academic Dean shall refer the allegation(s) to the Honor Council. The Academic Dean will provide the Honor Council with a statement of the allegation(s) against the accused student, a description of the evidence and supporting documents (if available). The Honor Council shall convene to review the charge and all evidence supporting it. After review, the Council may either dismiss the allegation(s) on the grounds that insufficient substantiating evidence exists, or support the charges, also based on the evidence. The Honor Council shall provide notice of the specific charge or of the dismissal of the alleged violation to the accused student by certified mail, return receipt requested, or by hand delivery, and to the Academic Dean. If substantiated, the statement of the charge shall include a brief summary of the alleged violation and the evidence presented in support of the charge, in enough detail as to allow the accused the opportunity to rebut the charge, and shall provide notification to the accused student of his/her right to a hearing. The accused student must respond to the charge within five days, unless excused by the Honor Council. In his/her written

response to the Honor Council, the accused student must admit or deny the charge and must formally request or waive his/her right to a hearing before the Honor Council.

Once notice of the specific charge has been provided to the accused student and to the Academic Dean, the Honor Council shall decide on a time for the hearing and any preliminary deadline(s) for the submission of supporting documents and the names of proposed witnesses. Granting a request from the accused, or from the School, to reschedule the hearing is within the discretion of the Honor Council, but shall not be unreasonably denied. The Honor Council shall provide written notice to the accused student of the time and place for the hearing, and if witnesses are to be called in his/her defense, ask the student to provide their names along with a statement describing the testimony of each witness. The Honor Council shall review any documentary evidence provided by the student in advance of the hearing.

The Hearing

The process shall generally include the following: (1) call to order by the Chair; (2) introduction of those present; (3) statement of the Charge and possible penalties if the charge is proven; (4) statement of the evidence and testimony in support of the charge, and questioning of witnesses; (5) statement of evidence and testimony in opposition to the charge (rebuttal), and questioning of witnesses; (6) closing statement. All questioning of witnesses shall be by the Honor Council unless the Honor Council shall decide otherwise.

A hearing before the Honor Council shall not be bound by formal rules of evidence or judicial rules of procedure. The Honor Council may hear any testimony or receive any supporting evidence that it deems to be pertinent to the charge. Both the accused and a representative of the School may be present throughout the hearing. The accused student shall be afforded a reasonable opportunity to be heard, to question witnesses indirectly through the Honor Council, to rebut adverse evidence, and to make a brief closing statement. Members of the Honor Council may ask any questions at any time during the hearing and may elect to disallow or to curtail testimony that the Honor Council determines to be unnecessarily redundant or not relevant to the issue(s) being heard. Throughout the hearing, all persons present shall conduct themselves in an orderly manner.

The accused may be accompanied at the hearing by an advisor of his/her choosing, however, the advisor may not participate in the hearing. The Honor Council shall be responsible for the conduct of the hearing at all times and shall keep a record of the proceedings in a format it chooses. Hearings before the Honor Council are confidential proceedings and only those persons determined by the Honor Council to have a need to be present shall be included. Except for the accused (and an advisor if invited by the accused) and the representative of the School, all other witnesses shall be excluded from the hearing room, except when testifying. No more than one witness shall be called to testify at a time. The School or the Honor Council may elect to invite UAB Security to be present at an Honor Council hearing.

As soon as practicable following the conclusion of the hearing, the Honor Council shall meet in private session to consider all of the evidence presented, and shall decide on one of two outcomes. The decision of the Honor Council shall be that the charge is either (1) proven by a preponderance of the evidence or (2) not proven by a preponderance of the evidence. A vote of six of the eight members shall be required for the charge against the accused to be proven. Following the vote, the Honor Council shall record the vote and shall provide a brief narrative statement explaining the rationale for their finding(s). The written decision and rationale of the Honor Council shall be transmitted to the Academic Dean, by

internal communication, upon the conclusion of the Honor Council 's deliberations. The Honor Council shall notify the accused of the outcome by certified mail, return receipt requested, or by hand delivery. A decision of the Honor Council in favor of the accused student shall conclude the case.

