Yale University

New Faculty Orientation

2013-2014

Contents

Yale University

New Faculty List

Yale New Faculty

2013-2014

First Name:	Last Name:	E-mail:	Department:
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Yale New Faculty (continued)

2013-2014

First Name:	Last Name:	E-mail:	Department:
Jaehong	Kim	jaehong.kim@yale.edu	Chemical & Environmental Engineering
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Calvin	Slocumb	calvin.slocumb@yale.edu	ROTC Naval Science
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Jakub	Szefer	jakub.szefer@yale.edu	Electrical Engineering & Applied Science
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Anna	Zayaruznaya	anna.zayaruznaya@yale.edu	Music

YALE UNIVERSITY

Orientation Agenda

Yale OFFICE OF THE PROVOST

New Faculty Member Orientation

Academic Year 2013 – 14

Tuesday, August 20th

8:00 am **Registration, Photos, and Breakfast**

Presidents' Room, 2nd Floor of Memorial Hall (often referred to as Woolsey Hall)[1]

A University photographer will snap a few photos for your official university picture.

9:00 am **Welcome to Yale: Introductions & Overview of Agenda**

Benjamin Polak *Provost & William C. Brainard Professor of Economics and Management*

James Antony *Associate Provost & Professor Adjunct, Yale School of Management*

9:30 am **Undergraduates at Yale: An Overview**

Presidents' Room, 2nd Floor, Memorial Hall

In this session, you will learn about Yale College, the residential colleges, and the role of the College Masters and Deans

Amy Hungerford *Professor of English & American Studies; Chair of the Council of Masters; Master of Morse College*

Joseph Gordon *Dean of Undergraduate Education, Yale College*

Jasmina Besirevic-Regan *Dean of Trumbull College*

Mia Reinoso Genoni *Dean of Berkeley College*

Camille Lizarríbar *Dean of Ezra Stiles College*

10:30 am **Break**

10:45 am **Successfully Mentoring Graduate Students, Professional Students, and Postdocs**

Presidents' Room, 2nd Floor, Memorial Hall

In this session we will talk about graduate and professional students, effective mentoring, and working with postdocs

Thomas D. Pollard *Dean of the Graduate School, Sterling Professor of Molecular Cellular & Developmental Biology*

Lynn Cooley *C. N. H. Long Professor of Genetics; Professor of Cell Biology and Molecular Cellular & Developmental Biology; Director, Combined Program in the Biological & Biomedical Sciences*

Thomas Near *Associate Professor of Ecology and Evolutionary Biology*

Maria Piñango *Associate Professor of Linguistics, Past Director of Graduate Studies*

Pamela Schirmeister *Associate Dean of the Graduate School, Lecturer in Yale College*

Noon **Lunch – Welcoming remarks by FAS Deans**

Presidents' Room, 2nd Floor, Memorial Hall

Mary Miller *Sterling Professor of Art, History of Art of the Ancient New World; Dean of Yale College*

Thomas D. Pollard *Sterling Professor of Molecular, Cellular & Developmental Biology; Professor of Cell Biology and Professor of Molecular Biophysics and Biochemistry; Dean of the Graduate School of Arts and Sciences*

T. Kyle Vanderlick *Thomas E. Golden, Jr. Professor of Engineering; Dean, School of Engineering & Applied Science*

[1] Yale Trivia: The Presidents' Room is on the second floor of what we often call Woolsey Hall. Holden's 1967 book, Yale: A Pictorial History, reminds us that this room is actually located in Memorial Hall. Officially, what we call Woolsey Hall is composed of three buildings: Woolsey Hall (the auditorium), Memorial Hall (the connecting building with the inscription of the names of Yale's veterans), and University Dining Hall (also called Commons). These three buildings, along with Woodbridge Hall (where the President and Secretary have their offices), are known collectively as the Bicentennial Buildings, because they were built to celebrate the University's bicentennial in 1901.

