GRADUATE STUDENT POLICIES AND PROCEDURES

DEPARTMENT OF PHARMACOLOGY AND PHYSIOLOGY

SAINT LOUIS UNIVERSITY SCHOOL OF MEDICINE

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In all other instances, contact the Director of Graduate Studies for the Department of Pharmacology and Physiology (Heather Macarthur, Ph.D. (heather.macarthur@health.slu.edu).

Please note that many of the forms referenced in this handbook can be found at: https://www.slu.edu/academics/graduate/current-students/index.php.

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Introduction. This handbook provides a concise guide to the process and policies of the doctoral graduate program of the Department of Pharmacology and Physiology of the Saint Louis University School of Medicine. While specifically tailored to the department, the standards outlined here are guided by the policies of the Graduate Program of Biomedical Sciences, the School of Medicine, and Saint Louis University, which are the ultimate authorities in matters requiring remediation. Students should refer to the documents obtained in the appendices for further information regarding University Policy. The program is overseen by the Graduate Steering Committee which is composed of: Drs. Heather Macarthur (chair), Terrance Egan, Andrew Lechner, Gina Yosten, Colin Flaveny, and Jinsong Zhang, under the direction of Chair of the Department, Daniela Salvemini.

The Objective of the Training Program. The objective of the Saint Louis University Doctoral Training Program in Pharmacology and Physiology is to provide individuals with the opportunity to achieve a high degree of competence in the pharmacological and physiological sciences regardless of the student's background, thus preparing them to pursue productive careers in academics and industry. The five defining goals of the program are to: (1) instill enthusiasm for discovery and the scientific process; (2) foster the development of critical thinking skills; (3) develop laboratory research competence; (4) develop oral and written communication skills; and (5) promote a commitment to scholarship. This program is designed to provide students with a strong foundation in all aspects of basic biomedical science and the freedom to explore diverse research opportunities.

Overview of the Training Program. The program uses a multidisciplinary and integrative approach to provide a strong foundation in basic biomedical science and the freedom to explore diverse research opportunities (for curriculum, see Appendix A). During the first year of study, all traditional doctoral students enroll in the Core Graduate Program in Biomedical Sciences (see pages 4-6). Upon successful completion of the first-year curriculum, students petition to enter the department under the guidance of a chosen mentor. If accepted, these students complete formal training in pharmacology and physiology (see pages 6-9), successfully defend a preliminary qualifying examination (see pages 9-12) and undertake a research project leading to a doctoral dissertation(see pages 12-13). Students with advanced standing enter the department as second year students (see page 6) and pursue an individualized training program based on their previous experience and accomplishments that may include elements of the first-year curriculum. In the case of students with advanced standing, the dissertation research project cannot include or consist of experiments conducted prior to admission into the Pharmacology and Physiology doctoral program.

Financial Commitment. Graduate Research Assistantships are subject to the rules outlined in the *Policies and Procedures Manual for Graduate Assistants and Fellows* (link, or see Appendix B; see also link). Financial support for assistantships in Years 1 and 2 is provided and administered by the Core Graduate Program in Biomedical Sciences. Financial support for assistantships in Years 3-5 is guaranteed by the Department of Pharmacology and Physiology. Financial support for assistantships for students who take longer than five years to complete their training is not guaranteed but will be considered on a case by case basis; in this instance, the dissertation mentor is the preferred funding source. In all cases and years, the dissertation mentor is the primary source of funding for laboratory supplies and other expenses incurred during the course of the doctoral dissertation project.

SECTION 1. CORE GRADUATE PROGRAM IN BIOMEDICAL SCIENCES

Overview. The Core Graduate Program in Biomedical Sciences was established by the Departments of Biochemistry and Molecular Biology, Molecular Microbiology and Immunology, Pathology, and Pharmacology and Physiology. The program is directed by Dr. Willis K. Samson (Caroline Building Room 207A; phone, 314-977-8678; email (willis.samson@health.slu.edu). The objectives of this program are to provide students with a broad foundation in basic biomedical science. At the same time, the program provides a diverse range of research experiences designed to help students identify potential dissertation projects. The one-year curriculum combines lectures, small groups discussion sessions, and seminars, and runs from August of the first year to July of the second year. The first-year curriculum consists of: BBSG-5010, 5020, 5030, 5040, 5110, 5920, and 5970; BCHM-6280; ORES-5200; and an online course in ethics for research scientists (see pages 4-6).

Basic Biomedical Sciences I & II (BBSG-5010, BBSG-5030). These are five-credit courses that meet on Monday, Tuesday, Wednesday, Thursday and Friday from 9:00 - 10:00 am. They are designed to give all students a strong foundation in the basic biomedical sciences including biochemistry, cell biology, genetics, immunology, molecular biology, neurobiology, pathology, pharmacology and physiology. The course is divided into 16 units representing 16 major topic areas in the biomedical sciences, taught by faculty drawn from all biomedical graduate programs.

BBSG-5010 Basic Biomedical Sciences I. *Prerequisites*: Admission into the common first-year biomedical sciences graduate program, or permission of the Course Director. Offered annually in the fall term, this intensive, multi-disciplinary lecture course is taught by faculty from all four biomedical research programs of the Medical School. The lecture topics include: macromolecular structure, shape and information; DNA, RNA and protein synthesis; genetics and control of gene expression; membranes and intracellular organelles; pathways and control of carbohydrate metabolism, development and immunology. BBSG-5020 is co-requisite.

BBSG-5030 Basic Biomedical Sciences II. *Prerequisites*: Successful completion of BBSG-5010, or permission of the Course Director. Offered annually in the spring term as a continuation of BBSG-5010, the course topics include cell biology, cell signaling, cancer, neurosciences, systems biology, endocrinology, metabolism, and virology. BBSG-5040 is co-requisite.

Grading policy. Students are advised to consult the guidelines of the Graduate Program in Biomedical Sciences for a complete description of the grading policy (link). A short synopsis is presented here.

Section Directors report the letter grade assigned to each student for that section, determined by the consensus of all faculty who taught in the section. Graduate School descriptors are used to assign letter grades. These descriptors are:

A: outstanding comprehension of the material and/or ability to communicate that knowledge
A-: excellent comprehension of the material and/or ability to communicate that knowledge, some deficiencies in expression of knowledge
B+: good comprehension and acceptable communication knowledge base
B: adequate comprehension with some deficiencies in either knowledge base or communication
B-: acceptable comprehension with deficiencies in either knowledge base or communication
C: minimally acceptable comprehension and communication abilities
F: unacceptable demonstration of comprehension and/or communication of knowledge base

- **“A” 4.0**
- **“A-” 3.7**
- **“B+” 3.3**
- **“B” 3.0**
- **“B -” 2.7**
- **“C” 2.0**
- **“F” 0.0**

Course repeats are not allowed. In the event a student must withdraw for personal reasons, a decision will be made on a case-by-case basis whether to allow the student to re-enroll during the following academic year. The decision to allow a student to re-enroll does not guarantee financial support for that enrollment.

Students must maintain a cumulative GPA of minimally 3.0. Failure to earn at least a 3.0 GPA during the Fall Semester will result in the student being placed on academic probation for the Spring Semester, which may or may not result in loss of the student stipend. The cumulative GPA after Fall and Spring Semesters must be >3.00. Students earning a GPA below that cut-off will be dismissed from the Program. If the GPA after the Fall Semester is so low that even a Spring GPA of 4.0 would not raise the cumulative GPA to above 3.00, the student will be dismissed after the Fall Semester.

Appeals: Students wishing to appeal a given grade must notify the Director of Graduate Programs in the Biomedical Sciences no later than three business days following posting of the grade(s). The Director will form an ad hoc committee of graduate faculty involved in the delivery of the course in question and at least one other graduate faculty member not involved in the course. They will review the appeal and recommend a final decision to the Director, who will make the final decision.

In the case of students wishing to pursue an additional level of appeal, the case will be taken to the Associate Provost for Academic Affairs who will review the file to determine if the process was followed. The Associate Provost does not overturn a decision, but may send the case back to the college, school, or center if process was not followed.

Special Topics in Biomedical Sciences (BBSG-5020, BBSG-5040). These are four-credit courses that meet on Tuesdays and Thursdays at 10:00 am - 12:00 pm. The objective of each course is to engage students in a variety of exercises designed to supplement and enhance the knowledge gained in the co-requisite lecture course. The class is divided into discussion groups comprised of a few students and a faculty member. Although the format for each session can vary, extensive student participation in activities such as problem solving, laboratory exercises, and discussion of primary literature is expected.

BBSG-5020 Special Topics in Basic Biomedical Sciences I. Offered annually in the Fall term, the course involves participation in small group exercises involving problem solving and critical analysis of the current scientific literature. The special topics are selected to coordinate with the lecture topics in the co-requisite course BBSG-501.

BBSG-5040 Special Topics in Basic Biomedical Sciences II. Offered annually in the Spring term, the course involves participation in small group exercises involving problem solving and critical analysis of current scientific literature in selected special topics, as related to the lecture topics in the co-requisite course BBSG-503.

Ethics for Research Scientists (BBSG-5100). This course is a requirement for all pre- and postdoctoral fellows. This course consists of 14 modules that cover seven content areas (research misconduct, data and management, responsible authorship, peer review, mentoring, conflicts of interest and collaborations). After an introduction to each module, the student reviews additional material including

case studies and completes a quiz. When all 14 modules are successfully completed, the web-based program generates a certificate of completion. The Director of the Core Graduate Program (Dr. Willis Samson) collects copies of the certificates to ensure student compliance.

Introduction to Basic Biomedical Research (BBSG-5970). This is a two-semester, two-credit course consisting of two six-seven, week rotations per semester. Students are expected to work Monday through Friday for at least 20 hours per week. The primary objective is to expose students to research opportunities across departments with the goal of identifying a dissertation mentor and research project. Students rotate through **four** different laboratories, in a minimum of **two** different graduate programs. Students are evaluated by their research mentors who submit a grade at the end of each rotation. Selection of a dissertation mentor occurs at the end of the Spring term after all rotations are complete. Research rotations in the summer prior to the beginning of their first Fall term at the University are available on a limited basis. An additional rotation is allowed in the unusual event that a student is unable to select a mentor after their initial round of rotations.

Basic Biomedical Science Colloquium (BBSG-5920). This is a two-semester, one-credit course meeting one hour per week on Wednesdays at 12:00 pm. The goal is to teach effective methods of critical data analysis and formal scientific presentation, and to foster the spirit of scientific exchange.

Fall Semester. Second-year Core students and postdoctoral fellows make 50-minute journal club-style research presentations (not of their own research) to provide good example of effective research presentations. Core Graduate Students are required to attend all sessions and participate in a special 15-minute discussion at the end of each session. The final grade is based on participation in discussions.

Spring Semester. First-year Core Students critically review and present a paper from the current scientific literature. Further, they are required to attend all student colloquia. The final grade is based on presentation quality, as evaluated by attending faculty, and on participation in the discussion sessions.

Introduction to Statistics (ORES-5200). This is a one-semester, three-credit course given in the Summer semester. It surveys of most appropriate statistical tests for the analysis of bench research-based data sets. Both parametric (including correlations, tests of robustness. Power analysis, and multifactorial analysis) and non-parametric tests will be demonstrated with real data sets submitted by biomedical researchers in the School of Medicine.

Bioinformatics (BCHM-6280). This is a 2-credit, 1 semester course offered every summer. The course introduces students to the use of publicly available databases and tools to support bioinformatics analyses of high-throughput experiments. The major goals of the course are to understand how next-generation sequencing technologies are used in biomedical research; learn how to use publicly available databases/websites to find specific information about gene lists; learn how to analyze gene lists to form hypotheses that can be tested experimentally and use that information to practice writing results as they would be formatted for a research manuscript.

SECTION 2. THE DOCTORAL PROGRAM IN PHARMACOLOGY AND PHYSIOLOGY

Entry into the Program. The Department of Pharmacology and Physiology admits traditional, non-traditional, and M.D./Ph.D. students. In all cases, the requirements for entry are: (1) selection of a dissertation research advisor from amongst the Pharmacology and Physiology faculty (see below concerning faculty with secondary appointments); (2) written acknowledgement by the student and advisor of the expectations and responsibilities required by the Department of Pharmacology and Physiology (see page 6); and (3) written permission of the Chair (Daniela Salvemini, Ph.D.). Additional

requirements for each group are:

Traditional Students. Traditional doctoral students are admitted to the department after successfully completing the Fall and Spring Semesters in the Core Graduate Program in Biomedical Sciences with a grade point average of "B" or better (3.0 on a 4-point scale) in the Core Curriculum.

Non-traditional Students. Non-traditional students enter the program at the discretion of the Graduate Steering Committee and the Chair of the department. They must have completed an advanced degree (Master or Doctoral) in a relevant discipline, while maintaining a GPA of "B" or better.

M.D./Ph.D. Students. M.D./Ph.D. students enter the program at the discretion of the Chair of the department after successful completion of the first two years of the medical school curriculum.

Overview of the Program. The following description describes the program followed by traditional students entering through the Core Program. M.D./Ph.D. (see pages 16-17) students follow modified schedules. Depending upon their qualifications, non-traditional students may follow a modified curriculum approved by the Graduate Committee, otherwise they will follow the program outlined below.

After successfully completing the one-year Core Graduate Program in Biomedical Sciences curriculum, students in good standing (GPA of 3.0 or above) may elect to complete their Ph.D. studies in the Graduate Program in Pharmacology and Physiology. Students who enter the doctoral program take an additional six credit hours in advanced coursework (PPY-5110, -5120, -5130 and -5140), and attend weekly seminar (PPY-6800) and journal club (PPY-6900) presentations. After completing the required coursework, the students assemble a Preliminary Proposal Defense Committee, write their Preliminary Examination Proposal, and defend it before the end of February of their second year in the department (see pages 10-12).

At the same time, students begin research on their dissertation project under the direction of their faculty advisor. After successfully defending their preliminary examination, students select a Dissertation Committee who oversees their research efforts until graduation (see pages 12-13). Students are required to meet with their dissertation committee at least twice per year. Continued participation in weekly departmental Journal Club and Seminars is also required, as is participation as teachers in the undergraduate course *Drugs We Use and Abuse* (BLA-2930) (see page 13); students who are verified to graduate in the upcoming semester are not required to register for PPY-6800 or PPY-6900. Students are expected to complete their dissertation work, including the oral defense of the written document, by the end of their fifth year (fourth year in Pharmacology and Physiology). Students must present a public seminar on their work upon successful defense of their dissertation.

Introduction to Pharmacology (PPY-5110) This is a five week, one-credit course that meets during August-September of the Fall semester. Its two-hour lecture blocks cover the topics of: binding theory; concepts of ligand efficacy and potency; partial agonists and antagonists; allosteric modulators; quantitative pharmacology (technology & statistical tools); biotransformation; drug pharmacokinetics; basic principles of medicinal chemistry; and structure/function relationships in drug design. In class time includes two sessions of problem-based practice and review; two in-class exams comprise the final course grade.

Systems Physiology and Pharmacology (PPY-5120). This two-credit course meets during September-December of the Fall semester. Its two-hour lecture blocks include the neuroscience subcategories of: neuroanatomy & development; basic neurophysiology; sensory systems; motor systems; neuropharmacology; and integrative neurobiology. The course then continues with dedicated lecture blocks on the autonomic nervous system, cardiovascular, renal, hematological, and respiratory systems. Four in-class exams are weighted by content exposures and comprise the final course grade.