Penalties for Violation of the Honor Code

Generally, a first violation of the Honor Code shall result in the assignment of a failing grade in the assignment or in the course in which the violation occurred, at the discretion of the instructor. A notation on the student's permanent academic record may also be made to indicate that a reduced or failing grade was assigned because of an Academic misconduct violation (e.g., "F, Academic misconduct violation, June 15, 2006"), on the judgment of the Honor Council. A second violation of the Honor Code shall result in expulsion from the University. No student may graduate until pending allegations of an Academic misconduct violation have been resolved. No student expelled from the Graduate School because of an academic misconduct violation shall be eligible for readmission.

If at the end of the appeals process performed at the school level, the accused student wishes to appeal to the Graduate School Appeals Board, he / she must follow the procedure outlined in this Handbook. Upon receipt of the appeal from the student, the Graduate Dean will request from the Academic Dean of the school in which the student is enrolled all appropriate documentation accumulated to that point. The Graduate Dean will then be responsible for maintaining records of all additional proceedings.

Ethical Standards in Research and Other Scholarly Activities

PERSONNEL MISCONDUCT

MEMORANDUM

DATE: June 29, 2005

TO: Deans, Chairs, and Directors

FROM: Eli I. Capilouto, DMD, MPH, ScD Provost
Richard B. Marchase, PhD, Vice President for Research

We are taking this opportunity to ensure that your faculty and staff are aware of the proper procedures for reporting concerns about practices or personnel conduct at UAB.

- For most cases, reports should follow the “chain of command”. The immediate supervisor should be first notified unless the problem involves that individual, in which case the next highest supervisor should be notified. Any situation that endangers personnel safety should be reported directly to UAB Police, Occupational Health and Safety (934-2487), Facilities, or others as appropriate with subsequent notification of a supervisor.
- Scientific misconduct, defined as “fabrication, falsification, plagiarism, or other practices which seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research” should be reported to the Vice President for Research, who serves as the UAB Scientific Integrity Officer. UAB’s *Policy Concerning the Maintenance of High Ethical Standards in Research and Other Scholarly Activities* can be found at <http://www.iss.uab.edu/Pol/HiEthicsMtab.pdf> and provides information about the ethical standards expected of UAB faculty and staff.
- Concerns about research or research administration can also be reported directly to the UAB Office of Research Compliance <http://main.uab.edu/show.asp?durki=55742> or through the hotline maintained by this office. Anonymous reports are accepted.
- Problems related to personnel issues should be reported through the supervisory chain of command unless it is more appropriate to go directly to Human Resource Management Relations 934-4701.

Additional information can be found in the handbooks: ---- You and UAB: Handbook for Administrative Professional and Support Personnel

(http://www.hrm.uab.edu/you_uabhandbook/You%20and%20UAB%202005-05-09sm.pdf)

---- Faculty Handbook and Policies (<http://www.uab.edu/images/provost/APUP/Handbook.pdf>).

UAB Policy Concerning the Maintenance of High Ethical Standards in Research and Other Scholarly Activities

This policy has been adapted from a statement on “The Maintenance of High Ethical Standards in the Conduct of Research” published by the Executive Council of the Association of American Medical Colleges and has been revised to be in compliance with the Public Health Service final rule entitled

“Responsibilities of Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science.” It incorporates recommendations of the UAB Faculty Policies and Procedures Committee and the UAB Faculty Senate.

A. Introduction

The principles that govern scientific research and scholarship have long been established and have been applied by faculties and administrators for the discovery of new knowledge needed by mankind. The maintenance of high ethical standards in research based on these principles is a central and critical responsibility of faculties and administrators of academic institutions. Validity and accuracy in the collecting and reporting of data are intrinsically essential to the scientific process; dishonesty in these endeavors runs counter to the very nature of research, that is, the pursuit of truth. The responsibility of the academic community to the public is acknowledged. The maintenance of public trust in this pursuit is vital. In short, it is in the best interest of the public and of academic institutions to prevent misconduct in research and to deal effectively and responsibly with instances in which misconduct is suspected.