1:15 pm **Entire group will walk to the Technology Enabled Active Learning (TEAL)**
17 Hillhouse Avenue

1:30 pm **Teaching at Yale**
TEAL, 17 Hillhouse Avenue
State of the art classrooms are appearing all over campus. What are the implications for our teaching? In this session we will engage in a critical conversation about the unique aspects of teaching undergraduates at Yale (such as the shopping period).
Stephen Stearns *Edward P. Bass Professor of Ecology & Evolutionary Biology*
Bill Rando *Director, Yale Teaching Center*
Risa Sodi *Associate Director, Yale Teaching Center & Director of Academic Advising, Yale College Dean's Office*

3:00 pm **Break: Refreshments Provided in Lobby Area of TEAL**

3:30 pm **Research & Teaching Resources: Concurrent Sessions**
TEAL, 17 Hillhouse Avenue

(Please choose two 30-minute sessions)

Session A: Using Yale Library Resources in Your Research & Teaching
Emily Horning *Director of Undergraduate Programs, University Library; Personal Librarian*
Bill Landis *Assistant Head of Public Services; Manuscripts & Archives, University Library; Personal Librarian*

Session B: Managing Grants, Contracts, & External Funding at Yale
Valerie Horsley *Maxine F. Singer Asst. Professor of Molecular, Cellular & Developmental Biology and Asst. Professor of Dermatology*
Michael Glasgow *Executive Director, Grant & Contract Administration*

Session C: How Environmental Health & Safety Can Help You (setting up labs, shops, safety, etc.)
Pete Reinhardt *Director, Office of Environmental Health & Safety*
Brenda Armstrong *Environmental Affairs Manager, Office of Environmental Health & Safety*

Session D: Using Yale's Collections in Your Research & Teaching
Pamela Franks *Deputy Director for Collections and Education, Yale University Art Gallery*
David Skelly *Professor of Ecology and Evolutionary Biology; Associate Dean for Research; Curator of Peabody Museum; Director of Graduate Studies, School of Forestry & Environmental Studies*

Session E: Using Yale's Classes*v2 System
Gloria Hardman *Academic Technologist, Information & Technology Services*

4:45 pm **Closing Comments & Preparation for Tomorrow**
TEAL, 17 Hillhouse

5:30 pm **Happy Hour & Pizza Making at the Yale Farm (Families Invited)**
345 Edwards Street
Mark Bomford *Director, Yale Sustainable Food Project*
Jacqueline Lewin *Manager of International and Professional Experience, Yale Sustainable Food Project*

Wednesday, August 21st

9:30 am **Debrief & Overview of Remaining Agenda** *(Coffee & Juice provided)*
Presidents' Room, 2nd Floor, Memorial Hall
James Antony *Associate Provost & Professor Adjunct, Yale School of Management*

9:45 am **Course & Syllabus Design**
Presidents' Room, 2nd Floor, Memorial Hall
We will discuss principles of good syllabus and course design. We will also explore such issues as content development, use of active and inquiry-based learning, designing creative assignments, and establishing routines for regular assessment.
Julia Adams *Professor of Sociology & International and Area Studies; Joseph C. Fox Director, Fox International Fellowship Program; Director, Division of Social Sciences*
Bill Rando *Director, Yale Teaching Center*
Risa Sodi *Associate Director, Yale Teaching Center & Director of Academic Advising, Yale College Dean's Office*

10:45 am **Break**

11:00 am **Understanding Review, Promotion, and Leaves**
Presidents' Room, 2nd Floor, Memorial Hall
In this session you will learn about review, promotion, and leaves. New senior faculty will learn about their role in the process.