Systems Physiology and Pharmacology (PPY-5130). This three-credit course meets during January-March of the spring semester. Its two-hour lecture blocks include dedicated sections on the gastrointestinal, metabolism, and endocrine systems, followed by a series of integrated systems topics including: energy balance/diabetes/obesity; hypertension and heart failure; hemorrhagic, neural, and septic shock; inflammation, infection, and antibiotics; asthma and COPD; exercise and high altitude; neurological and psychiatric disorders; cancer biology and conventional/immuno/targeted therapeutics; and personalized medicine. Three in-class exams are weighted by content exposures and comprise the final course grade.

Constructing Grant Applications in Pharmacology and Physiology (PPY-5140). This one-credit course meets during May-July of the spring and summer semesters. Its lecture and in-class mentored student activities cover the topics of: funding agencies and programs; developing and editing a proposal's Specific Aims; drafting and revising a proposal's Significance section; identifying a project's elements of Innovations; developing and revising a proposal's Research Design; completing a proposal's complementary elements of statistics, alternative outcomes, animal care/biohazard sections, etc. Students work both in class and on their own to finalize a final proposal that conforms to NIH guidelines with respect to length, sequence, and supporting documents. The final course grade is based upon class participation, construction of a grant proposal, and participation in a mock study section.

Pharmacology and Physiology Weekly Seminar (PPY-6800). This course meets weekly during the Fall (one-credit hour) and Spring (zero-credit hour) semesters. Research seminars are presented by faculty and investigators from other departments of the University, or by guest speakers from other institutions. Roundtable lunch-time discussions with students and the speaker are regularly scheduled.

Pharmacology and Physiology Journal Club/Colloquia (PPY-6900). This course is scheduled weekly during the Fall (one-credit hour) and Spring (zero-credit hour) semesters. It consists of weekly journal club presentations at which students discuss recent research findings and papers from the literature. Each student is required to present one journal club per year. The objectives, format and evaluation procedures are similar to those already described above for BBSG-5970 and -5980. The results of the faculty evaluation forms are discussed with each student individually by the Journal Club course director.

Grading Policy and Remediation. Course grades are awarded at the discretion of the course director. Below is a general outline of departmental policies.

PPYG-5110, 5120, 5130, and 5140. Section Directors report the letter grade assigned to each student determined by the consensus of all faculty who taught in the section.

≥ 95.0% = **A+** (an honorific grade, not affecting GPA calculations)
≥ 90.0% = **A**
≥ 85.0% = **A-**
≥ 80.0% = **B**
≥ 75.0% = **B-**
≥ 70.0%, < 75.0% = incomplete.
Remediation is permitted during first week of January (PPY-5110, PPY-5120), or by the second week of May (PPY-513). Re-testing will focus on specific deficient areas as identified by the teaching faculty. Students who successfully remediate will be assigned a final grade of **B-**. Students who fail this remediation will be assigned a final grade of **F**.
< 70.0% = **F**. No remediation is permitted in that semester. Failing students must re-take the course at the next available opportunity. Students who fail on a course may enroll

in any subsequent courses in the series for that academic year, but they must pass all four courses before advancing to the preliminary examination for advancement to doctoral candidacy. Students who receive a grade of "F" in more than one course face dismissal from the program. These students will meet with the Graduate Steering Committee who will take any extenuating circumstances under consideration in their final recommendation to the Chair. After considering the circumstances, the Chair decides the fate of the student.

PPYG-6800. Student grades are based on attendance only, with a sign-up sheet outside the door of the lecture hall. Students are allowed to miss two lectures, after which a grade point is subtracted for each lecture missed. Missing five or more seminars results in a failing grade of D. Final letter grades are assigned by the course director using the following scale:

≤2 missed seminars =	**A**
3 missed seminars =	**B**
4 missed seminars =	**C**
≥5 missed seminars =	**D**

PPYG-6900. Students are graded based on attendance and presentation quality. Faculty are asked to complete a presentation evaluation sheet for each journal club presentation, using scores that range from "1" for unacceptable to "4.25" for outstanding. The values for all categories are then averaged. An attendance score of 3.75 is given for perfect attendance. Class participation is graded in 0.025 increments, and unexcused absences result in 0.25 deductions. Final letter grades are assigned by the course director using the following scale:

4.0 and above =	**A+**
3.85-3.99 =	**A**
3.75-3.84 =	**A-**
3.5-3.74 =	**B+**
3.0-3.49 =	**B**
2.75-2.99 =	**B-**
2.0-2.74 =	**C**
0-1.99 =	**D**

Responsible Conduct of Research. Training in the responsible conduct of research is required of all Ph.D. students at Saint Louis University and by the National Institutes of Health (link). Training takes place in four phases and consists of the following activities:

Phase 1. Phase 1 is BBSG-5100, Ethics for Research Scientists (see page 5). All students are required to complete the course by the end of their first year in the Core Program.

Phase 2. Saint Louis University policy requires completion of the RCR online modules through the Collaborative Institutional Training Initiative (CITI program) (see link). You will be required to register if new to the site. Further, SLU requires a minimum of eight hours of face-to-face RCR training, consistent with NIH and NSF requirements. All required training must be completed prior to the end of the third year of graduate training. Early completion is encouraged. In order to meet the in-person requirement, Saint Louis University provides a series of two-hour topic focused workshops throughout the year for individuals to attend. Attending a minimum of four workshops will attain compliance with the eight-hour requirement for that person. Although this is a not-for-credit class, attendance at all of the presentations is mandatory. For further information regarding departmental RCR requirements, please conduct Andrew Butler, Ph.D. (andrew.butler@health.slu.edu).

Phase 3. Phase 3 occurs in the setting of the laboratory group responsible for the student's dissertation project. consists of discussion of topics pertinent to the Responsible Conduct of Research by individual training faculty in their laboratory meetings. In addition, advanced students (years 3-5 of their training program) are required to participate in 1-2 small group case discussions designed for 2nd year graduate students (Phase 2) discussed above. Documentation that appropriate topics have been covered in these lab meetings will be provided by students during their biannual meeting with the graduate committee.

Phase 4. All trainees who have not finished requirements for the Ph.D. in four years after they complete the Phase 2 course must participate in a Refresher Course on the Responsible Conduct of Research (RCR). The Refresher requires participation in the Responsible Conduct of Research workshops sponsored by the Office of the Vice President for Research and Office of Compliance of the Saint Louis University . Workshops are held throughout the Fall and Spring semesters. Each workshop will cover at least one of the major topics in RCR and count two hours for the eight hours of face-to-face training required by the NSF/NIH workshop consist of a panel of faculty and/or staff members representing different disciplines and areas of expertise on the topic.

SECTION 3. PRELIMINARY EXAMINATION FOR ADVANCEMENT TO DOCTORAL CANDIDACY.

Overview of the Preliminary Examination. Each traditional student in the Department of Pharmacology and Physiology must successfully complete before the end of February of their second year in the department a written and oral examination in order to continue in the Ph.D. program and advance to doctoral candidacy. The Preliminary Examination has three components. The first component is a 1-page written proposal that is equivalent to the Specific Aims page of an NIH grant. The second component is a longer written proposal that follows the guidelines for the research proposal section of an NIH R21 grant application. This includes background, any preliminary data including that found in the literature, and experimental design of proposed experiments. The third component is an oral examination/defense of the written proposal. The proposal may be based on either the student's expected dissertation research project or a topic of research that is totally independent and unrelated to that of the dissertation.

All M.D./Ph.D. students and students entering the program with advanced standing must successfully defend the Preliminary Examination within the timeframe described for traditional students. M.D./Ph.D. students must defend by the end of their first year in the department. Non-traditional students must defend within one year of completing coursework requirements.

Students are referred to Sections 1 and 2 of Appendix C (or see link), *Process for Students Pursuing a Doctor of Philosophy Saint Louis University,* for discussion of the University process for students pursuing a Ph.D. at Saint Louis University and a discussion of the written and oral preliminary examinations.

Purpose of the Preliminary Examination. The goal of the preliminary examination is to assess the ability of the graduate student to formulate a hypothesis and to design an experimental approach. The written examination tests the student's ability to think independently and survey the appropriate literature, and to probe the student's knowledge in research areas considered essential for understanding the chosen research topic. The oral examination is meant to provide the student with an opportunity to present and discuss the written proposal, and to demonstrate how the proposed experiments fit within the context of pharmacological and physiological science. The oral examination is not a comprehensive examination designed to test all information that the student has been exposed to throughout the graduate-level coursework, but rather is restricted to information that is pertinent to their preliminary proposal.

Formulation of the Preliminary Examination Committee. The Preliminary Examination Committee is assembled in two stages. First, two members of the departmental Standing Preliminary Committee (Dr. Colin Flaveny, Chair, colin.flaveny@health.slu.edu) and the dissertation mentor form a three-person *ad hoc* committee that reviews a one-page "Specific Aims" summary of the research proposal supplied by the student. One of the two members of the Standing Committee serves as chairperson (see below). If the mentor is a member of the Standing Committee, then an additional member of the Standing Committee is recruited (i.e. the committee must contain two independent members of the Standing Committee). All members of the committee must have Graduate Faculty Status. After the *ad hoc* committee accepts the written short proposal, the student's final preliminary examination committee is formed by the addition of two departmental faculty members. Identify appropriate faculty is the responsibility of the student in consultation with his/her faculty mentor.

Timeline of Preliminary Examination and Deadlines. In the case of traditional and non-traditional students, the preliminary examination occurs after completion of the second year of the required course work. The deadline for an accepted version of the written 7-page proposal by the expanded committee is February 1st of the graduate student's third year. The oral defense must occur by February 28th of the same year.

Components of the Preliminary Examination. The **first component** of the preliminary examination is a one-page Specific Aims component that describes the project in enough detail so that the initial three-person preliminary committee can judge the scientific merit and feasibility of the plan. Upon approval of the Specific Aims, the committee expands by addition of two departmental faculty mentors with expertise relevant to the research project. Then, the student has four weeks to complete the **second component** of the examination which is a 6-page Research Plan that resembles the research plan of an NIH R21-type application. The bibliography and title page do not affect page limits. The subject of the proposal is open and does not have to involve a current research project in the laboratory. Preliminary data are not required of the student. However, the student is allowed to include data available from other sources (i.e., previous experiments from the mentor's laboratory that impact the proposal), or data gathered from the literature. Students are encouraged to present their ideas in a clear and concise manner and with proper grammar, spelling, and punctuation, as would be required if the proposal was to be reviewed by a regular NIH study section.

After receiving the full proposal, the 5-person Preliminary Examination Committee has one week to review the document after which they meet to decide if the document is acceptable and to plan the oral portion of the exam. The final date for the defense is no more than two weeks after the Preliminary Examination Committee approves the full 7-page (1 page of Specific Aims and 6 pages of Research Plan. If the committee decides that the written document is not acceptable, the student is required to meet with all committee members, as a group or individually, so that clear understanding of the deficiencies in the written proposal is reached. The student is then given additional 30 days to correct the deficiencies and submit an acceptable written proposal. Failure to submit an acceptable proposal after two attempts is grounds for dismissal. This step must be passed before the oral defense can be scheduled.

The **third component** of the preliminary examination is the oral defense of the written long proposal. The oral examination occurs with 2 weeks of submitting an acceptable written proposal; the oral examination must not be scheduled before the written proposal is approved by all members of the Preliminary Examination Committee.

The purpose of the oral exam is to provide the student with an opportunity to present and discuss the written proposal, and to demonstrate how the proposed experiments fit within the larger context of pharmacology and physiology. In terms of methodology, the student will be examined on content of the proposal. For example, with regard to breadth of the examination: if the proposal discusses a topic

such as catecholamines, the questions during the oral examination may relate to broader context and general knowledge of catecholamines that include synthesis, degradation, and release of this particular transmitter family. The oral exam is a test of the student's understanding of how the hypothesized questions, aims and experimental design fit within the context of the scientific field. It is not a comprehensive examination of everything covered in general classes. The date of the oral presentation should not be scheduled until the written proposal is fully approved by the examination committee.

The oral examination**/**defense begins with a 15-20 min presentation by the student in which key points of the written proposal are reviewed. It is not an all-inclusive presentation of the long proposal. The presentation should include discussion of: (1) the background, to establish relevance and to place the project within historical context; (2) the hypotheses; (3) the major elements of the experimental design; and (4) preliminary data, if available from previous work in the laboratory or from the literature. It is not expected that the student will have personally generated any preliminary data in order to write or present the preliminary exam. The oral presentation sets the stage for the questions that follow from the committee members. These questions will seek to clarify or expand on points made in the written or oral presentations of the proposal and to test the student's ability to place the research proposal in context of the larger scientific picture with specific emphasis on current knowledge in pharmacology and physiology. Further, students are expected to have a thorough understanding of the background of the project and the relevant literature. Successful completion of the oral defense is determined by a vote of the members of the Preliminary Examination Committee. If the student fails the oral examination, then the Director of Graduate Programs in the Biomedical Sciences, Dr. Willis K. Samson (willis.samson@health.slu.edu), may authorize a second attempt. In the case of a second examination, the Department of Graduate Education appoints an outside member (SLU faculty from another department) to ensure a fair re-examination. The second attempt cannot be scheduled with the same academic term as the first.

SECTION 4. ADVANCEMENT TO DOCTORAL CANDIDACY STATUS

Upon successful completion of the written and oral examinations, the Doctoral Candidacy Advisor submits the Doctoral Oral Examination Form (Appendix D; see also link) by email to Dr. Christine F. Harper (christine.harper@slu.edu), Doctoral Candidacy Specialist, Office of Graduate Education, DuBourg Hall, Room 420D (phone: 314-977-2243). Receipt of this form by the Graduate Education Office automatically advances the student to doctoral candidate status. Students are required to be enrolled in at least one hour of dissertation credit upon achieving doctoral candidacy status until completion of required credits (see "Advancement to Candidacy: Research Phase", see link).

SECTION 5. DISSERTATION COMMITTEE AND DEFENSE OF THE DOCTORAL DISSERTATION.

Students are referred to Sections 3-7 of Appendix B (or see link) for discussion of the University requirements for students pursuing a Ph.D. at Saint Louis University that includes a discussion of the written and oral dissertation examinations. Included in Appendix B are descriptions of the written requirements for successful completion of the doctoral candidacy; students are encouraged to strictly adhere to the guidelines presented there, including timely completion of the Degree Audit form, on-line application for degree through the Banner System, and the Notification of Readiness for the Public Oral Defense form.

Formulation of the Dissertation Committee.
The chair of a Doctoral Committee must be from the student's program and a member of the current Saint Louis University faculty. The committee for the dissertation defense may have a minimum of three

members and 50% of members must be SLU faculty. All committee members must hold Graduate Faculty status. A non-Saint Louis University faculty member or someone outside of the major field may serve as co-chair of a student's Doctoral Committee. In order for a non-Saint Louis University faculty member to serve on a Doctoral committee, the person must have a terminal degree in the field and/or have significant expertise or experience of particular relevance to students' dissertation. Non-SLU committee members (or SLU faculty without Graduate Faculty status) must be approved to serve on an ad hoc basis by the associate dean or director of the college, school, or center. Approvals may be made upon written request by the dissertation committee chair. The request should include a brief rationale for the member's service and the proposed member's CV. In Pharm/Phys case please send this to Willis K. Samson, Ph.D., Director of Graduate Programs in the Biomedical Sciences (willis.samson@health.slu.edu).

NOTE: Only **full time SLU faculty qualify for Graduate Faculty Status**. Dr. Samson's office grants permission for non-SLU faculty to be outside members of dissertation committees. They may sit on the committee, but not chair it. They cannot vote; rather, they are there for advice and mentoring.