B. Policy Statement

1. UAB shall accept as faculty members only those individuals whose career activities clearly demonstrate the highest ethical standards. To this end, the credentials of all potential faculty are to be thoroughly examined by the appropriate department/unit heads or their respective in order to verify the claimed accomplishments of the candidate. The appropriate department/unit heads or their representatives shall seek further confirmation of the candidate's accomplishments during the normal procedures of personal interview and letters from references. Proof of faculty credentials shall be maintained by the appropriate dean or department head.
2. Faculty members who are in supervisory positions with regard to colleagues, fellows, technicians, and students are expected to work closely with those individuals to provide them with appropriate guidance and counsel to the end that those individuals continue to maintain the highest professional and ethical standards.
3. The faculty is encouraged to increase student and staff awareness of the importance of maintaining high ethical standards in research and to discuss issues related to research ethics in formal courses, in seminars, and by other informal means.
4. Research results should be supported by verifiable evidence. Faculty and staff should maintain sufficient written records or other documentation of their studies. It is the responsibility of department/unit heads, division directors, and experienced investigators to develop among junior colleagues and students the necessary respect for careful recording and preservation of primary data.
5. The faculty is encouraged to engage in free discussion of results, to share data and techniques, and to avoid secrecy in the conduct of original investigations. It should be remembered that independent confirmation of results is important in direct proportion to the potential significance of the results in question and may be crucial to the establishment of new concepts.
6. Faculty members are responsible for the quality of all reports based on their own efforts or on the collaborative work of students, technicians, or colleagues, especially those which bear the faculty member's name. The term “reports” as used here includes, but is not limited to, manuscripts submitted for publication and abstracts submitted for presentation at meetings. The same standards of scientific integrity apply to abstracts as to full-length publications. Abstracts or other reports of preliminary findings should indicate clearly that the findings are preliminary. No faculty member shall allow his or her name to be used on any report containing results for which that faculty member cannot assume full professional and ethical responsibility.

7. Any UAB employee (including, but not limited to, regular and adjunct faculty, fellows, technicians, and student employees) or any UAB student who has reason to suspect any other employee or student of misconduct with regard to the conducting or reporting of research has the responsibility of following up these suspicions in accordance with the procedures outlined below. For purposes of this policy, "misconduct" means fabrication, falsification, plagiarism, or other practices, which seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data. Intentionally withholding information relevant to the investigation of an alleged case of misconduct, intentionally pressuring others to do so, or bringing malicious charges against another individual shall itself be considered misconduct. Also, any act of interference, retaliation, or coercion by an UAB employee against a student or employee for using this policy is prohibited and is itself a violation of this policy.

C. Procedures To Be Followed

The "Scientific Misconduct Allegation Review Checklist" is to be used in conjunction with the procedures in this section and is available at www.iss.uab.edu.

1. It is the responsibility of student employees, trainees, fellows, faculty members, staff members, or other employees who become aware of misconduct in research and other scholarly activities to report such misconduct to one of the following: (a) their department/unit head, (b) the dean of the school in which their department/unit is located, or (c) the UAB Scientific Integrity Officer. In the case of graduate students or of trainees at any level, such evidence also may be reported to the dean of the Graduate School.
2. The individual receiving such evidence of misconduct must immediately report such evidence and the allegation of misconduct to the UAB Scientific Integrity Office, the department/unit head and the dean of the unit in which the alleged misconduct occurred, and the provost. If the UAB Scientific Integrity Officer determines that the allegation warrants initiation of the inquiry process, the inquiry shall be initiated immediately, and the office of counsel shall be informed.
3. Allegations of this nature are very serious matters, and all parties involved should take measures to assure that the oppositions and reputations of all individuals named in such allegations and all individuals who in good faith report apparent misconduct are protected. Details of the charge, the name of the accused, the identity of the individual brings suspected fraud, and all other information about the case shall be kept confidential as far as possible, capable with investigating the case. Revealing confidential information to those not involved in the investigation shall itself be considered misconduct.
4. Because UAB is interested in protecting the health and safety of research subjects, students, staff, and faculty and because UAB is responsible for protecting sponsored research funds and for ensuring that those funds are spent of the purposed for which they are give, if the situation warrants it, interim administrative action may be used prior to conclusion of either the inquiry or the investigation to provide for the protection of individuals and funds in accordance with existing UAB policy. Such action includes, but is not limited to, administrative suspension; re-assignment of student(s); involvement of the Institutional Review Board, the Institutional Animal Car and Use Committee, and the Office of Internal Audit-UAB; or notification of external sponsors when required by federal regulations.

D. Initial Inquiry

For purposes of this policy, “inquiry” means information gathering and initial fact finding to determine whether an allegation or apparent instance of scientific misconduct warrants an investigation.