ARTS & HUMANITIES
Schools: Architecture, Art, Divinity, Drama, Music
FAS Departments: African American Studies; American Studies; Classics; Comparative Literature; East Asian Languages & Literature; English; Ethnicity, Race, & Migration; Film Studies; French; German; History of Art; Humanities Program; Italian; Judaic Studies; Medieval Studies; Music; Near East Languages & Civilizations; Philosophy; Religious Studies; Renaissance Studies; Slavic Languages & Literature; Spanish & Portuguese; Theater Studies; Women's, Gender, & Sexuality Studies
Mary Miller *Sterling Professor of Art, History of Art of the Ancient New World; Dean of Yale College*
Emily Bakemeier *Deputy Provost for the Arts & Humanities*
Lawrence Manley *William R. Kenan Professor of English; Director, Division of Humanities*

SCIENCE & TECHNOLOGY
Schools: Engineering and Applied Science; Forestry & Environmental Studies
FAS Departments: Applied Mathematics; Applied Physics; Astronomy; Biomedical Engineering; Chemical Engineering; Chemistry; Cognitive Science; Computer Science; Ecology & Evolutionary Biology; Electrical Engineering; Geology & Geophysics; Linguistics; Mathematics; Mechanical Engineering; Molecular Biophysics & Biochemistry; Molecular, Cellular, & Developmental Biology; Physics; Psychology
Thomas D. Pollard *Sterling Professor of Molecular, Cellular & Developmental Biology; Professor of Cell Biology and Professor of Molecular Biophysics and Biochemistry; Dean of the Graduate School of Arts and Sciences*
Steven Girvin *Deputy Provost, Science & Technology; Eugene Higgins Professor of Physics & Professor of Applied Physics*
Robert Burger *Assistant Provost for Science & Technology*
Jonathan Ellman *Eugene Higgins Professor of Chemistry; Professor of Pharmacology; Director, Division of Physical Sciences*
Donald Engelman *Eugene Higgins Professor of Molecular Biophysics and Biochemistry; Director, Division of Biological Sciences*

SOCIAL SCIENCES
Schools: Law; School of Management
FAS Departments: Anthropology; Archaeology; Economics; Ethics, Politics & Economics; History; History of Science; International Security Issues; Political Science; Sociology; Statistics
Thomas D. Pollard *Sterling Professor of Molecular, Cellular & Developmental Biology; Professor of Cell Biology and Professor of Molecular Biophysics and Biochemistry; Dean of the Graduate School of Arts and Sciences*
Frances Rosenbluth *Deputy Provost for the Social Sciences & Faculty Development; Damon Wells Professor of Political Science*
Steve Berry *James Burrows Moffatt Professor of Economics; Outgoing Director, Division of Social Sciences*

HEALTH AFFAIRS
Schools: Medicine; Nursing; Public Health
Stephanie Spangler *Deputy Provost for Health Affairs & Academic Integrity*
Cynthia Smith *Associate Provost for Health Affairs & Academic Integrity*

LECTORS, LECTURERS, & OTHER NON-LADDER APPOINTMENTS
James Antony *Associate Provost & Professor Adjunct, Yale School of Management*

12:15 pm **Walk to Lunch**
Timothy Dwight College, Dining Room

Announcements
Jason Killheffer *Senior Project Director, Office of the Provost*
"The Faculty Handbook: What You Need to Know"
Elizabeth Stauderman *Chief Communications Officer & Special Assistant to the President*
"Speaking to the Press: Where to go for Assistance"

1:30 pm **Yale Faculty Panel: My Career at Yale**
Timothy Dwight College, Dining Room
This panel of your colleagues will share what has been great about their own careers here.
Richard Bribiescas *Chair & Professor of Anthropology*
Tamar Gendler *Chair & Vincent J. Scully Professor of Philosophy; Professor of Psychology; Professor of Cognitive Science; Professor of Humanities*
Jonathan Holloway *Chair & Professor of African American Studies; Professor of History; Professor of American Studies; Master Calhoun College*

2:30 pm **Break**

3:00 pm **Benefits, Wellness, and Thriving in New Haven (Your spouse is invited to this workshop)**
221 Whitney Avenue
In this workshop, you will learn about various resources at Yale and in in New Haven that will contribute to your overall health, wellness, and satisfaction. Time will be left aside for you to have any of your questions answered.