The Dissertation Committee. The first meeting of the Dissertation Committee occurs within six months of passing the preliminary examination and before the end of the student's third graduate year. The primary purpose of the first meeting is to provide an outline the proposed project to the Dissertation Committee, including discussion of experimental aims, methodology, and expected outcomes. Preliminary data is not required but encouraged.

Committee Meetings. Doctoral candidates are required to meet with their Dissertation Committee at least twice a year. The charge of the Dissertation Committee is to approve, advise, and evaluate research progress, and recommend suitability for submission of the written document for oral defense.

Grading. Students must complete 16 credit hours of PPY-6990 (Dissertation Research) to be eligible to graduate. Grades of IP (i.e. "In Progress") are assigned during semesters leading up to the dissertation defense. A final grade of "S" (i.e. "Satisfactory") is then awarded during the semester that the dissertation is successfully defended. The written dissertation must follow University guidelines set out in the manual, *Policies and Procedures for Dissertation, Project, and Dissertation Formatting* (link, or see Appendix E). Upon agreement of the committee, a dissertation readiness notice is provided to the student, mentor and Director of Graduate Studies (Appendix F; see link).

Private and Public Oral Defenses. The Dissertation Committee will meet with the candidate to conduct a private defense of the dissertation. The student will present results if available, and answer any remaining questions asked by the committee. Then, the candidate will be excused from the meeting, after which the committee will discuss their evaluations of the candidate and complete the official results form.

Following the private defense, successful candidates are required to present a public oral presentation of their dissertation work as a formal seminar. The presentation should conclude after 45 minutes, and is followed by a discussion/examination period at which time all members of the audience may examine the Ph.D. candidate. Spontaneous questions that arise during the presentation are encouraged.

If the committee requires major revisions of the dissertation following the defense, the ballot form will not be completed until every committee member is satisfied. A unanimous positive evaluation of the dissertation committee, that is, all members whose signatures appear on the Candidate's approved prospectus, is necessary for final approval of the dissertation. Should the candidate not be approved for graduation because of one negative vote from a dissertation committee member, the Candidate may appeal. The appeal process is described in the Catalog of the Graduate School.

SECTION 6. TEACHING RESPONSIBILITY.

Graduate students in the Pharmacology and Physiology Doctoral Program are required to obtain formal teaching experience by participating as lecturers in *Drugs We Use and Abuse* (PPY 1450). This 3-credit undergraduate course for non-science majors is presented each Fall Semester, and meets Monday, Wednesday and Friday mornings. The course syllabus is prepared and revised annually with each block of lectures or chapter written by its graduate student lecturer.

SECTION 7. ACADEMIC AND BEHAVIORAL STANDARDS.

Overview. Students are expected to comply with all academic coursework and research standards outlined in this document, unless specific requirements have been waived or substituted with the prior approval by their preliminary and/or dissertation committees and the departmental Graduate Steering Committee. All students are obliged to participate in regularly scheduled journal clubs, weekly seminars, teaching assignments, and departmental retreats/meetings when applicable, unless excused in advance by the faculty Directors of those events or the Graduate Advisor. Furthermore, specific students may be encouraged or required to attend training seminars, technical or grant-writing workshops, and scientific meetings, as determined by consultations with their faculty advisor, preliminary exam and dissertation committees.

At all times, students are required to maintain a grade point average of "B" or better. Students who fail to do so will be placed on probation. Probationary status lasting two consecutive academic semesters (excluding the Summer semester) is grounds for dismissal.

In keeping with the policies outlined in the *Saint Louis University Student Handbook* (link) and the *Academic Integrity Policy* (link, or see Appendix G), students are expected to comport themselves in a professionally appropriate manner when interacting with colleagues within the department and throughout the School of Medicine, as well as in broader academic settings as those arise. Such events may include but are not limited to visits and luncheons with institutional guests such as seminar speakers and special lecturers, as well as during all their interactions with undergraduate, graduate, and postdoctoral trainees. Furthermore, all students are expected to obtain and maintain institutional certifications relevant to their activities, in areas such as animal care, biosafety, human subjects, hazardous waste handling and disposal, and emergency preparedness.

Failure to comply with these standards is grounds for dismissal.

Monitoring Student Progress and Performance. During the year that students are in the Core Graduate Program in Biomedical Sciences, student progress is monitored by the Core Program Director in consultation with the Curriculum Committee and the teaching faculty. During and after the second year (first year in the Pharmacology and Physiology Training Program), student progress is monitored by the departmental Graduate Steering Committee. Progress is gauged at the end of each semester, and during annual meetings of each student with the departmental Graduate Steering Committee. The Director of Graduate Studies maintain records of student grades, journal club presentations, progress on proposals and selection of a Doctoral Candidacy Advisor. These are reviewed by the full committee at least semi-annually, and more frequently if problems arise.

The required Graduate School academic standard for all students receiving Fellowships is the maintenance of a B average (3.0 grade point average) in each academic year. A student with a grade point average below 3.0 is put on academic probation, and may lose the Fellowship if this average is not restored to 3.0 in the next semester. At the time of the oral preliminary examination, the Doctoral Candidacy Advisor reviews the progress with the rest of the student Proposition Defense Committee.

From this point on, student's progress is monitored by the Doctoral Candidacy Advisor and Dissertation Committee, which meet at least twice per year.

Individual Development Plan. All students are required to develop an Individual Career Development Plan using MyIDP (link) as soon as they complete their Preliminary Qualifying Exam. The goal is to help students and postdoctoral fellows define and pursue career goals. Progress through MyIDP is monitored by a senior faculty member (Dr. Ian De Vera; ian.devera@health.slu.edu).

Remediation of poor performance and grounds for dismissal. Students who fail to comply with the academic or behavioral standards outlined above will be required to meet with the Graduate Advisor and/or the relevant Course Director, Teaching Supervisor, or Preliminary Exam and Doctoral Defense Committee Chairperson. Issues that can result in such required meetings include but are not limited to poor classroom performance or participation, failing or substandard exam or course grades, unexcused absences, noncompliance with regulatory certification standards, and documented examples of inappropriate behavior. During a first such meeting, the infractions or other issues will be discussed with the student and minutes of the meeting taken for distribution to the trainee and mentor and other faculty members or supervisors that detail the specific remediation plan to be imposed. Follow-up meetings or other benchmarks may be imposed at that time, such as timelines to complete missed assignments, complete certification training sessions, or modify inappropriate behavior.

Depending upon the severity of the situation or the department's concerns about the student, a period of probation for up to a full semester may be imposed, so that the student can correct deficiencies or behavior. During an initial probationary period, a student's stipend will customarily not be at risk of immediate suspension. However, more serious matters including breaches of professional ethics may be brought to the full Departmental Graduate Committee for its deliberation. Students who require more than two such probationary periods during the entire course of their graduate studies will, at the discretion of the Graduate Committee and the Departmental Chair, will be informed of the intent to initiate dismissal proceedings. After informing the student, the Department will follow the formal procedure for dismissal outlined in Appendix H, Procedure for Graduate Student Dismissal, Saint Louis University School of Medicine.

Procedure for terminal Masters in Science degree. Some doctoral students fail to achieve acceptable coursework grades, advancement to candidacy, or research progress by the timelines and rubrics outlined above. Most often this can occur due to scientific and technical difficulties with a project, unresolvable issues between the student and mentor, or personal matters such as a trainee's health or support system that develop once the trainee has begun the official doctoral research studies. Whenever possible, the Department Graduate Committee and/or the Graduate Advisor will have met on several occasions with the student to recommend plans of action that facilitate continued progress in overcoming such obstacles. If such efforts by all parties fail to resolve issues that are impeding final completion of the doctoral dissertation, the Department reserves the right to recommend the awarding of a Masters in Science degree, so that the student can then move forward with other career plans.

Students are referred here, which lists the degree requirements for a Masters Degree. In the Department and Pharmacology, the student is required to have successfully completed the first (Core) and second (Departmental) year curriculum. Successful defense of the Preliminary Examination is not required. A written dissertation is also required, which must be orally defended before a committee composed of the Doctoral Candidacy Advisor and at least two other departmental faculty members with Graduate Faculty Status. The written document can be a stand-alone dissertation, or a copy of a first-authored published or in press manuscript. Successful defense of the written document is judged by the dissertation committee. Once approved, the student must apply online for graduation at: (link).

Department sponsored travel. The department will pay for one domestic trip to a science-based meeting per year. After the first year in the department, the student is expected to present his/her original work in the form of a poster or oral presentation. The student must get the approval of the chair before booking flights.

SECTION 8. SUMMARY OF CURRICULUM FOR M.D./PH.D. STUDENTS (adapted from, *A Student Guide to the M.D./Ph.D. Program*; for more information, contact Dr. Ajay Jain (ajay.jain@health.slu.edu), Director, M.D./Ph.D. program, Saint Louis University School of Medicine)

The Department of Pharmacology and Physiology provides a Ph.D. program that trains students to be independent investigators in the interrelated disciplines of physiology and pharmacology. The department also contains the Center for Neuroscience. The overall goals of the Ph.D. program are to: instill enthusiasm for discovery and the scientific process; foster critical thinking, research competence, and oral and written communication skills; and promote a commitment to lifelong scholarship. Diverse research interests of the department faculty ensure that trainees can select projects that span physiology and pharmacology from the subcellular through integrative levels. M.D./Ph.D. trainees join this graduate program with 30 credits transferred from the Phase 1 and 2 M.D. curricula toward the total of 36 credits and 12 dissertation credits required for the Ph.D. degree by the Office of Graduate Education. The remaining six coursework credits are satisfied through completion of two 1-credit required courses described below, and by regular participation in the Department's scheduled journal clubs and seminar series that are also detailed below. Journal clubs cover a broad range of subjects, as do the weekly departmental seminars that feature outstanding speakers from the U.S. and abroad.

Preliminary Examination

Every M.D./Ph.D. trainee in the Department must pass written and oral exams that are based on a research proposal written by the student as a grant application. Following a satisfactory performance in PPY-5110 and PPY-5140, the trainee develops an original proposal that complies with NIH R21 page limits (Specific Aims + six pages + bibliography). The requirements are identical to that described above for standard Ph.D. students except that the preliminary examination committee must include a Pharm/Phys faculty member who is also a member of the M.D./Ph.D. steering committee.

Dissertation Committee

Completion of the preliminary exam permits the M.D./Ph.D. trainee and mentor to assemble a Dissertation Committee and to file formal Ph.D. candidacy papers with the Graduate School. Again the requirements for this process are identical to those described above for standard departmental Ph.D. students except one member of the dissertation committee must serve on the M.D./Ph.D. steering committee (not the mentor).

Prerequisites: Successful completion of Phases 1 and 2 of the M.D. Curriculum and USMLE Step 1. M.D./Ph.D. trainees receive up to 30 graduate credits that are transferred from Phases 1 and 2 courses as listed elsewhere in this Guidebook.

Required Didactic and Participatory Department of Pharmacology and Physiology Courses during Ph.D. Training Years:

- PPY-5110 Introduction to Pharmacology and Drug Discovery
- PPY-5140 Fundamentals of Effective Grant Construction
- PPY-6800 Pharmacology and Physiology Departmental Seminar
- PPY-6900 Pharmacology and Physiology Colloquium Journal Club

PPY-5110 Introduction to Pharmacology and Drug Discovery (1 credit). Taught at the beginning of each fall semester, this 5-week course is an intensive review of: basic pharmacokinetics; receptor binding theory; assessments of efficacy and potency; full and partial drug agonists/antagonists; and new drug design and discovery. The course format includes lectures, discussions, and problem-solving assignments.

PPY-5140 Fundamentals of Effective Grant Construction (1 credit). Beginning at the end of the spring semester and extending through mid-summer, this 12-week course includes didactic lectures, one-on-one mentoring sessions, and dedicated proposal writing time, culminating in a 20 – 30 min oral presentation followed by questions and faculty critiques. The final proposal must include all main narrative sections of an NIH- formatted R01 grant application (12 pages + bibliography). Students may use a shortened revision of their PPY-5140 proposals for their Preliminary Exam for advancement to doctoral candidacy (see above).

PPY-6800 Pharmacology and Physiology Departmental Seminar (0-1 credit per semester). Selected topics in pharmacology and physiology are presented by local, national, and international guest speakers. Seminars are held at least twice monthly and
usually more often. Attendance and participation are required for all Ph.D. students for this yearlong course.

PPY-6900 Physiology and Pharmacology Colloquium Journal Club (0-1 credit per semester). Selected topics in pharmacology and physiology are discussed from the current literature in these fields. Colloquial journal clubs are held at least twice monthly and usually more often. Attendance and participation are required for all Ph.D. students.

PPY-6990 Dissertation Research (0 – 6 credits per semester).

Responsible Conduct of Research. Training in the responsible conduct of research is required of all Ph.D. students at Saint Louis University and by the National Institutes of Health. Training takes place in three phases (see page 9).

APPENDICES

SUMMARY OF CURRICULUM FOR TRADITIONAL DOCTORAL STUDENTS

YEAR 1: CORE BASIC BIOMEDICAL CURRICULUM

Fall Semester	*Credits*	*Course Titles*
BBSG-5010	5	Basic Biomedical Sciences I
BBSG-5020	4	Special Topics in Basic Biomedical Sciences I
BBSG-5970	2	Introduction to Basic Biomedical Research
BBSG-5920	1	Basic Biomedical Science Colloquium
Spring Semester	*Credits*	*Course Titles*
BBSG-5030	5	Basic Biomedical Sciences II
BBSG-5040	4	Special Topics in Basic Biomedical Sciences II
BBSG-5970	2	Introduction to Basic Biomedical Research
BBSG-5920	1	Basic Biomedical Science Colloquium
Summer Semester	*Credits*	*Course Titles*
ORES-5200	3	Introduction to Statistics
BCHM-6289	2	Bioinformatics
BBSG-5100	0	Ethics for Research Scientists

YEAR 2: DEPARTMENT OF PHARMACOLOGY AND PHYSIOLOGY

Fall Semester	*Credits*	*Course Titles*
PPYG-5110	1	Introduction to Pharmacology
PPYG-5120	2	Systems Physiology & Pharmacology I
PPYG-6800	1	Pharmacology & Physiology Journal Club
PPYG-6900	1	Pharmacology & Physiology Seminar
Spring Semester	*Credits*	*Course Titles*
PPYG-5130	2	Systems Physiology & Pharmacology II
PPYG-5130	1	Constructing Grant Applications
PPYG-6800	1	Pharmacology & Physiology Journal Club
PPYG-6900	1	Pharmacology & Physiology Seminar
(not for credit)	0	Responsible Conduct of Research
Summer Semester	*Credits*	*Course Titles*
PPYG-6990	0-6	Dissertation Research

YEARS 3-5: DEPARTMENT OF PHARMACOLOGY AND PHYSIOLOGY

Fall Semester	*Credits*	*Course Titles*
PPYG-6800	1	Pharmacology & Physiology Journal Club
PPYG-6900	1	Pharmacology & Physiology Seminar
PPYG-6990	0-6	Dissertation Research
Spring Semester	*Credits*	*Course Titles*
PPYG-6800	1	Pharmacology & Physiology Journal Club
PPYG-6900	1	Pharmacology & Physiology Seminar
PPYG-6990	0-6	Dissertation Research

Summer Semester	*Credits*	*Course Titles*
PPYG-6990	0-6	Dissertation Research

POLICIES AND PROCEDURES MANUAL FOR GRADUATE ASSISTANTS AND FELLOWS

Revised July 2017

SAINT LOUIS UNIVERSITY
Graduate Education
221 North Grand Avenue
St. Louis, Missouri 63103
http://www.slu.edu/office-of-graduate-education-home

The programs of Saint Louis University are open to all without regard to race, color, sex, age, national origin, religion, sexual orientation, disability, or veteran status. All University policies, practices and procedures are administered in a manner consistent with our Catholic Jesuit identity.