1. The department/unit head or dean shall investigate immediately the charges through an inquiry process, including an interview with the suspected individual. The person conducting the inquiry shall ensure that individuals with the necessary and appropriate expertise are consulted concerning technical aspects of the activities in question. At least one of those individuals must be from outside the suspected individual’s department. The record of the inquiry shall document the review of relevant evidence.

The department/unit head or dean conducting the inquiry shall keep the UAB Scientific Integrity Officer informed and may request assistance from the UAB Scientific Integrity Officer. The UAB Scientific Integrity Officer shall keep the Office of Counsel informed during the inquiry process, and the Office of Counsel shall provide advice concerning procedural matters. In order to ensure that a real or apparent conflict of interest does not exist, the UAB Scientific Integrity Officer shall review the selection of persons to be involved in the inquiry. If it is determined that a conflict of interest exists, the UAB Scientific Integrity Officer is responsible for designating who will be involved in the inquiry.

If UAB plans to terminate an inquiry for any reason prior to completion of the normal progression of such an inquiry, the UAB Scientific Integrity Officer shall notify the federal Office of Research Integrity and shall include in that notification a description of the reasons for termination of the inquiry.

UAB will make every effort to complete the inquiry within 60 days of its initiation. If the inquiry extends beyond 60 days, the reasons for the extension will be documented by the UAB Scientific Integrity Officer and will be retained with the record of the inquiry.

The written report of the inquiry shall state what evidence was reviewed, shall indicate the relevant expertise of the persons reviewing the evidence, shall summarize the relevant interviews, and shall include the conclusions of the inquiry. The individual(s) against whom the allegation was made shall be given a copy of the inquiry report and shall have an opportunity to make written comment regarding the report. This report, including a conclusion as to whether there is reasonable cause to believe that misconduct has occurred, shall be forwarded to the provost (with a copy to the UAB Scientific Integrity Officer) through the appropriate dean who should make whatever comment or recommendation is deemed warranted.

2. The Provost, with the advice and counsel of the UAB Scientific Integrity Officer and others as appropriate, shall decide whether to close the matter or to appoint an Investigating Committee. If findings from the inquiry provide sufficient basis for conducting an investigation, the investigation must be started within 30 days of completion of the inquiry. The written report of the inquiry will be made available to the Investigating Committee.
3. If the Provost determines that it is not necessary to undertake an investigation, the Provost will report to the President the reasons for this decision and the findings of the inquiry. The report will be maintained in a secure manner for at least 3 years by the Office of the UAB Scientific Integrity Officer.

E. Investigation

For purposes of this policy, “investigation” means the formal examination and evaluation by a committee of all relevant facts to determine if scientific misconduct has occurred.

1. The investigation Committee is appointed by the Provost and will elect its own chairperson. Members of the Committee shall consist of at least three tenured faculty members who have the expertise to deal with technical aspects of the activities in question. At least two of these faculty members must be from outside the suspected individual’s department. The Provost shall take precautions not to appoint any committee member who has a real or apparent conflict of interest with the outcome of the investigation.

The chairperson shall conduct meetings of the Investigating Committee as frequently as required in order to determine whether or not the activities in question do indeed constitute misconduct. All such meetings and the deliberations thereof shall be held in confidence to protect the affected individual or individuals. Those accused of misconduct shall be given a written summary of the charges and supporting evidence and shall be afforded an opportunity to appear before the Committee to comment on allegations. The accused may be represented by counsel. The Office of Counsel shall be kept informed of the investigation process and shall advise the Investigating Committee concerning procedural matters.

Non-Academic Conduct Policy

From Graduate School Policies and Procedures , Section 7

<http://main.uab.edu/Sites/gradschool/students/current/policies/7281/#limit72>).

The university is a community of scholars and learners; therefore, all participants are expected to maintain conduct that (1) facilitates the institution's pursuit of its educational objectives, (2) exhibits a regard for the rights of other members of the academic community, and (3) provides safety to property and persons. Through appropriate "due process" procedures, disciplinary action will be taken in response to conduct that violates these principles. A more detailed description of non-academic misconduct can be found in the student handbook Direction http://www.uab.edu/handbook/UAB_Handbook_2009-11.pdf . It is the student's responsibility to be fully aware of the policies and procedures described in Direction. The Vice President for Student Affairs has the responsibility for coordinating policies and procedures regarding students' non-academic misconduct.