Welcome Message from Human Resources
Donna Cable *Associate Vice President of Human Resources, Academic Units*

Panel Discussion: Thriving in the Yale and New Haven Communities
Susan Abramson *Manager, Work-Life Program & Childcare Resources*
Michael Morand *Deputy Chief Communications Officer, Office of Public Affairs & Communications*
Claudia Merson *Director of Public School Partnerships, Office of New Haven & State Affairs*

Health & Welfare Benefits
Kate Castello *Senior Benefits Counselor, Office of Human Resources*

Retirement Benefits
Sue Federico *Lead Retirement Counselor, Office of Human Resources*

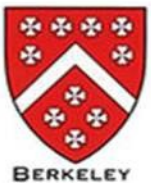
5:00 pm **Adjourn**

5:30 pm **Welcome BBQ with President and Provost (Families invited)**
35 Hillhouse Avenue
Peter Salovey *President of Yale University; Chris Argyris Professor of Psychology*
Benjamin Polak *Provost of Yale University; William C. Brainard Professor of Economics and Management*

YALE UNIVERSITY

Residential Colleges Defined

Residential Colleges Defined



Far more than dormitories, Yale's residential colleges have been called "little paradises," each with its own distinctive architecture, courtyard, dining hall, and library as well as activity spaces such as a movie theater, recording studio, printing press, dance studio, and gym. With their resident deans and masters, legendary intramural sports teams, Master's Teas hosting world leaders, and spirit of allegiance and community, Yale's residential colleges provide an unparalleled undergraduate experience.

Before arriving as a freshman each student is randomly assigned to one of the twelve colleges, giving Yalies a built-in community from the moment they arrive. Most Yale students quickly become convinced that their residential college is the best residential college. Each college is home to a microcosm of our undergraduate student body as a whole, allowing students to have the cohesiveness and intimacy of a small school while still enjoying the vibrancy and resources of a world-class university.

The colleges give students a chance to meet and learn from other students with different interests – people they might not otherwise meet in classes or extracurricular activities. While many students form their closest and most enduring friendships through their college, students can choose to engage in residential college life as much as they like. Each of the colleges has its own history and traditions.

The colleges also bring together faculty and students in a way that is virtually unmatched in American collegiate education. With programs of formal advising, seminars, and academic prizes as well as activities that encourage students' extracurricular interests, the colleges are a unique bridge between academic and social life.

A Master and Dean oversee each residential college, setting the cultural tone and atmosphere of the college. The Master of each college is responsible for its academic, intellectual, social, athletic, and artistic life. Masters work with students to shape each residential college community, bringing their own distinct social, cultural, and intellectual influences to the colleges. Residential college Deans are a primary academic and personal advisor to students in their residential college. The Dean is a full-time mentor for students as they consider majors, courses, projects and college life.

In addition to fulfilling their role in the residential college, both the Master and Dean are also distinguished professors and tenured faculty, or serve as senior university administrators. Masters and Deans live among students in the colleges, which enables them to get to know students not just in a formal capacity, but also at dinner, in class, at social events and performances, and in the college's hallways and courtyards.

Residential Colleges Defined

According to Calhoun College Master Jonathan Holloway, an important part of what makes the residential colleges "home" is that "adults live alongside the students, celebrating their successes and helping them navigate their challenges."

Now more than 70 years old, Yale's residential college system is perhaps the most distinctive feature of undergraduate life here.

mas•ter and dean *n.* The Master and Dean are professors who live in the college, eat meals with students in the dining hall, and serve as the college's leaders. The Master plans college social events like subsidized trips to Broadway shows, and the Dean is the college's academic adviser.

but•ter•y *n.* In the basement of each college is a buttery that sells cheap food late at night. It often serves as a gathering place for students in the college to take a break from working.

mas•ter's tea *n.* Each college Master hosts afternoon teas throughout the year at which students can gather in small groups to interact with a guest speaker. Some recent guests include actor Denzel Washington, journalist Brian Williams, author R.L. Stein, rapper Chris "Ludacris" Bridges, and talk show host Whoopi Goldberg.

stud•y break *n.* College Masters and Deans make sure students take plenty of breaks from studying, so during finals time they host nightly study breaks in their homes with plenty of food.

din•ing hall *n.* Each college has its own dining hall where students eat. In addition, each college has its own library, gym, TV room, music practice room, and other facilities like theaters.