Programs and activities located in facilities not easily accessible to disabled persons will be made accessible through relocation or other means, upon request.

July 2017

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APPENDICES

Appendix A: Council of Graduate Schools Resolution Regarding Graduate Scholars, Fellows, Trainees, and Assistants

Appendix B: Completion of Tax and I-9 Paperwork

Appendix C: Regulations Governing Graduate Awards/Appointments

I. PHILOSOPHY

A University with a sound assistantship policy should be able to improve the educational experience for undergraduate and graduate students alike, as well as enhance the research potential of its graduate programs. Students, departments and the University as a whole are beneficiaries of quality graduate assistantship programs when such programs are well conceived and executed.

The primary goal of an assistantship is to augment the student's educational objectives and to assist in the prompt and successful completion of the student's degree program. The student and the department share a central responsibility in the student's education. The graduate assistant is clearly a student who, while making progress in the degree program, has special opportunities to receive experience in a profession under the supervision of a faculty mentor. Although such students serve Saint Louis University with teaching, research, and/or administrative duties, they are considered students, and not employees, of the University, and the tasks assigned to them must be clearly and justifiably consistent with the student's educational and career objectives. It is essential that graduate assistants be given assignments and supervision in such a way that their graduate studies and assistantship responsibilities reinforce one another. The assistant/mentor relationship is vital, and the best assistantship experience will evolve from careful planning and monitoring. In this way, both the students and the University benefit from the relationship.

II. CATEGORIES OF GRADUATE AWARDS

Graduate Teaching Assistantship

A teaching assistant may work with undergraduate students in small groups, lead group discussions, monitor examinations and grade papers, help to prepare lectures, conduct laboratory sessions, or can be responsible for a course as the primary instructor. Under the close supervision of the faculty, the teaching assistant concurrently develops teaching skills and a deeper understanding of the discipline.

Graduate Research Assistantship

A research assistant may be appointed in a department through the college, school, or center’s budget or by the principal investigator of a funded research project. In either case, the student is assigned a range of duties such as library searches, fieldwork, laboratory experiences, and preparation of research proposals and grants so as to gain professional skills in research which complement the student's graduate education. Again, close supervision by a faculty mentor is essential to the student's development as a researcher and scholar.

Graduate Assistantship

A graduate assistant performs other duties that are not primarily teaching or research. These may include clinical or administrative responsibilities that are inherently related to the student's education and career objectives.

Fellowships and Traineeships

Fellowships and traineeships require no service to the University, although the trainee is ordinarily required to complete some form of training experience during the appointment period. Fellows and trainees may be required to participate, as part of their overall graduate education, in the teaching and/or research activities of the department or program for the purpose of enhancing career opportunities.

Funding Sources and Types of Assistantships

Various funding sources exist for the above types of assistantships. These sources include grants, gifts, contracts, community service agencies, and the University.

III. QUALIFICATIONS OF ASSISTANTS

To qualify for an assistantship, the student should have achieved an excellent academic record and completed substantial coursework in the major field. The student must have been admitted as a Classified (degree-seeking) student in accordance with admission policies and procedures of Graduate Education. The English language proficiencies of international students must be thoroughly evaluated in relationship to the demands of the assistantship assignment prior to the start of the appointment period. All teaching assistants must demonstrate competency in spoken English through procedures established by the controlling department and the college, school or center.

IV. APPOINTMENT PROCEDURES

Applicants must have been admitted into Classified status, and students admitted in any other status will not be considered for University funded assistantships. To qualify for an assistantship, the student should have achieved an excellent academic record and completed substantial coursework in the major field.

Appointments of graduate assistants will be made by the dean or director of the college, school, or center upon the recommendation of the department or program. Following the dean's/director's approval of the departmental recommendation, a contract is prepared and an offer of the assistantship is made to the applicant. Offers of assistantships, fellowships and traineeships to prospective students and resignations/releases from appointments must conform to the established procedures of the Council of Graduate Schools (see Appendix A). Also included is information for the completion of the W-4 and I-9 forms (see Appendix B). ***It is the student's responsibility to see that these forms are completed prior to the start date of the appointment.*** By Internal Revenue Service regulations, Human Resources cannot enter the assignment into the University's payroll system until these forms have been completed by the student.

After the graduate student has returned the signed contract to the college, school, or center, the department or program will be notified of the student's acceptance of the award. The department

chairperson should provide the graduate assistant with a copy of the department's assistantship handbook, which may be a supplement to this manual. The department's supplement should include any specific departmental policies governing graduate assistants. The supplemental manual is required for University Funded assistantships (UFA) and is suggested for externally funded assistantships. The new assistant should be notified of orientation meetings and other training opportunities as soon as they are scheduled.

All graduate assistants and fellows are required to have tax forms, an I-9 form, and a Human Resource Information form on file in Human Resources. New appointees are required to complete these forms within 72 hours of the start of the contract. Failure to meet this deadline in completing these forms will delay issuance of the first stipend check. Appointees who have been paid by the University within that last year are not required to complete forms again.

V. LENGTH OF APPOINTMENT

University Funded Assistantships (UFA) typically range from nine to twelve months. Nine-month appointments would generally correspond to thirty-six (36) weeks of service (9 monthly pay periods). Eleven-month appointments would generally correspond to forty-eight (48) weeks of service (11 monthly pay periods). In general, the start and end dates of all UFA appointments should correspond with the University's fiscal year, July 1 to June 30. Because the University's Human Resources System necessitates that assistants and fellows are paid monthly, the student's actual service commitment to the department may vary slightly from the payroll dates. For example, a nine-month graduate assistant's payroll start date is typically August 1, prior to the date classes actually begin. The payroll end date is typically April 30, prior to the end of the Spring semester. In such cases, it is clear that the assistant's responsibilities correspond to the academic calendar and the appointment dates on the contract rather than to the demands of the payroll system.

Some graduate assistantship appointments receive their funding from external sources (i.e., Federal grants, community agencies) although the student is paid through the University's payroll system. These appointments will generally carry appointment periods reflecting the funding period of the external source. For example, a student on an assistantship funded by an Office of Education grant might have an appointment for the period September 1 through August 30.

VI. GOOD ACADEMIC STANDING

Assistants are expected to maintain a cumulative grade-point average of 3.0 during the academic year of appointment. If the student's GPA falls below a 3.0 during any portion of the academic year, the student can be terminated by the department from the assistantship during that academic year.

VII. ACADEMIC INTEGRITY AND ETHICS

The University is a community of learning, and its effectiveness requires an environment of mutual trust and integrity. Any clear violation of academic integrity will be met with sanctions.

Ethical behavior must also extend beyond the academic setting and into professional life. Most major fields require their graduate students to complete an ethics requirement within the curriculum. Coursework or other training in ethics in research is required of academic personnel involved in traineeship and investigative programs funded by a number of Federal and other agencies.

For further information on academic integrity and ethics, please refer to the current ***Saint Louis University Graduate Education Catalog.***

VIII. CONDITIONS OF APPOINTMENT AND REAPPOINTMENT

Graduate assistants who are performing satisfactorily in their studies and assistantship duties are eligible to continue their appointment from semester to semester. Should a student fail to perform satisfactorily the department is responsible for providing the student with a description of the responsibilities and expectations associated with his/her assistantship, including GPA requirements, details regarding the student's assistantship performance, and the consequences of that performance prior to terminating the assistantship during the academic year.

Graduate assistants who are performing satisfactorily in their studies and duties are eligible for annual re-appointments to the maximum time limit at the discretion of the department/program. Academic and professional performance and progress are measured by the following criteria: (1) grade-point average (both cumulative and over the past academic year) of at least 3.0; (2) student academic record with not more than one incomplete or missing grade [the grade of IP does not count as an Incomplete]; (3) report of the academic advisor; (4) formal evaluation by the faculty mentor; (5) length of time holding the assistantship; and, (6) length of time in the degree program.

Assistantship Extensions

Normally, the maximum number of years that a graduate student may hold an assistantship is two years while pursuing a Master's degree and five years in a Doctoral program. In the case of a student pursuing the Master's and Doctoral degree in the same major field, eligibility for funding is also normally limited to five years. A third year of funding for the Master's (thesis option only) or a sixth year for the Doctoral degree is possible provided funding through the department in question is available and the criteria established by the respective school/college are met. The appeal should be made during the spring semester of the second year of funding for the Master's or of the fifth year for the Doctorate to the Associate Dean for Graduate Education or the equivalent administrator of the particular school/college. No additional funding will be provided to implement.

If the department has a rotational plan for assistantships, graduate assistants may not necessarily be re-appointed. It is important that the student be notified of this fact at the time of the original appointment.

Graduate assistants are strongly encouraged to engage in discussion with the department chair and/or departmental assistantship coordinator regarding the re-appointment process. Departments are notified during the month of March regarding their assistantship pool for the following fiscal year. Departments are encouraged to begin recommending students for re-appointment at that time.

VIX. BENEFITS FOR ASSISTANTS

Since graduate assistants are not employees of the University, they enjoy all the rights and privileges of other graduate students. The privileges and benefits of assistantships are variable across the University. In general, graduate assistants enjoy extended library-loan privileges and can renew the checkout over the telephone. They will not be assessed any fees which are commonly charged to University staff members, such as membership fees in the Simon Recreation Center.

Tuition Scholarship

In general, graduate assistants will receive a stipend and a tuition scholarship. Tuition scholarship hours awarded in conjunction with a graduate assistantship or fellowship cannot be moved from one semester to another without the written approval of the department chair or program director and the dean or director of their college, school or center. Tuition scholarship hours cannot be transferred from one fiscal year to the next. Unused scholarship hours will not be reimbursed as a cash award to the student.

Scholarship hours awarded in conjunction with a graduate appointment can only be utilized during the period of appointment. For example, a student awarded an assistantship for Fall and Spring cannot use the accompanying tuition scholarship during the Summer Session prior to or following the award period.

Tuition scholarship hours can only be used for tuition charges. It cannot be used to pay for other fees (i.e., graduation fee, registration fee, etc.).

Please Note: Beginning in Fall 2004, "0" credit hour registrations for 599 or 699 will not be allowed until the student has successfully completed six hours of 599 or 12 hours of 699. This means that students can begin to register for thesis and dissertation hours when they begin their research, even if prior to the formal examination. Students should **not** register for more dissertation hours than required to fulfill degree requirements.

In order to utilize tuition scholarship hours within a semester, hours must be added by mid-term during the semester. Scholarship hours not used by mid-term will be forfeited for that semester. Students adding hours during the semester will be subject to the change of registration fee if applicable.

Under special conditions it is sometimes possible to transfer tuition scholarship hours from one semester to another *during the assistantship/fellowship period.* For example, if a student is registered for six hours during the Fall semester but must register for twelve hours during the Spring semester and is on a graduate appointment during the period, the student may petition to transfer three hours from Fall to Spring. *Any transfer of tuition scholarship hours must be requested in writing and must be approved by their dean or director.*

Health Insurance

Students assigned to University Funded Assistantships (UFA) may receive health insurance benefits during their contract period at the discretion of the college/school/center as long as they maintain full-time enrollment status. Students supported by external grants or contracts may also qualify for the health insurance benefit on the condition that the premium was included in the direct costs of the grant or contract. The award of the health insurance benefit as part of the assistantship or fellowship award will be indicated on the contract.

Saint Louis University requires full-time Undergraduate and Graduate/Professional students to have basic health insurance during Fall and Spring semesters. Students that do not receive health insurance benefits as part of an UFA nor waive the Saint Louis University sponsored health insurance, may be charged for health insurance coverage. Summer coverage is not required. In order to receive the health insurance benefit offered in conjunction with the assistantship or fellowship, students must formally enroll under the Saint Louis University sponsored health insurance plan in a timely manner (i.e. within 31 days of the contract start date or during the applicable semester's Open Enrollment Period).

During periods while not on contract (e.g., during the Summer Session), students can continue the health coverage at their own expense provided they satisfy the health plan eligibility requirements. Coverage for spouse and/or dependents is available at an additional charge to the student. Dependent coverage can only be elected at the time of initial enrollment unless there is a Qualifying Life Event (QLE) such as the birth of a child or the acquiring of a new dependent through legal marriage or adoption.

Student Continuation Coverage
Student Continuation Coverage, which is an extension of coverage under the health plan, is available to students and their dependents when Saint Louis University sponsored health insurance would otherwise end. Some restrictions may apply. Students can elect continuation coverage for either three or six months. The Saint Louis University sponsored health plan will notify students when they have the opportunity to continue coverage under the Student Continuation Coverage option.

Direct Deposit of Stipend Check

Graduate assistants are eligible to participate in the University's direct deposit option. Direct deposit offers convenience and security of funds. Assistants may choose to have paychecks deposited directly to one or two personal bank accounts. Direct deposit authorization forms may be obtained from the Payroll Office, located in the Lindell Building. Beginning with the monthly payroll dated January 30, 2006 those not participating in Direct Deposit will have their paychecks mailed to their *permanent address* via the U.S. Postal Service.

X. RESPONSIBILITIES OF ASSISTANTS

A graduate assistant is expected to make steady progress toward the degree while effectively performing assigned duties. The course load and assistantship responsibilities should form a program that facilitates the student's progress. An assistant will normally register for six to nine hours or the equivalent in a given semester and usually performs assistantship duties for twenty (20) hours per week. **A graduate assistant must be registered each academic semester during the appointment period, including the Summer Session.** The mentor and/or faculty advisor has a serious responsibility to help the student monitor his/her ability to manage both the academic and assistantship roles.

The graduate assistant should be informed of departmental, School and University regulations and follow them consistently. Assistants are obligated to maintain standards of academic honesty and integrity.

PLEASE NOTE: ***Students appointed to an assistantship or fellowship must be registered during the appointment period, usually for six (6) to nine (9) hours of credit. If the appointment period includes part or all of the months of June and July, appointees are to be formally enrolled for the Summer Sessions.***

Students appointed to an assistantship or fellowship may not engage in any concurrent employment without the expressed consent of the department or program and their dean or director. Requests for an exemption must be made in writing. Participation in any unapproved employment will result in the immediate withdrawal of the assistantship.

Fair Labor Standards Act

Departments and graduate assistants should be aware of the Fair Labor Standards Act (FLSA), which does not permit an employee to be paid simultaneously an hourly (non-exempt) wage and a salary (exempt) wage by the same employer for two or more distinct positions. Graduate appointments at Saint Louis University are considered exempt (salary) positions. Graduate assistants **cannot** hold, in addition to the assistantship, other University jobs which are hourly paid (e.g., college work study, student worker).

Student workers and Federal work study positions typically provide non-professional support for various departments of the University. It is possible that a graduate assistant, working as a student

worker or in a Federal work study position, may be performing duties of a professional nature. If that is the case, it might be possible to pay a salary for that assignment and avoid violating wage and hour regulations.

If a department feels that the responsibilities of the student worker or work study position might qualify the position as exempt (salary), a completed job description form should be completed and forwarded to their dean or director. This form will then be forwarded to Human Resources for an evaluation of the duties as exempt or non-exempt.

Under no circumstances will a graduate assistant be allowed to hold a non-exempt (hourly) position while on an assistantship or fellowship.

Graduate Assistant Orientation

University Funded assistants and fellows are required to attend orientation/training activities at the University and departmental levels. Because this is an orientation to the University and is not limited to the activities of graduate teaching assistants, it is recommended that all internally and externally funded graduate assistants be encouraged to attend.

Prior to the start of the Fall semester, the University conducts an orientation for assistants and fellows. Information on the orientation is included in the contract packet.