GRIEVANCE POLICY

Although rare, disagreements can arise that may affect a student's progress towards the completion of the degree. The parties involved in such a dispute should make a good faith effort to discuss and resolve the disagreement. The following guidelines may be helpful.

Step 1. Identify the problem; clearly define what happened and what you perceive is needed to resolve the issue.

Step 2. Approach the other person or group involved with the dispute one-on-one. Set up a mutually agreeable time to talk; listen and ask to be listened to; use "I" statements when speaking; avoid assigning blame or leveling accusations.

Step 3. If these steps do not culminate in a resolution, the parties involved with the dispute should agree to approach an impartial third party, a mediator, who will respect confidentiality and with whom the situation can be discussed. The Program Director will suggest such a third party if asked. The mediator may be able to help the parties involved reach a resolution.

Step 4. If no resolution is found then you may submit the disagreement to the Graduate Program for arbitration. Please follow these procedures:

- a) Each party in the dispute should submit a written description of the disagreement to the Program Director and the Chair. Please include a description of the actions taken to resolve the dispute to date and the name of the mediator who was involved.
- b) The Graduate Program Director will review the written documents. This group will make a determination as to whether or not the disagreement is Program-related and thus appropriate for arbitration at the Program level.
- c) If the dispute is found to be Program-related, the Graduate Program Director, together with the Graduate Program Committee, will act as an arbitrator. If the dispute involves the Program Director, Associate Director or any member of the Program Committee, then that individual will be excused from the deliberations. The Committee may request additional information from the parties involved. The Program Director and the Admissions and Advisory Committee will meet to discuss the problem within 14 calendar days following receipt of the written document or following the receipt of any additional materials. In the event that a quorum of the Committee is not available within this time period, the Committee will meet as soon thereafter as a quorum can be gathered. The Committee may also ask the parties in the dispute to appear before the committee to provide additional information.
- d) The result of the Committee's deliberations will be communicated in writing to the parties involved in the dispute within seven (7) calendar days after the meeting.

Step 5. To Chair for final review of arbitration before proceeding to Appeals Board.

If a party involved in the dispute is not satisfied with the outcome of the arbitration process, an appeal may be submitted to the Graduate School Appeals Board. Please see the Graduate Student Handbook for specific information about the appeals process.

GBS STUDENT ETHICS PLEDGE

A copy of the UAB Academic Conduct Policy is found above in the Graduate Student Guidance & Policies section of this GBS Handbook. This policy is also published in the UAB Graduate School Handbook 2010-2011 and Policies & Procedures. Please direct any questions regarding the UAB Academic Conduct Policy to the appropriate GBS or Theme Coursemaster, the GBS Program Office, the GBS Theme Program Directors, or one of the GBS Theme Rotation Advisors for guidance.

I confirm that I have read and understand the section on Academic Conduct as stated in the UAB Graduate School Handbook. I understand that I am subject to dismissal from the UAB Graduate School if I am found to be involved in academic misconduct.

Student's Signature

Date

Student's Name (Printed)

The Family Educational Rights and Privacy Act (FERPA)

The Family Educational Rights and Privacy Act (FERPA) affords students certain rights with respect to their education records. They are:

- The right to inspect and review student's education records within 45 days of the day the University receives a request for access
Students should submit to the registrar, dean, head of the academic department, or other appropriate official, written requests that identify the record(s) they wish to inspect. The University official will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the University official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be addressed.
- The right to request the amendment of the student's education records that the student believes are inaccurate or misleading
Students may ask the University to amend a record that they believe is inaccurate or misleading. They should write the University official responsible for the record, clearly identify the part of the record they want changed, and specify why it is inaccurate or misleading.

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

- The right to consent to disclosure of personally identifiable information contained in the student's education records, except to the extent that FERPA authorizes disclosure without consent
One exception which permits disclosure without consent is disclosure to school officials with legitimate educational interests. A school official is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including law enforcement personnel and health staff); a person or company with whom the University has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks.

A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility.

- The right to file a complaint with the U.S. Department of Education concerning the alleged failures by the University of Alabama at Birmingham to comply with the requirements of FERPA.