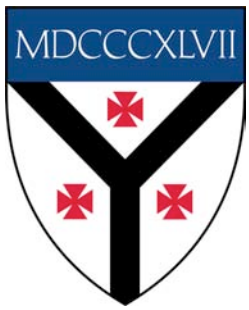
dean's ex•cuse *n.* If you get sick at Yale there is no need to stress and run around to each professor begging for extensions on assignments: your Dean will give you extensions for all your work until you feel better.

"say what? say•brook!" The cheer of Saybrook College, the best residential college. (Note: this glossary was written by a Saybrook student.) Each college has a cheer to show its spirit. Most students think their college is the best college.

tyng cup *n.* Each college competes against all others in over thirty sports, ranging from soccer to ping pong. The college that performs the best gets the coveted Tyng Cup.

YALE UNIVERSITY

Improving Graduate Education at Yale



Improving Graduate Education at Yale University

A report to the President, Provost, Fellows of the Yale Corporation, Faculty of the Graduate School of Arts and Sciences and Graduate Students

August 24, 2011

Summary and recommendations

In 2010 the Yale Graduate School of Arts and Sciences undertook a complete review of all of our doctoral programs with the objective of optimizing outcomes for both students and their programs. Our aim is to make the best use of the time that each student invests in his or her doctoral education at Yale. Our evaluation shows that Yale's doctoral programs meet with success in many cases but fall short of this goal for some students. The analysis suggests straightforward approaches to make improvements where we fall short. Much of this information has not been widely known outside the Graduate School. We hope that this transparency will help everyone understand the needs and opportunities for improvements.

Over the past fifteen years the University invested dramatically in graduate education for doctoral students providing full financial support for five years, improved benefits and a strong student life program. Nevertheless, a comprehensive evaluation of our more than sixty graduate programs in 2010 revealed that they differ considerably in outcomes as measured by the fraction of students completing a PhD thesis, the fraction of students finishing their degree in six years or less and the fraction of students leaving graduate school without a PhD after the third year.

A Spring 2011 survey confirmed that our doctoral programs use many excellent practices to help their students navigate through graduate school, but no program uses all of these practices. Programs with good outcomes support their students with many more of these good practices than programs with poor outcomes. Therefore, even taking into account differences in degree requirements and the poor employment prospects in some fields, the data suggest that students would be better served if programs implemented good practices more uniformly.

To enhance the success of our doctoral students, we are providing programs with comprehensive data on their students, outcomes and practices as background for discussions about strategies to implement as many good practices as possible.

We will expect all programs to adopt good mentoring practices already used by successful graduate programs across the University. These practices include provision of high quality information about program requirements and expectations, early independent research, careful monitoring of student progress prior to qualifying exams, scheduling qualifying exams or other assessments to allow for early decisions about readiness for dissertation research, annual thesis committee meetings with written feedback to the student, regular formal meetings for students to discuss their ongoing research with faculty and fellow students, regular informal contact between faculty and students to build cohesive academic communities and annual opportunities for students to present their work. Wide adoption of these practices will benefit students and outcomes should improve across the board.

In addition to strengthening mentoring, we identified other opportunities to help our doctoral students. We are vigorously seeking space for graduate student offices where they are lacking. We are investigating ways to support postdoctoral fellowships in the humanities, to improve support for students seeking positions and to partner with alumni to create internships outside the academy to expose interested students to a range of career opportunities.