XI. RESPONSIBILITIES OF DEPARTMENTS

The integration of the assistantship responsibilities and academic program must be carefully coordinated and monitored by a faculty mentor consistent with the underlying philosophy described on page 1. Graduate assistants should be assigned space, supplies, books, and equipment to carry out their assignments effectively.

Each department must designate an individual who has the overall responsibility for the department's assistantship program. Departments that receive UFA assistantships must develop assistantship manuals or supplements that include the following:

(1) description of the responsibilities and expectations associated with each assistantship;
(2) description of orientation, training, and mentoring activities for assistants; and,
(3) evaluation plan that includes at least an evaluation of the assistant by the mentor.

Finally, it is expected that every UF assistant and fellow will participate in an orientation for new graduate assistants to be held each Fall, immediately preceding the beginning of classes.

XII. EVALUATION PROCEDURES

Departments are expected to design an evaluation plan consistent with Section XI, Item 3 above. Evaluation should be an ongoing process of communication between the graduate assistant and the faculty mentor. A formal evaluation should be a supportive process that helps the assistant to identify strengths and weaknesses, and to plan concretely for improvement. A formal evaluation should be entered into the student's departmental record each year.

Graduate assistants will have the opportunity to evaluate the assistantship experience each year. This evaluation should likewise be a supportive process which will help the department identify the strengths and weaknesses of its assistantship program. The Associate Vice President Graduate Education will conduct this evaluation at the end of the Spring semester.

The Associate Vice President Graduate Education and the Dean/Director will meet with the department's assistantship coordinator and chairperson to discuss the evaluation data of the previous year. The AVP-Graduate Education will then meet with the Dean of the School in which the department is located to discuss recommendations for the departmental assignment of assistantships for the next academic year.

XIII. REINERT CENTER FOR TRANSFORMATIVE TEACHING & LEARNING

The mission of the Reinert Center for Transformative Teaching & Learning is to assist faculty and graduate students to develop as teachers by increasing their awareness of a variety of teaching methods and learning styles. Services provided include: a certificate in university teaching skills; assistance in developing a teaching portfolio; classroom observation; workshops on effective teaching; small group instructional feedback sessions; instructional consultations; and assistance integrating the University's course management system, SLU Global (a.k.a., Blackboard 9.1), and other learning technologies into course curricula.

Effective Teaching Seminars

Effective Teaching Seminars are offered during the fall and spring semesters and involve interactive presentations by University faculty on pedagogical issues. Specific strategies and skills are introduced to provide practical instruction as well as philosophical enrichment. The schedule of seminars is available on the CTE website (www.slu.edu.cttl).

Certificate Program

The Reinert Center for Transformative Teaching and Learning awards the Certificate in University Teaching Skills to participants upon the satisfactory completion of all requirements of the certificate. These requirements include:

(1) Participation in ten Effective Teaching Seminars;
(2) Videotape of classroom teaching;
(3) Consultation with a teaching mentor;
(4) Mentor and peer observation of teaching;

(5) Demonstrated understanding of integrating technology or service learning into teaching;
(6) Completion of readings related to teaching;
(7) Development of course materials in their discipline;
(8) Preparation of a teaching portfolio; and
(9) Completion of a short reflection paper.

For more information about the Certificate Program or other services related to teaching enhancement, please email slu.edu/crr or call (314) 977-3944.

XIV. MISCELLANEOUS

Employment Verification

Periodically graduate assistants require verification of employment with the University when seeking housing. Beginning February 7, 2008 the University began referring employment verification The Work Number at www.theworknumber.com or (800) 367-5690. Step-by-step instructions on how to use The Work Number are available at http://www.slu.edu/human-resources-home/hr-information-systems/employment-verification. On the Human Resources web page, select Employment Verification from the menu of options located to the left of the screen or call human resources at (314) 977-2360 or e-mail HRIS@slu.edu.

Access to Students Records

Saint Louis University's Banner Self Service provides online access to the University's general academic information and allows each student to access his or her personal information. Among other options, this allows you to view your most current scholarship/financial aid information, view your student accounts information, register for classes, request transcripts, and view your paycheck information as it pertains to direct deposit. Contact the Registrar's Office for more detailed information about online access.

Tax Report

All graduate assistants and fellows will receive a year-end tax report from the University for income tax reporting. ***It is very important for all graduate assistants and fellows to verify their mailing address in Banner Self Service so that the tax report is received in a timely manner.***

XV. RESIGNATION

Resignation from any graduate appointment must be communicated in writing to their dean or director and countersigned by the department or program chairperson or project director. The exact date of resignation or termination must be indicated. A letter acknowledging the resignation will be sent to the student and copies will be issued to the department, AVP Graduate Education, and Office of Scholarship and Financial Aid.

Graduate assistants in Doctoral programs often complete their programs and have their degrees conferred at various times throughout each semester. If the degree is conferred prior to the end of the assistantship appointment, the student must resign from the award effective the date of degree conferral since, at that point, the individual is no longer a student of the University.

The above policies and procedures have received the approval of the appropriate governing bodies of Saint Louis University. If a revision of any of these policies and procedures becomes necessary, all graduate assistants, the Departmental Coordinators, and Department Chairpersons will be informed in writing immediately. Revised policies and procedures will take precedent if in conflict with the above.

Process for Students Pursuing a
Doctor of Philosophy
Saint Louis University

1. Written Examination

- Upon completion of coursework requirements, language/research tools requirements, and any special, additional requirements of the major field, the doctoral student prepares to take the written portion of the preliminary degree examination.

- The written examination(s) is taken at a time scheduled by the major field department. The major field also sets the policy for the requirements to pass this exam. Not all programs require a written exam.

- When the written examination(s) has been passed, the major field department chairperson notifies the Doctoral Candidacy Advisor through the Doctoral Oral Examination Form

2. Oral Examination

- The Doctoral Oral Examination Form found on the Graduate Education website http://www.slu.edu/graduateeducation under the links for Current Students and then Doctoral Students is filed by the department and proposes the student's committee, consisting of five members of the Graduate Faculty, to conduct and evaluate the oral examination, and includes the date and time of the examination. This form is signed by the Dean, Associate Dean, or Center Director to indicate approval of the committee.

- The major field department should also include in this notice any graduate courses from other institutions that are to be formally a part of the student's Ph.D. program through the Evaluation of Advanced Standing form (found under the link for Forms and Petitions).

- This notice must be received in the candidacy advisor's office (DuBourg Hall, room 420D) AT LEAST TEN (10) BUSINESS DAYS BEFORE THE ORAL EXAMINATION.

- The Doctoral Candidacy Advisor prepares a Degree Audit Form for the student and advisor which will include a list of any requirements not met.

- The Degree Audit Form is sent to the student (via email) and a paper copy to the Doctoral Oral committee chairperson

- The Doctoral Candidacy Advisor prepares the Result Form which is sent only to the Doctoral Oral committee chairperson to report the committee's decision.

- If the committee's decision is Passing or Passing with Distinction, the student is notified of the results and is automatically advanced to doctoral candidate status
  - **Please note: the Dissertation Proposal/Prospectus is no longer required by this office, although a prospectus is required by all programs.**
- If the committee's decision is Unfavorable the student is notified of the results and a new Oral Exam will be scheduled at an appropriate time. The oral exam committee will include an outside committee member (a SLU faculty member from another program) in order to assure that policies and procedures are appropriately followed.
  - If the decision is Passing or Passing with Distinction, the student is notified of the results and is automatically advanced to doctoral candidate status
  - If the committee's decision is Unfavorable the student is notified of the results and a third exam is rarely approved.

- The oral examination must never take place before the Degree Audit Form is initiated by the doctoral candidacy advisor.

3. Completing the Degree Audit Form

- The Degree Audit Form lists any requirements not met and has space for the student or advisor to list any course substitutions, waivers, or exception.

- Completing the expected graduation date: if this date does not fall within the "Time to complete degree requirements" on the Degree Audit Form, extension(s) will be required. Refer to extension of time information found in the Graduation Requirements section of the *Graduate Catalog*

- There also is a space for the student to list the proposed dissertation committee chairperson and members.

  - *Forming a Doctoral Committee:* The dissertation/project committee consists of at least three members, all of whom are members of the Graduate Faculty of Saint Louis University, and who are familiar with the topic of the dissertation/project. The chair of the committee must be a member of the student's major department. The membership of this committee may or may not overlap the membership of the student's preliminary examination committee.

- Listing the dissertation title. This will be the proposed title for the dissertation and can change as work on your dissertation progresses.

- The Degree Audit Form is not to be submitted for signatures and approvals until all sections can be completed.

4. Applying to Graduate and have Degree Awarded

- Instructions for the on-line Application for Degree through Banner Self-Service are found on the **Graduate Education** website under the links for **Current Students** and then **Doctoral Students**. Students should complete this on-line application at the beginning of the semester in which the student is preparing to complete all of the degree requirements, including the dissertation defense, all coursework, practica, internships, the format review, and submission of the dissertation to Pro Quest/UMI for electronic archiving.

5. Preparing for Dissertation Public Oral Defense and the Format Review

- When the doctoral candidate, the dissertation chairperson and the readers agree that the dissertation is in its final form and ready to be defended, the doctoral candidate prepares the dissertation according to the most recent *Formatting Guide* (found on the link for Current Students). There is a Format Checklist found at the end of the *Guide* to be used as a final review

- The Ph.D. degree candidate is required to defend the dissertation in a public forum. The date, time, and location of the presentation are determined by the candidate's doctoral committee and the doctoral candidate. The candidate and committee chair must submit the "Notification of Readiness for the Public Oral Defense" form, signed by the Dissertation Chairperson, to the candidacy advisor **at least two weeks** in advance of the oral defense date.

    - The Doctoral Candidacy Advisor will prepare two Result Forms. One is for the defense of the dissertation and the other is for the dissertation itself.
        - If the committee's decision is Passing or Passing with Distinction for the defense, the committee chairperson can notify the student of the result and the student contacts the candidacy advisor to arrange an appointment for the format review. The format review is by appointment only and is to be scheduled for a date and time after the defense and after all required corrections are made to the dissertation
            - The completed Result Forms are sent to the doctoral candidacy advisor to convey the result of the defense and acceptance of the dissertation (the Result Form for the dissertation can be delayed until the written dissertation is considered acceptable by the committee).
        - If the committee's decision is Unfavorable for the defense, the student is notified of the results immediately and a new defense will be scheduled at an appropriate time. A new Notification of Readiness is prepared and will include an outside committee member (a SLU faculty member from another program). This additional committee member will be added to the committee in order to assure that policies and procedures are appropriately followed.

- The Doctoral Candidacy Advisor will prepare the Result Form for the second dissertation defense.
  - If at the second defense, the committee's decision is Passing or Passing with Distinction for the defense and the dissertation, the committee chairperson can notify the student of the result and the student contacts the candidacy advisor to arrange an appointment for the format review. The format review is by appointment only and is to be scheduled for a date and time after the defense and after all required corrections are made to the dissertation
    - The Result Forms are sent to the doctoral candidacy advisor to convey the result of the defense and acceptance of the dissertation (the Result Form for the dissertation can be delayed until the dissertation is considered acceptable by the committee).
  - If at the second defense, the committee's decision is Unfavorable for the defense, the student is notified immediately and will need to discuss with committee chair and graduate program director the option of defending a third time.

6. Electronic Dissertation Submission and Final Requirements

- The format review appointment is held after the defense of the dissertation and all changes are made to the dissertation that were required by the committee.

- After the format review appointment and after any additional corrections are made for formatting, the student will need to convert the document to a PDF file prior to submitting the document to Pro Quest/UMI. ProQuest digitally archives the dissertation and publishes the abstract via Dissertation Abstracts International.

- Submitting the dissertation to ProQuest/UMI is required before the degree can be awarded. Complete instructions will be given on the submission process at the format review appointment.

7. Doctoral Degree Conferral

- The degree is awarded by the Office of Registrar only on the published date(s) during the semester when all degrees are awarded and all requirements are met (all grades posted, the dissertation is accepted on Pro Quest, and the Result Form received by the candidacy advisor), not on the day a student defends his/her dissertation.

DOCTORAL ORAL EXAMINATION FORM

This form must be received by the Doctoral Candidacy Advisor,
420C DuBourg Hall, AT LEAST TWO WEEKS PRIOR TO THE EXAMINATION

STUDENT'S NAME: _____

SLU ID: _____ TELEPHONE:_____

EMAIL:_____

DATE OF EXAM: _____

DAY OF EXAM: _____

TIME OF EXAM: _____

CHAIRPERSON OF EXAM COMMITTEE: _____

COMMITTEE MEMBERS: _____

_____

_____

_____

OUTSIDE COMMITTEE MEMBER: _____
(*Only if Required*)

Date student passed preliminary written exam: _____

Major field Program Director/Chairperson: _____
(Signature)

Do not enter anything below this line. Send completed form to Dean/Director of your college/ school/center, who will sign and forward to the Candidacy Advisor.

Dean/Associate Dean/Center Director: _____
(Signature)

Date sent to Graduate Education: _____
(Entered by Dean/Director)

POLICIES AND PROCEDURES FOR THESIS, PROJECT, AND DISSERTATION FORMATTING

Issued by Saint Louis University
Graduate Education

Final Acceptance of the Thesis, Project, or Dissertation by Saint Louis University is Contingent upon Strict Observance of the Regulations Set Forth in This Formatting Guide

2015+

Rev 1/16

INTRODUCTION

Beginning with Fall 2011, all theses, projects, and dissertations are submitted electronically to ProQuest/UMI for publication after all changes have been made to the document in accordance with recommendations of the thesis/project/dissertation advisor and committee and after the format review is completed.

The ProQuest/UMI website (http://www.etdadmin.com/slu) has the answer to many questions that you may have about the electronic transmission of the thesis/project/dissertation (ETD) and the options available for publication and copyright. Additional resources can be found here: http://www.etdadmin.com/cgi-bin/main/resources?siteId=279

The Candidacy Specialists' offices are in DuBourg Hall, Rooms 420 C&D. Please visit http://www.slu.edu/graduateeducation/current-students for contact information and procedures.

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1: MANUSCRIPT PREPARATION

Materials and Instructions

Font

The font size for the body of the thesis/project/dissertation must be no smaller than 12-point; the font of table and figure titles, their captions and legends, and all notes should be no smaller than 8-point. Font must be legible. Select a clear, basic font (example: Arial, Times New Roman). Script fonts are not acceptable.

Margins

All pages (including the title and preliminary pages and pages containing tables or figures) must have 1-inch (2.5 cm) margins on all sides. Only page numbers may encroach on the margins.

Justification

Text must be justified against the left margin and each paragraph should be indented. Full justification to the right is not acceptable.

Page numbers cited in the Table of Contents, List of Tables, and List of Figures must be right justified.

Spacing

Double-space all text in the body of the thesis/project/dissertation. ***The following exceptions are single-spaced***: block quotations (40 words or more in length); footnotes; endnotes; table titles and figure captions and legends; individual titles of tables in the List of Tables; and individual titles of figures in the List of Figures. In the Table of Contents single-space between subheadings within chapters and double-space between chapters and chapter equivalents (List of Tables, List of Figures, appendices, etc.). The bibliography or list of references may be single- or double-spaced as determined by the style sheet of the major field.

Pagination

Page numbers are located at the bottom center of the pages. A single sequence of consecutive Arabic numerals (1, 2, 3, etc.) is required to paginate the text. Lower-case Roman numerals (i, ii, iii, etc.) are to paginate the preliminary pages; these numerals must be located at the bottom center of the preliminary pages. The title page is not counted or numbered.

Color

Text, with the exception of web links, must be in black ink. Both black and white and color illustrations/figures are acceptable.