GBS Administrative Structure

GRADUATE PROGRAMS CONTACT INFORMATION

GBS THEME PROGRAMS	TITLE	TELE/FAX	E-MAIL
Biochemistry & Structural Biology			
Tim Townes, Ph.D.	Director	934.5294	ttownes@uab.edu
Dianne Vickers	Program Coordinator	934.0580 975.2188	dvickers@uab.edu
Cancer Biology			
Danny Welch, Ph.D.	Director	934.2956	danwelch@uab.edu
Randy Seay, MA, MPA, MPH	Program Manager	934.7810 996.6749	rseay@uab.edu
Cell, Molecular and Developmental Biology (CMDB)			
Bradley Yoder, Ph.D.	Co-Director	934.0994	byoder@uab.edu
Rosa Serra, Ph.D.	Co-Director	934.0842	rserra@uab.edu
Nan Travis	Program Manager	996.4045 996.6749	ntravis@uab.edu
Genetics and Genomic Sciences			
Daniel Bullard, Ph.D.	Director	934.7768	dcbullard@uab.edu
Nan Travis	Program Manager	996.4045 996.6749	ntravis@uab.edu
Immunology			
Peter Burrows, Ph.D.	Co-Director	934.6529	peterb@uab.edu
Scott Barnum, Ph.D.	Co-Director	934.4972	sbarnum@uab.edu
Kym Proctor	Program Administrator	934.3857 996.6749	kproctor@uab.edu
Microbiology			
Janet Yother, Ph.D.	Director	934.9531	jyother@uab.edu
Casey Morrow, Ph.D.	Co-Director	934.5705	caseym@uab.edu
Michael Niederweis, Ph.D.	Co-Director	996.2711	mnieder@uab.edu
Peter Prevelige, Ph.D.	Co-Director	975.5327	preveliq@uab.edu
Kym Proctor	Program Manager	934.3857 996.6749	kproctor@uab.edu
Neuroscience			
Lori McMahon, Ph.D.	Director	934.3523	mcmahon@uab.edu
Patricia Matthews	Program Manager	934.7034 996.6749	pm1@uab.edu
Pathobiology & Molecular Medicine (PBMM)			
Ralph Sanderson, Ph.D.	Director	996.6226	sanderson@uab.edu
Kevin Kirk, Ph.D.	Co-Director	934.3122	klkirk@uab.edu
Randy Seay, MA, MPA, MPH	Program Manager	934.7810 996.6749	rseay@uab.edu
<u>TRANSLATIONAL RESEARCH TRAINING PROGRAMS</u>			
HHMI Med to Grad			
Danny Welch, Ph.D.	Director	934.2956	danwelch@uab.edu
Scott Austin	Program Manager	934.2845 996.6749	scotta@uab.edu

MD/PhD

Robin Lorenz, M.D., Ph.D.	Director	934.0676	rlorenz@uab.edu
Lou Justement, Ph.D.	Associate Director	934.1429	lbjust@uab.edu
Paul Willey Adams, MPH	Program Manager	934.4092 975.8427	pwilley@uab.edu

Mindy Robbins	Administrative Associate	934.0440 975.8427	minrob@uab.edu
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DMD/PhD

Mary MacDougall, Ph.D.	Director	996.5122	macdouga@uab.edu
Jeffrey Allison	Program Manager	996.5122 996.5109	jcallison@uab.edu

GBS STAFF

Susan Rich, Ph.D.	GBS Director-Administrative	996.4835	srich@uab.edu
Scott Austin	Office Manager	934.2845	scotta@uab.edu
Savitha Memula	Data Support Specialist	996.9798	smemula@uab.edu
Keri Dickens	Student Assistant	996.6752	kerid@uab.edu

Commitment to our students

The goal of the faculty associated with the Graduate Biomedical Sciences Programs is to provide a rigorous training experience for doctoral students in the biomedical sciences. It is this training approach that best prepares our students for future research careers in academia or industry in two key ways: (i) by providing our students with the skills and knowledge that are required to address today's complex biomedical problems (e.g., cancer or hypertension; diseases that must be tackled using multiple investigative strategies); and (ii) by enabling our students to select research areas that best fit their talents by exposing them to various points of view and scientific interests.

**University of Alabama at Birmingham
Graduate Biomedical Sciences**

**1825 University Blvd
Shelby 120
Birmingham, AL 35294-2182
www.gbs.uab.edu**