Report

Objectives

This study was designed to learn how well our graduate programs serve their students. Our analysis revealed many straightforward opportunities to make improvements. We recommend changes that will make better use of the time that each student invests in his or her doctoral education at Yale and improve outcomes for both the students and their programs.

Overview of graduate education at Yale University

Yale was a pioneer in graduate education, awarding the first PhD degrees in the United States 150 years ago. After Yale College, the Graduate School of Arts and Sciences has the second largest student body in the University, with about 2500 doctoral students in more than sixty graduate programs and about 200 terminal master's students in twenty-four programs. The graduate faculty includes members of the Faculty of Arts and Sciences as well as many faculty members from professional schools.

Since 1996 Yale has invested heavily in graduate education as documented in Appendix 1. Today our students are fully supported with five years of tuition scholarships and a generous stipend that covers the estimated cost of living. Students and their families have healthcare through Yale Health and access to vision and dental plans. Students with families benefit from generous paid parental leaves. The McDougal Center at the Graduate School provides training in teaching, a writing center, social activities and a job placement service. We foster student-faculty interactions with a free lunch plan.

Dean Jon Butler led an initiative in 2006-08 to promote a smoother transition during years two through four of graduate training, when students move from coursework to independent scholarship and research. Appendix 2 and http://www.yale.edu/graduateschool/academics/2-4project.html summarize this "2-4 Project." Many programs responded constructively with a host of improvements that continue to benefit students and provide excellent examples for the management of graduate programs. However, the needs of many students have not yet been addressed, because few of these good practices were implemented across the board.

Profiles of doctoral programs at Yale University

To provide perspective, we collected quantitative data about each doctoral program in 2010. The graduate programs helped by providing information and making corrections. Appendix 3 and additional data illustrate that the programs differ widely in size, admissions statistics, finances and outcomes.

We shared these data with the department chairs and directors of graduate programs to inform those responsible for graduate education at the departmental level about how graduate programs operate across the University. Few outside the graduate school administration were familiar with this information, and no faculty members had seen the financial data. Sharing this information and asking many questions fostered discussions within departments, motivating many to think more critically about their programs and to initiate changes that will benefit the students.

Program size: Columns 1-3 in Appendix 3 provide information about the sizes of the doctoral programs in 2010, which ranged from less than ten to more than 150 doctoral students. Ratios of students to faculty ranged from less than 1:1 to more than 5:1 even within divisions.

Admissions data: The number of applicants to our doctoral programs ranged widely from thirteen to more than 800. Column 6 measures the selectivity of the admissions process, which varied from 3% to more than 25% of applicants being offered admission. Between 19 and 100% of those offered admission chose to study at Yale. Not included in the table is the number of competing programs, which varies widely and impacts selectivity and competition for students.

Funding: The cost of a six-year doctoral program at Yale is about $260,000, including tuition, stipend and $25,000 for healthcare, hospitalization insurance and fees. All doctoral students are guaranteed full support for five years. In year six most are able to support themselves with additional teaching and research assistantships. For the duration of a student's registration, the Graduate School provides health insurance awards, as well as all of the benefits of registration.

The funds to support our students come from the Graduate School and outside sources. Annually the Graduate School provides students more than $38 million from endowment income as University Fellowships (UFs). The Graduate School also pays some students in their later years as teaching fellows in undergraduate courses beyond the teaching required by their programs.

Every program provides direct financial support to its graduate students, but the amount varies widely. Professional schools provide most of the support for their graduate students. Research grants awarded to faculty members, training grants awarded to programs, outside fellowships awarded to students and departmental endowments contribute about $36 million to cover student stipends and $18 million toward tuition. Science and engineering programs support graduate students with funds from research grants awarded to the faculty. Competitively awarded training grants to biomedical research programs provide tuition and stipends for two or three years.