Section Breaks/Preparing One Document

The thesis, dissertation or project is made up of three sections: the title page, preliminary pages, and the body of text. To change your page numbers for different sections in one document:

1. Divide your document into sections and then change the page number format for each section.
2. Insert a section break (under Page Layout Tab) where you want to change the page numbers. To do this, click where you want to insert a section break. On the Insert menu, point to Break, and then click the type of section break you want to insert.
3. With the cursor in a particular section, go to the Insert menu and choose Page Numbers.
4. Choose the page number options you want (click Format and change the page number format), and click OK.
5. Repeat that for each section in the document.

There are also additional resources to assist with section breaks in Microsoft Word. https://www.youtube.com/watch?v=z0pEYmt08bM

Abstract

The abstract is required when submitting your thesis/dissertation or project to ProQuest. The abstract is to contain a maximum of 350 words. It provides a brief summary of the content of the thesis, project or dissertation to enable the reader to decide whether or not to study the entire document. The abstract should include relevant words and phrases upon which electronic searches may be initiated. The abstract must not contain subscripts, superscripts, or special letters (example: Greek characters) because they are not printable through *Dissertation Abstracts International*. References are to be excluded.

Order of the Thesis, Project, or Dissertation

Thesis/Project/Dissertation Title Page

The title page includes the author's name followed by abbreviations of previous degrees received. Be sure to include periods (e.g., "B.A." rather than "BA"), but no spaces after the periods. If the author is a member of a religious community, a title may precede the

name, and the initials of the religious order may follow the name and precede the abbreviations of a previous degree or degrees (e.g., Reverend Andrew Smith, O.F.M., B.A., M.Div.) The centered block that is low on the page (but above the year of degree conferral) is uniform in content except for the title of the degree sought. See example title page at the end of Section 1. Candidates for the Master of Science in Dentistry are referred to Section 5 of this guide.

Preliminary Pages

Preliminary pages are numbered with lower-case Roman numerals. See Section Breaks/Preparing One Document for page numbering. The headings on the preliminary pages (e.g., Acknowledgements, Table of Contents, etc.) must be formatted the same as chapter titles.

Copyright Page (optional)

© Copyright by
Your Full Name Here
ALL RIGHTS RESERVED

2020 (Year of Publication)

More information can be found regarding copyright in Section 4.

Committee Page

This page lists the thesis/project/dissertation committee members. The committee chairperson is listed first and the remaining committee members are listed in alphabetical order by their last names. Contact committee members for their current academic rank. Follow example at the end of this section.

Dedication Page (optional)

Double-space the text on this page. The title "Dedication" must appear at the top center of the page. The dedication may be as long or short as desired, and the thesis/project/ dissertation may be dedicated to whomever the author chooses. If it is just a short phrase, center on page, and then the title "Dedication" is optional.

Acknowledgement Page (optional)

Double-space the text on this page. The title "Acknowledgement" (or "Acknowledgements") must appear at the top center of the page. The acknowledgement(s) may be as long or short as desired. Faculty or anyone else who contributed to the work may be recognized (e.g., a person who distributed surveys). Grant-funding sources or an organization that supported your work financially or through providing information may be cited.

Table of Contents

The words "Table of Contents" must appear at the top center of the page. The Table of Contents includes the List of Tables (if applicable), the List of Figures (if applicable), the List of Abbreviations (if applicable), chapter titles, headings, and subheadings, any appendices, the Bibliography, and the Vita Auctoris. The associated page numbers are displayed at the right margin. The chapter titles must match the titles that appear in the text. If lengthy, headings may be condensed. Subsequent lines of headings should be aligned under the first letter of the heading title. For an example of an ideal table of contents see the example page at the end of this section.

For more information on creating a table of contents using Microsoft Word visit http://www.youtube.com/watch?v=OG4JmWMXgko or look for other videos on the site.

List of Tables

This list is required if one or more tables appear in the text. The List of Tables precedes the List of Figures and directly follows the Table of Contents. The title "List of Tables" must be placed at the top center of the page. Single-space each table title (when the title extends beyond one line) and double-space between each complete title. (Every table must have a title beyond, e.g., "Table 4.") Second and any subsequent lines in the table title must be aligned under the first letter of title. Table titles in the List of Tables are to be identical in content to the titles as they appear in the text; however, a lengthy, individual title may be condensed in the List of Tables. Entries within the List of Tables must be consistent in their format. Should there be just one table, it is numbered. See the example of a list of tables page at the end of this section.

List of Figures

This list is required if one or more figures appear in the text. The List of Figures page follows the List of Tables page. The title "List of Figures" must be placed at the top center of the page. Each figure must have a caption, which is its title. Single-space each figure caption (when the caption extends beyond one line); double-space between each complete caption. Second and any subsequent lines in the figure caption must be aligned under the first letter of the title. The content of a figure caption in the List should be identical to the caption beneath the actual figure within the text; however, a lengthy caption in the text may be appropriately paraphrased in condensed form within the List. (Every figure must have a caption beyond, e.g., "Figure 3.") Entries within the List of Figures must be consistent in their format. Should there be just one figure, it is numbered. See the example of a list of figures page at the end of this section.

List of Abbreviations (optional)

If numerous abbreviations and/or codes appear in the text, a List of Abbreviations may be

prepared for the benefit of the reader. The order within the List should be either alphanumeric or in the order of the first appearance of the abbreviation/code within the text. The List would be formatted in the manner of the List of Tables or List of Figures, but without associated page numbers. The List of Abbreviations would immediately follow the List of Figures within the preliminary pages.

Body of the Thesis/Project/Dissertation

Typically, the body is divided into chapters (sections for Ed.D. projects ONLY). Chapters always begin on a new page. The author, advisor, and the committee determine the content.

Appendices

An appendix is a body of supplemental text that, as judged by the author and committee, if included directly in the thesis/project/dissertation would compromise continuity of the narrative. A single appendix is assigned no number/letter/code; it is simply the "Appendix." Should there be several appendices, distinguish among them by letter (A, B, etc.) or number (1, 2, etc; or I, II, etc); their order should be that of first mention in the body of the thesis/ project/dissertation. The appendix/appendices immediately follow the body of the text; it/they have the same rank as a chapter. See example Table of Contents at the end of this section. **Copyrighted scales and measures cannot be included without written permission from copyright holder to reprint in thesis/project/dissertation.** Visit the APA website for more information on copyright and permissions. http://www.apa.org/about/contact/copyright/index.aspx

If tables (e.g., Table A2) or figures (e.g., "See Figure B1 in Appendix B.") are included in the appendices, they must also be mentioned in the text and included in the List of Tables or Figures.

List of References/Bibliography/Works Cited

This section follows either the last chapter or the last appendix. Any of the five titles "References," "List of References," "References Cited," "Bibliography," or "Works Cited" is acceptable. The title selected must appear at the top center of the first page of this section. **Each and every source that is referenced within the text must be contained in the bibliography section; similarly, no entry may be listed that is not referenced within the text**. The forms and order of bibliographic entries are determined by the style manual or style sheet of the major field. The Bibliography has the same rank as a chapter. See example Table of Contents. If there is a conflict between the style requirements of the major field and this formatting directive, Saint Louis University-Graduate Education's rules supersede all other style requirements.

Vita Auctoris / Vitae Auctorum (REQUIRED)

The title "Vita Auctoris" (or the plural "Vitae Auctorum" if there are multiple authors)

must appear at the top center of the page. This is a personal/professional biography that may include the following events in chronological order: date and place of birth; (post-secondary) educational institutions attended; degrees and honors conferred and anticipated; titles of publications; and teaching and professional experience. It should be concise and written in the third person. It is the last item to appear in the Table of Contents, and it is the final section of the thesis/project/dissertation.

Sample Page

-Sample Title Page
-Sample Copyright Page i
-Sample Committee Page ii
-Sample Table of Contents Page iii
-Sample List of Tables Page iv
-Sample List of Figures Page v

YOUR THESIS/PROJECT/DISSERTATION TITLE APPEARS HERE ALL IN

CAPITAL LETTERS, DOUBLE-SPACED, BOLD

TYPE, EACH LINE SHORTER THAN

THE LINE ABOVE IT

John J. Smith, B.A., M.A.

A Thesis/Project/Dissertation Presented to the Graduate Faculty of
Saint Louis University in Partial Fulfillment
of the Requirements for the Degree of
Insert Degree

Year

© Copyright by
Your Full Legal Name Here
ALL RIGHTS RESERVED

Year

COMMITTEE IN CHARGE OF CANDIDACY:

Associate Professor Jay Hammond,
Chairperson and Advisor

Professor J.A. Wayne Hellmann, O.F.M. Conv.

Associate Professor Julie Rubio

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2: TABLES AND FIGURES

Referring to Tables, Figures, and Appendices in Text

Every figure, table, and appendix must be referenced within the text; the reference in each instance is through the number of the table or figure or the letter of the appendix. The reference may be embedded in a sentence, be placed in parentheses at the end of a sentence, or be a separate sentence (e.g., "See Figure 10.").

Placement of Tables and Figures

A table or figure should appear shortly after it is first mentioned/referenced in the text, on the same or the following page if possible. If a series of tables or figures is first mentioned in the text as a group, the tables/figures should be located on successive pages without interrupting text. If a series of tables or figures is so lengthy that it may be distracting to the reader, the entire series can be placed in the order mentioned at the end of the chapter or in the appendix (e.g., "See Figures 1-6 in Appendix A.").

Placement of Titles

The table title is located at the beginning of the table and the figure title is placed beneath the figure. The table titles and figure titles must appear on the same page as the table or figure. Font styles and sizes must remain the same on every table and figure.

Table 1: Breakdown of Healthcare Cost for the Average Missouri Citizen

Prescriptions	Doctor Visits	Over the Counter Medicines
$700	$450	$125

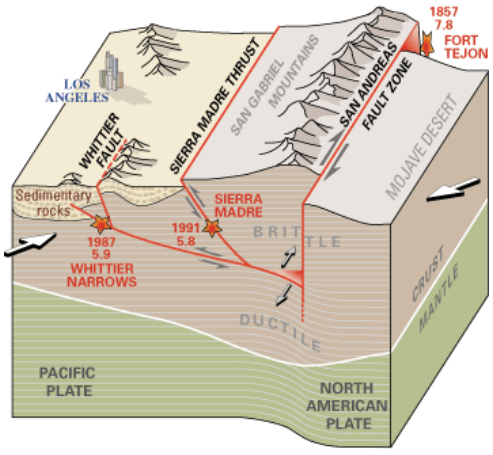

Figure 1: The San Andreas Fault and Fault Segments Comprising the Fault System (Author, date, pg. #)

Tables on Multiple Pages

When a table is continued on one or more successive pages, the table number followed by the word "Continued" is to appear at the top of each of those pages. The column headings are also repeated on each consecutive page of the table. Only the first page of the table is cited in the List of Tables.

Scanning/Digitizing Pictures/Images

Any text located on or within a scanned image and the image itself must be clear and legible with no blurring or fuzziness. Technological assistance is available in the Instructional Media Center in the Xavier Hall annex. Cite images as if they were quotations.

3: SPECIAL DISSERTATION OPTIONS

The Three-Article Dissertation Format

Specific Ph.D. degree programs permit the doctoral candidate the option of compiling three (or more) related articles that have been published or approved for publication in one or more peer-reviewed scholarly journals. The articles are related to a central theme. Each article becomes a chapter within the dissertation. Because the major field and dissertation committee may have particular content-based requirements, the graduate student must become familiar with the protocol details in the particular discipline. Not all doctoral programs allow the three-article dissertation, so be sure to check with your department before pursuing this option. See Section 4 for complete information regarding inclusion of articles that have already been published or are under review. At the bottom of the first page of each chapter that has previously been published place a footnote containing the publication information, including the original title of the article if different from the current chapter title.

Non-Traditional Dissertation Format

The non-traditional dissertation format is somewhat different. The body of the non-traditional format consists of at least three thematically related original article-length manuscripts. The student must be the first (or sole) author on at least two of these manuscripts but may be the second author on one manuscript. Two of the manuscripts must have been fully accepted for publication in a high-impact journal and the third must be under review before the dissertation defense can be scheduled. That is, the journals must have Institute for Scientific Information (ISI) impact factors of 0.75 or greater. Journals that do not meet the ISI impact factor may be deemed appropriate only if the student receives the full support and recommendation of the dissertation committee chair and members.

All of the members of the graduate faculty on the dissertation committee must approve of the non-traditional dissertation before it can be pursued. The non-traditional dissertation defense cannot occur until the minimum of two articles has been fully accepted for publication in high-impact journals and the third manuscript is under review.

The non-traditional dissertation format normally includes at least five chapters. The first chapter provides a statement of the problem, its background and significance, the hypotheses to be tested, the rationale and justification for how the three manuscripts are thematically related, and an overview of the remaining chapters. Chapters two, three, and four are the article-length manuscripts themselves. Chapter five discusses the implications of those results, draws the appropriate conclusions, and lays out an agenda for future research on the issues addressed in the dissertation. See Section 4 for complete information regarding inclusion of articles that have already been published or are under review.

4: COPYRIGHTING INFORMATION

Determining if Material is Copyrighted

The copyright symbol (©) indicates that the person or company whose name appears after the symbol copyrights the material. Some general rules of thumb are as follows: 1) professional journals, magazines, and newspapers hold the copyrights on all articles they publish including articles with the student as the author; 2) publishing houses hold the copyright on all books; 3) foreign copyrights are as valid as U.S. copyrights; 4) permission is required for the use of materials from some private collections and museums without respect to copyright. Also see the Fair Use Checklist created by Kenneth D. Crews (Columbia University) and Dwayne K. Buttler (University of Louisville). http://copyright.columbia.edu/copyright/fair-use/fair-use-checklist/

Using Copyrighted /Published Material

Permission to quote, reprint (include a copy in the thesis/dissertation/project), or adapt copyrighted/published material is obtained from the owner of the copyright or publisher. ProQuest assumes no liability for copyright violations. When images, tables, figures, poems, pictures, maps, or other work from materials obtained from archives, museums, or copyrighted/published sources are included in a thesis, project, or dissertation the student must follow the policies of the respective repositories concerning permission requirements. A copy of the permission letter must be placed in an appendix of the thesis, project, or dissertation. Start the permission process early in your writing, ideally as soon as you know what copyrighted material you want to use. It will take time to apply to the copyright holder and to receive a response.

Copyrighted Articles

If publication rights were transferred to the journal(s) that published your article(s), permission(s) must be obtained from the publisher(s) to include this material in the dissertation. In addition, the letter(s) that formally give permission must be included in an appendix of the dissertation.

Obtaining Copyright Permission

When contacting publishers or authors, do not leave the permission request open-ended. Be specific about use of copyrighted work. Say, for example, that you would like to use a figure, large quotations, a measure or an instrument in your thesis/dissertation/project. The copyright holder should be asked for a response, whether the answer is yes or no. Inquire about any time limits or restrictions placed on your use of the document.

Issues of Continuity and Consistency

A published article is a complete entity unto itself as it appears in a journal, but within the three-article dissertation option it is just one part of a larger document. As a result,

modifications of the formats of the articles likely are necessary to ensure compliance with Graduate Education's formatting guidelines.

Additional Copyright and Fair Use Information

Additional copyright information can be found on the resources page of ProQuest at www.etdadmin.com/slu This website should answer most copyright questions. If further information is needed, consult the United States Copyright Office, Library of Congress online at http://www.loc.gov/copyright/ or for information on fair use visit the US Copyright website at www.copyright.gov/fls/fl102.html

Considerations on Copyrighting the Thesis/Project/Dissertation

ProQuest files copyright paperwork on behalf of the student. The thesis/project/dissertation is protected by copyright law with or without formal copyright registration and with or without a copyright page. Including a copyright page and registering a claim to copyright provides additional protection and increases the likelihood of winning a lawsuit for copyright infringement should the copyright holder have occasion to bring such a suit. See an example of a copyright page at the end of this section.

Any project or dissertation that contains material copyrighted by another person or agency, and for which formal permission to use the material has been given, may not be wholly copyrighted by the author.

5: INFORMATION FOR STUDENTS PURSUING A MASTER OF SCIENCE IN DENTISTRY

An approved thesis format for students in the Center for Advanced Dental Education (CADE) incorporates a one-journal article format and a literature review. Each section of the thesis has its own list of references (Literature Cited or Bibliography). The same method of citing (note numbering or author [date]) should be used in both sections. If superscript numbers are used, they are to be **consecutive** and separate for each chapter.

Samples of a title page and a table of contents page appear on the following pages. Other formatting rules of Graduate Education are detailed throughout this guide.

YOUR THESIS TITLE APPEARS HERE ALL IN CAPITAL LETTERS,

BOLD-TYPE, DOUBLE-SPACED, EACH LINE SHORTER

THAN THE LINE ABOVE IT

John J. Smith, D.D.S.

A Thesis Presented to the Graduate Faculty of
Saint Louis University in Partial Fulfillment
of the Requirements for the Degree of
Master of Science in Dentistry

2012

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6: FREQUENTLY ASKED QUESTIONS

Style Manuals

What should I do when my department's/major field's style manual and the Saint Louis University-Graduate Education's formatting guide conflict?

In all cases, the Graduate Education formatting guide takes precedence.

I'm using APA, which requires a running head. Do I use a running head for my thesis, project, or dissertation?

No.

I'm not sure which style manual my department uses. How can I find out?

Ask either your advisor or department chair/graduate director.

If superscript numbering is the protocol for referencing sources in the text, can the authors be listed in the Bibliography in alphabetical order?

When using numeric referencing and chapter notes with numbers beginning with 1 for each chapter, the reference section at the end of thesis/dissertation/project can be alphabetical.

When using a numbered list of references cited in the text by number, where is the number placed in relationship to punctuation?

Numeric references should follow any punctuation marks except the semicolon, which they precede.

Headings

Is there a certain way to set up headings?

A heading is a phrase that begins a major section or chapter. Headings are useful to guide the reader quickly through the document. The organization of the work is the author's choice, but certain considerations must be kept in mind. **Headings must be consistent throughout in type style, placement, and font size.** For example, if the first chapter/section title appears in all capitals, then all chapter/section titles should appear in capitals. The next level of heading needs to be different from chapter titles and consistent. The style for chapter headings is also used for preliminary page headings, appendices, the bibliography, and the vita auctoris.

How do I properly rank my headings?

Some formatting manuals, such as that of the APA, give specific layout instructions. Others permit the author to design the ranking. Just bear in mind the following: the chapter title is of the highest rank, so it should be the "flashiest," which means it should grab the reader's attention more than headings within the chapter. The chapter title and all equally ranked titles are centered at the top of the page. The chapter title could be all capital letters, a larger font size, bold type, etc., to make it stand out. The first heading you use for the first section of the chapter is of the next rank; thus, it needs to have one less feature than the chapter heading (i.e., perhaps it is a smaller font, or not bold type, or not all capital letters). If there are subsections beneath this heading, their headings rank lower, so the subheading has one less feature than the heading (e.g., it may be left justified rather than centered, or not bold type, not all capital letters, etc.). Remove or reduce one feature each time in proceeding to a lower rank.

Terminology Used with Ranking Headings

- UPPERCASE: ALL LETTERS ARE CAPITALIZED IN THE HEADING
- Title Case: All Words except Articles and Prepositions Are Capitalized
- Sentence case: The heading looks like a sentence; only the first letter and Proper names are capitalized
- lower case: all letters in the heading are lower case

The Format Check

Why is the style and format review required?

The Master's and Doctoral Candidacy Specialists check for the uniformity and quality of thesis, projects, and dissertations that are produced by graduate students at Saint Louis University. The Candidacy Specialists also verify that works referenced in the text are listed in the References/Bibliography and that the formatting guide and style manuals are followed correctly, quotations are cited correctly, appropriate permissions to use already published work have been received, and formatting is consistent within the entire document.

After making the changes required by the Candidacy Specialist, is a second submission required?

Only if specifically requested.

Copies of Theses/Projects/Dissertations

How can the graduate obtain a bound copy of the thesis/project/dissertation?

Students may order a copy from ProQuest, UMI when submitting their thesis, project, or dissertation for publication.

They can also order individual copies through University Bindery, a local division of Houchen Bindery, or from another bindery of their choice. For additional information, please visit www.houchenbindery.com or call (314)-918-7017.

7: COMMON MISTAKES

Pluralizing Decades or Years

DO NOT USE an apostrophe when pluralizing a decade or a series of calendar years.

CORRECT	INCORRECT
1960s	1960's
The 70s	The 70's

Quotation Marks with Periods and Commas

Periods and commas must be positioned correctly in relation to close-quotation marks. These two punctuation marks are always individually placed ahead of the close-quotation marks.

- the comma (,)
- the period (.)

CORRECT	INCORRECT
"…in this way,"	"…in this way",
"…like this."	"…like this".

Other punctuation marks, such as the semi-colon (;), colon (:), question mark (?), and exclamation point (!) are placed after the close-quotation marks. The sole exception occurs when one of these four symbols is a part of the quotation itself, in which case the symbol is placed before the close-quotation marks.

Block Quotations

- Block quotations are always INDENTED from the left side only at least five spaces, and are SINGLE-SPACED.

- No beginning and ending quotation marks are used in the case of a single-spaced, block-format quotation. The fact that this material is isolated by means of the single-spaced block format effectively substitutes for the quotation marks.

- Any DIRECT QUOTATION OF 40 OR MORE WORDS SHOULD BE IN BLOCK QUOTATION FORMAT. An exception to this rule occurs with a list of several pages of short- to medium-length responses to a questionnaire or an interview.

Leaving Items Hanging

- The heading or subheading for a new section of the thesis/project/dissertation may not be the last line on a page. Instead, place the heading at the top of the next page.

CORRECT

cloud deposits onto small ice crystals. The ice crystals then grow large enough to collide with each other which leads to aggregation. These particles then fall into warmer air which is greater than 0°C and melt to form rain. The warm-rain process is much more efficient at producting precipitation then the cold-rain process (Lamb, 2001; Young, 1993). It is also possible to have both cold and warm-rain processes occurring at the same time

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INCORRECT

cloud deposits onto small ice crystals. The ice crystals then grow large enough to collide with each other which leads to aggregation. These particles then fall into warmer air which is greater than 0°C and melt to form rain. The warm-rain process is much more efficient at producting precipitation then the cold-rain process (Lamb, 2001; Young, 1993). It is also possible to have both cold and warm-rain processes occurring at the same time.

2.2 Precipitation Efficiency

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- When presenting items in a numbered format, do not leave numbers hanging at the end of the line on a page.

CORRECT

Issues that educators face in dealing with at-risk students are the following**: 1)** Students come to school lacking adequate nutrition and rest; **2)** Lack of support from parents**; 3)** Overcrowded classrooms; **4)** Lack of needed funds for programs targeting at-risk students; and **5)** Children with high absenteeism lack the classroom time necessary to cover all the subjects needed to succeed.

To combat these issues, educators must work with professionals from many different fields to

125

INCORRECT

Issues that educators face in dealing with at-risk students are the following: **1)** Students come to school lacking adequate nutrition and rest; **2)** Lack of support from parents; **3)** Overcrowded class-rooms**; 4)** Lack of needed funds for programs targeting at-risk students; and **5)** Children with high absenteeism lack the classroom time necessary to cover all the subjects needed to succeed.

To combat these issues, educators must work with professionals from many different fields to

125

- Do not separate numbers from their units of measure by placing the two items on different lines.

CORRECT	INCORRECT
Post space diameter was prepared to **1.6 mm** and **2.1 mm** in diameter and post preparation length was studied by increasing space lengths approximately **5 mm** to **8 mm** from the apex. The tooth was set into a matching hole approximating the shape of the root in a	Post space diameter was prepared to **1.6 mm** and **2.1 mm** in diameter and post preparation length was studied by increasing space lengths approximately **5 mm** to **8 mm** from the apex. The tooth was set into a matching hole approximating the shape of the root in a

Referring to Future Degrees in Vita Auctoris

Do not refer to an anticipated degree conferral in the past tense. The Vita Auctoris may contain a statement in anticipation of the conferral, such as "Ms. Jones **expects** to receive the Doctor of Philosophy in Educational Leadership in May 2020," but such a statement is not required.

8: FORMAT CHECKLIST

Please be sure you've checked that all of the following have been done correctly <u>before</u> submitting your dissertation, project, or thesis to your Candidacy Specialist.

General Guidelines

- 1" margins all around
- Text is left justified only.
- Type used is 12 pt. font for text.
- Font used is a clear, simple, and basic style.
- Headings and body consistent throughout document
- Headings or subheadings for a new section may not be on the last line of a page.

Title Page of Thesis/Project/Dissertation

- Follow exactly the examples of the Title Page found at the end of Section 1 of the guide (or Section 5 for students pursuing their Master of Science in Dentistry).

Preliminary Pages

- All preliminary pages have lower-case Roman numerals centered at the bottom.
- Headings (e.g. Acknowledgements, Dedication, Table of Contents, List of Tables, etc.) are formatted using the same style as the chapter titles in document.

Copyright Page

- Included only if you are copyrighting; should be page i.
- See example of Copyright Page at end of Section 1.

Committee Page

- Committee Page is page i if you are not copyrighting and page ii if you are copyrighting.
- Committee members' academic rank checked
- Committee members' names alphabetized after chairperson is listed.
- Committee members' names left justified
- See example of Committee Page at the end of Section 1.

Dedication *(optional)*

- Follows the Committee Page.
- The word "dedication" is formatted the same as chapter titles.
- Written in paragraph format and double-spaced. If it is just a short phrase, center on page and the heading "Dedication" is not required

Acknowledgements *(optional)*

- Follows either the Committee Page or the Dedication Page.
- Word "Acknowledgements" is formatted the same as chapter titles.
- Written in paragraph format, double-spaced

Table of Contents

- Follows the Committee Page or the Dedication /Acknowledgements Pages if they are included.
- Phrase "Table of Contents" is formatted the same as chapter titles.
- Single-space between subheadings within chapters and double-space between chapters and their equivalents (List of Tables, List of Figures, appendices, etc.).
- Page numbers in the Table of Contents are right justified.
- Chapter titles and headings in the Table of Contents exactly match what is used in the text unless titles and headings are over one line in length, in which case a shortened heading can be used.
- Include the items List of Tables or List of Figures if these lists are on subsequent pages.
- See example of Table of Contents at end of Section 1 (Section 5 for Dentistry).

List of Tables *(needed only if there are tables in text or appendices)*

- Follows the Table of Contents.
- Page numbers following the titles are right justified.
- Table names in the List of Tables exactly match what is used in the text, unless table titles are longer than one line in length, in which case shortened titles can be used.
- If tables are included in an appendix, they are titled and numbered and included in the List of Tables.
- Table titles are single-spaced; double space between each table title.
- Notes accompanying the tables are not included in the List of Tables.

List of Figures *(needed only if there are figures in text or appendices)*

- Follows either the Table of Contents or the List of Tables.
- Page numbers following the titles are right justified.
- Figure titles in the List of Figures exactly match the title used in the text, unless figure titles are longer than one line in length, in which case shortened figure titles can be used.
- If figures are included in an appendix, they are numbered and titles are included in the List of Figures.
- Figure titles are single-spaced; double space between each figure title.
- Notes accompanying the figures are not included in the List of Figures.

Main Body of Dissertation, Project, Thesis

- Text is double-spaced.
- Only block quotations, footnotes, endnotes, table titles and figure captions/ legends, and notes accompanying tables and figures are single-spaced.
- Any source mentioned in text is listed in the Bibliography/References/Works Cited.
- If superscript note numbering is used, [1] it is placed outside of comma (,) and period (.). [2]
- Method of citation follows the format used by student's department.
- Headings are ranked correctly and are consistent among and within chapters.

- All tables, figures, and appendices are referred to in the text in sequential order.
- Tables and figures are correctly formatted.

Appendix/Appendices

- If only one appendix, it is called just Appendix, not Appendix A.
- Each appendix has a name, describing the contents of the appendix.
- Follows the last chapter of your dissertation, project, or thesis and precedes the Bibliography/References/Works Cited.
- All pages are numbered.
- Includes all permissions granted for use of already published work.

Bibliography/References/Works Cited

- Format used follows the most current edition of the style guide of student's discipline.
- Spacing of references (single- or double-spaced) is determined by the style guide of the student's discipline.

Vita Auctoris (Required)

- Follows the Bibliography/References/Works Cited.
- Written in the third person
- Written in a narrative, not resume-style format.

Preparing for Format Review

- Create a separate abstract (350 words or less, no references).
- Print both documents single-sided on regular copy paper.
- Pages are unbound and there are no hole punches and no staples.

NOTIFICATION OF READINESS
FOR THE PUBLIC ORAL PRESENTATION OF THE DISSERTATION DEFENSE*

Candidate's Name: _____

Candidate's Banner ID: _____

Degree Program: _____

Dissertation Committee Members: _____
(*Chairperson*)

_____

_____

_____

_____

_____

_____
Outside Committee Member (for second defense only)

NOTE: If the date of the defense falls outside of the regular Fall or Spring semester, the student must attach written consent from all committee members that they agree to review the dissertation and attend the oral defense.

Title of the Dissertation:

Date of the Oral Presentation: _____

(Start) Time of the Presentation: _____

Location of the Presentation: _____

Date: _____ Signed: _____
(*Dissertation-Committee Chairperson*)

Date: _____Signed: _____
*(Dean/Associate Dean/Center Director)***

* This form must be completed and delivered to the Doctoral Candidacy Advisor (DuBourg Hall, Room 420D), at least two **two weeks** before the date of the public, oral presentation of the dissertation

** Signature conveys approval of the committee chair, dissertation committee, and outside committee member if required.

The **Dissertation-Committee Chairperson** is responsible for this form.

A list of those individuals the major field desires to receive invitations to this specific presentation may accompany this form with their email address. Invitations that must be sent by the USPS are the responsibility of the major field.

Please note that the University community will be informed of the day, date, time, and location of the presentation, initially one week in advance, via Newslink.

The Dissertation-Committee Chairperson should note:

Two results are reported: one for the oral defense and a second for the written dissertation.

If the decision for the defense is unfavorable, a new Notification of Readiness will be required for the second defense. An outside committee member (a SLU faculty member from another program) must be included in the second defense.

Doctoral Candidate: please note that the dissertation is not to be given to the Doctoral Candidacy Advisor in advance of the format review appointment. The format review appointment is held after the defense and after all changes have been made that were recommended by the committee.

* This form must be completed and delivered to the Doctoral Candidacy Advisor (DuBourg Hall, Room 420D), at least two **two weeks** before the date of the public, oral presentation of the dissertation

** Signature conveys approval of the committee chair, dissertation committee, and outside committee member if required.

Saint Louis University

Academic Integrity Policy

Approved 6-26-15

PREAMBLE

Saint Louis University is a community of learning in which integrity and mutual trust are vital. Since the mission of the University is "the pursuit of truth for the greater glory of God and for the service of humanity," acts of falsehood violate its very reason for existence. They also demean and compromise the activities of teaching, research, health care and community service that are its primary mission.

Since the University seeks to prepare students and faculty for lives of integrity and occupations of trust, it regards all acts of academic dishonesty as matters of serious concern. Such dishonesty also undermines the academic assessment process, which in turn impairs the ability of the University to certify to the outside world the skills and attainments of its graduates. Such dishonesty allows those who engage in it to take unfair advantage of their peers and undermines moral character and self-respect.

The Academic Integrity Policy detailed below sets out principles that are implicit in the ethos of the University but that call for explicit formulation to guide the practice of the entire institution. In establishing necessary definitions and minimal procedures to be followed in adjudicating violations, it also allows academic units to set forth the details of their own honesty policies in ways appropriate to their disciplines.

Academic integrity is honest, truthful and responsible conduct in all academic endeavors.

THE POLICY AND ITS SCOPE

The Policy on Academic Integrity set forth here is designed to promote ethical conduct within the University community by:

1) Defining the responsibilities of various members of the University community;
2) Defining violations of academic integrity;
3) Setting minimum standards for reporting and adjudicating violations of academic integrity;
4) Establishing procedures for appeals to the Office of the Provost; and
5) Establishing standards and procedures for maintaining records.

The Office of the Provost, in collaboration with Deans and Directors of academic units, has the responsibility for integrating concepts of academic integrity into student programs and curricula.

To comply with the University policy, academic units are expected to amend their own academic integrity policies to align with University definitions and minimum standards. Such units are also responsible for acquainting their students with professional requirements beyond those minimal standards as relevant to particular disciplines (NOTE: The use of the term “academic unit” refers to colleges, schools, centers, and the department or program level. The term is used inclusively because the process of investigating violations of academic integrity may begin at the departmental level in some cases or at the level of the college or school in others).

1. Responsibilities of Members of the Community

To create a learning environment in which high standards of academic integrity are prized requires the efforts of everyone in the University community.

Faculty are responsible for adhering to high standards of academic integrity in their own research and professional conduct; for laying out relevant parts of the policy on their syllabi and assignments; explaining key terms to students and following procedures for reporting and adjudicating possible violations both in and out of their academic unit. Furthermore, faculty are encouraged to create assignments that minimize the possibility of academic dishonesty through clear expectations and to help to create an environment in which academic integrity is uppermost.

Students are responsible for adhering to University standards of academic integrity, helping to create an environment in which academic integrity is respected, and reporting violations of the policy to instructors, department chairs, or administrators, as appropriate.

Staff are responsible for calling the attention of their supervisors to possible violations of academic integrity, for modeling high standards of academic integrity in their own professional conduct and research and for otherwise supporting a community of academic honesty and trust.

Academic administrators such as Deans, Chairs and Directors are responsible for addressing and managing cases of academic dishonesty in accordance with University policies and those of their academic units. One exception is that alleged violations of academic integrity in scientific research will be addressed in accordance with the Research Integrity Policy of the University. Administrators in academic units are also responsible for providing students or others charged with violations of academic integrity appropriate notice of the charges and the opportunity to respond in ways laid out in unit and University policies.

2. Violations of Academic Integrity

Definitions to guide academic units in setting and applying their academic integrity policies are as follows (more than one violation may apply):

Falsification entails misrepresentations of fact for academic gain. Instances include:

1. Lying to or deceiving an instructor about academic work;
2. Fabricating or misrepresenting documentation or the data involved in carrying out assignments;
3. Fabricating, misrepresenting, or altering in unauthorized ways information in academic records belonging to an instructor or to any academic department or administrative unit in the University.

Plagiarism involves the representation of someone else's thoughts, words, and/or data as if they were one's own or "self-plagiarism" which is the use of material prepared for one class and submitted to another without proper citation and without the permission of the instructor. Instances include:

1. Quoting directly from someone else's written, artistic or spoken work without using quotation marks or indented quotations and without giving proper credit to the author or artist; for example, cutting and pasting text from the internet and making it appear to be your own work.
2. Paraphrasing or incorporating someone else's ideas, concepts, arguments, observations, images, objects, music, or statements without giving proper credit;
3. Submitting as one's own work a paper or other assignment/project that has been prepared, either wholly or in part, by another person, group, or commercial firm without citation or acknowledgment.

Cheating involves the use of unauthorized assistance to gain an advantage over others. Instances include:

1. Copying from another student's examination or using unauthorized assistance, aids, technological resources such as cell phones, calculators, translation software or Internet based applications in taking quizzes or examinations;
2. Using resources beyond those authorized by the instructor to complete assignments such as writing papers, preparing reports, giving oral presentations, making models, multi-media projects, sound recordings, creating visual materials such as drawings, videos, or photographs or presenting material on the internet;
3. Acquiring, disseminating, or using tests or any other academic forms of assessment belonging to an instructor or a member of the staff through any means (including social media) without prior approval;
4. Influencing, or attempting to influence, any University employee in order to affect a grade or evaluation;
5. Hiring or otherwise engaging someone to impersonate another person in taking a quiz or examination or in fulfilling other academic requirements.

Sabotage entails disrupting or seeking to prevent the academic pursuits of others. It includes:

1. Interfering with work or undermining the academic success of others in the university community in an intentional way for the purpose of negatively impacting that person's academic performance;
2. Modifying, stealing, or destroying intellectual property such as computer files, library materials, artwork, personal books or papers.
3. Performing any action that would impact research outcomes such as lab tampering, falsification of data, or destruction of research resources.

Collusion involves unauthorized collaboration with another person or persons for the purpose of giving or gaining an academic advantage in such activities as completion of assignments or examinations without explicit permission of the instructor. Collusion may include any or all of the other violations of academic integrity as defined above. For example, if two students developed a plan that enabled them to improve their performance on an assignment that was supposed to be completed independently, they would be guilty of collusion.

Concealment entails failing to call to the attention of a faculty member or administrator violations of academic integrity that an academic unit requires be reported.

3. Reporting and Adjudicating Violations of Academic Integrity

Individual academic units in the University must take into account standards of academic and professional conduct for their own disciplines. Therefore, the University Academic Integrity Policy attempts no single set of procedures for adjudicating violations of academic integrity at the academic unit level and only applies standards for process, record keeping, and appeals to the Office of the Provost. (Exception: Alleged violations of academic integrity in scientific research will be guided by the University's Research Integrity Policy.) Each academic unit is expected to develop and implement an academic integrity policy inclusive of the following guidelines (see individual college/school/center policies for specific guidelines):

Minimal procedures to be followed by academic units are as follows:

- Maintenance of confidentiality
- Formal charges of violations of academic integrity
- Notification of charges
- Definition of the roles of faculty, administrators, students, staff and students in the proceedings
- Opportunity for response by those charged
- Opportunity to waive a hearing
- Procedures to avoid conflict of interest
- A hearing
- Notification of findings
- Provision of information on appeals to the Provost
- Maintenance of records (see University policy of maintenance of records at http://www.slu.edu/Documents/its/SLUInfoSecurity%201.7%20MaintenanceRecords%20v1.pdf.)

When an alleged violation involves two units**,** the academic unit responsible for reporting a violation of academic integrity is the one offering the course or program in which the alleged violation occurred.

- The academic unit in which the course is offered is expected to take the appropriate action (e.g., failure in the course) and any further actions should be taken in collaboration with the student's academic home unit.
- In the event that a course is cross-listed, the Deans or Directors of the academic units in question will determine which will take the lead.
- If the student being investigated is an unclassified graduate student, the Associate Provost for Graduate Education will have jurisdiction.

- If the person is an undecided undergraduate (University College), the Associate Provost for Undergraduate Education will have jurisdiction.

When an alleged violation is reported to the University by an external source, the Office of the Provost may refer the charge to the academic unit offering the course or program in which the alleged violation occurred. This process applies whether charges are made against current students or alumni.

Investigations of violations will be conducted in accordance with the standards and procedures of the academic unit with jurisdiction.

Sanctions will be imposed according to the policy standards of the academic unit with jurisdiction of the faculty member teaching the course or supervising the academic experience or leading the academic program in which the violation occurred. Academic unit with jurisdiction as defined as the unit of the faculty member teaching the course or leading the academic program in which the violation occurs. Formal charges of violations of academic integrity do not preclude other disciplinary action that the University may take if circumstances warrant additional sanctions.

Sanctions are to be commensurate with the nature of the offense and with the record of the student regarding any previous infractions. Sanctions may include, but are not limited to,

- A lowered grade;
- Failure on the examination or assignment in question;
- Failure in the course;
- Notice of the infraction in the violator's permanent record;
- Participation in training sessions;
- Probation;
- Suspension from the University;
- Expulsion from the University;
- Revocation of University degree; or
- A combination of the above.

In extraordinary circumstances, the University reserves the right to withhold or revoke a degree in consultation with the academic unit as appropriate. There is no statute of limitations for degree revocation.

The student can appeal the decision set forth by the academic unit with jurisdiction.

4. Submitting and Conducting an Appeal to the Office of the Provost

a.) Grounds for Appeals to the University Academic Review Board

Except as required to explain the basis of a decision or to provide new information, an appeal will be limited to a review of the record of the unit with jurisdiction and of supporting documents in order to determine one or more of the following circumstances:

- The procedures set forth by the academic unit were not followed, which may have significantly impacted the outcome of the case or may have resulted in a different finding; The procedures set forth by the academic unit were not followed and, for that reason, a different finding may be justified
- New or relevant information, not available at the time of the hearing, has arisen that may significantly impact the outcome of the case or may result in a different finding.
- The sanctions imposed were excessively harsh or excessive for the violation.

b.) Constitution of the Board

- Once an appeal has been filed with the Office of the Provost, the Associate Provost for Graduate Education or Associate Provost for Undergraduate Education will collect and review material compiling a record for initial review by the University Academic Review Board (UARB) serving as administrative oversight. The UARB, which reports to the Provost, has the responsibility of reviewing the appeal material and making a recommendation to the Provost. If the Board requires additional material during the review process, the chair may consult with the academic unit.

- The UARB is composed of four faculty recommended by the Faculty Senate Executive Committee, serving staggered two-year terms, and one student representative appointed by either Student Government Association (SGA) or Graduate Student Association (GSA) depending on the status of the student under review. Student members serve as ad hoc members of the UARB and must not be from the same academic unit as the academic unit in which the student accused of violations resides. Faculty members may serve more than one term. For the initial UARB, two members will be chosen for a one-year term and two for a two-year term.

- All UARB members will receive periodic training through workshops given by the University's legal counsel and a representative of the Office of the Provost. The chairperson of UARB serves a one-year term and will be recommended to the Provost by the Faculty Senate President from the faculty pool. The role of the chairperson is to direct and supervise the review process, participate in the deliberations of the UARB, and ensure, insofar as possible, that following the review, the UARB delivers a thoughtful, clearly articulated decision. Any UARB member selected must

recuse him/herself if that individual believes s/he cannot impartially fulfill his/her duties. Written notification of intent to appeal must be sent to both the academic unit administrator (e.g., Dean, Chair, or Director) with jurisdiction in the case and the Office of the Provost within five (5) University business days of receipt of the imposition of sanctions. Any concerns or objections with the make-up of the committee should be indicated at the time of notification.

The student's letter of notification to appeal must contain the following information:

- The student's name, student number, mailing address, phone number, and email address; and
- Notice of the violation itself and appropriate documentation of the event (e.g., Dismissal letter outlining academic integrity violations).

The Office of the Provost will acknowledge receipt of the notification to both the appropriate academic unit administrator and the student. Either party will then have five (5) business days to notify the Office of the Provost in writing of any objections to the composition of the UARB based on conflict of interest. The Office of the Provost will distribute the appeal to the UARB. In the event additional information is required, the UARB may contact the student or academic unit with jurisdiction.

- **Conflict of Interest.** Faculty, staff, students, and University officials asserting a violation of academic integrity should recuse themselves from any decision-making role. Such responsibilities will pass to faculty, staff, students, and University officials not directly involved in the case. In general, the standard for recusal is as follows: whenever individuals do not feel that s/he can consider all of the information provided during a review and render an impartial decision.

Final Notice

Following the UARB review, a Notice of Final Determination will be sent to the academic unit administrator and the student submitting the appeal within five (5) University business days. Such notice should contain one of the following findings:

- Academic unit decision upheld; or
- Returned to the academic unit of jurisdiction for additional review based on UARB findings such as new material submitted for review or the unit's failure to follow the prescribed process.

All correspondence with the student submitting the appeal should be addressed to the student's local address as it appears in the University's official records and should be sent via U.S. certified mail. A copy will also be sent to the student's SLU e-mail address. A notice that is properly addressed will be presumed to have been received. It is the responsibility of the student submitting the appeal to inform the University of any change of address in a timely manner so that University records can be accurately maintained.

Reporting

The Office of the Provost will report violations of academic integrity to the Office of the Registrar if a student is found responsible for the charge(s). Any sanctions imposed by the academic unit(s) become part of the student permanent records. In the event of future violations of University policies, the permanent record may be used to determine which sanction should be imposed. Violations of the University's academic integrity policies will appear in the student's permanent record (i.e. Banner), but will not appear on transcript(s).

5. Confidentiality

Confidentiality applies to all aspects of a matter. Disclosure of the facts will be limited to the UARB and those University officials for each case who have a need to know the information in connection with discharging their official duties and responsibilities. Violation of this confidentiality clause may result in sanctions as deemed appropriate per the University.

APPENDIX H. PROCEDURE FOR GRADUATE STUDENT DISMISSAL, SAINT LOUIS UNIVERSITY SCHOOL OF MEDICINE

(from Graduate Program Advisory Committee, 2016)

Recommendation for Dismissal

The Chair or Director of the student's academic unit (Department or Center, respectively) will notify the Dean of the School of Medicine in writing that the faculty of that unit recommend dismissal for reasons detailed in the letter.

Action of the Dean

The Dean may consult with the Provost and the Director of Graduate Programs in the Biomedical Sciences before issuing a dismissal letter to the student. Once a decision to dismiss is made, the student will be notified in writing of the decision and advised to contact the Director of Graduate Programs should they wish to appeal the decision. The Dean may choose to deny the dismissed student access to the campus and may notify the Department of Public Safety accordingly.

Procedure for an Appeal

The dismissed student may contact the Director of Graduate Programs in the Biomedical Sciences to request an appeal within ten days of receipt of the dismissal letter. If an appeal is requested, the Director of Graduate Programs will appoint a Subcommittee of three members of the School of Medicine Graduate Program Advisory Committee (GPAC) to hear the student's appeal. The Subcommittee will consist of one *ex offico* member of GPAC, and two full voting GPAC members, one of whom will be appointed Chair of the Subcommittee. None of the three Subcommittee members will be representatives of the student's former academic unit.

Role of the Subcommittee

The Subcommittee will review the documentation concerning the decision to dismiss The subcommittee may interview the dismissed student and the Chair or Director of the student's former academic unit, to understand how the decision to dismiss was determined. The Subcommittee will not judge the merit of the decision, instead they will recommend to the Dean one of the following:

1. Appropriate procedures were followed by the academic unit.
   OR
2. The decision by the faculty in the academic unit should be reconsidered.

Final Decision on the Merit of the Appeal

The Dean will consider the recommendation of the Subcommittee before making a final decision. The Dean may decide to consult the Director of Graduate Programs or the Provost before making a final decision.

Any further appeals by the dismissed student must be made to the Associate Provost for Graduate Education in accordance with the policy established in the most current Graduate Education Handbook.

Reviewed and Approved by GPAC: August 24, 2016. Accepted in Final Form by the Director of Graduate Programs in the Biomedical Sciences: August 29, 2016. Submitted to the Dean of the School of Medicine for final approval: August 29, 2016.