The net cost to the Graduate School per student over six years ranges from $400 to $177,000 per student (column 10 in Appendix 3). These net costs exclude pass-through tuition (tuition scholarships awarded to students by the Graduate School and then paid back to the University) but include tuition payments from outside sources. The annual cost to the Graduate School for each doctoral program (column 11 in Table 1) ranges from as little as $600 (when funds from external sources balance the University Fellowships awarded to students) to more than $3.7 million. We accept the reality that the availability of funds from outside sources varies widely.

Student outcomes

One of the most striking differences among our doctoral programs is the relative fraction of students who complete a dissertation and receive a PhD degree. In the 1996-2003 cohorts of entering students, 90% finished in some programs, while less than 40% eventually received a PhD in other programs (column 8 in Table 2). The median time to degree ranged from less than five to more than seven years (column 9). Since these medians do not include students who left Yale without completing their PhD, this widely used measure is hard to interpret and may even be misleading.

Student placements (not shown) were good for those with a PhD, but Yale's data do not include placements for students who did not receive a PhD.

Analysis of student outcomes

We use Meier-Kaplan plots to track the outcomes in graduate programs. Figure 1 shows the outcomes for all students entering two graduate programs between 1996-2000, one with outstanding outcomes (A) and another with poor outcomes (B). These graphs convey a more nuanced picture than either the time to degree or the fraction of students finishing the programs.

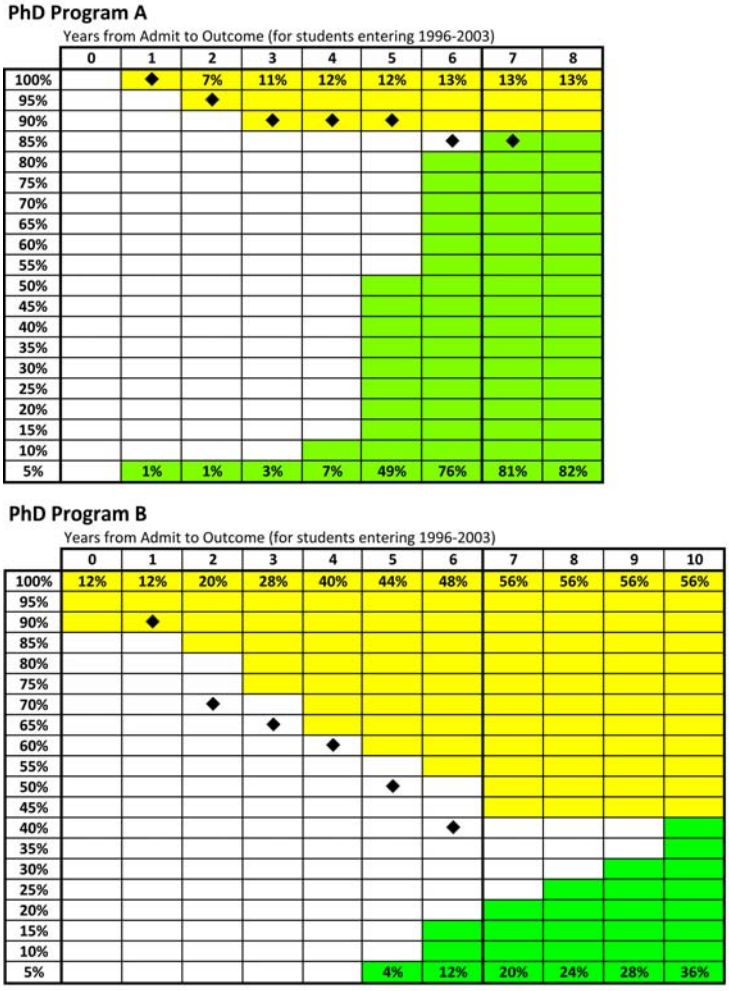


Figure 1. Outcomes for students entering two doctoral programs between 1996 and 2003. Green tracks the accumulation of PhD degrees over time. Yellow tracks departures with a master's degree. Diamonds show the attrition of students without a PhD.

In our programs with the best outcomes more than 80% of students finish dissertations and are awarded the PhD degree. Students in these top programs also graduate in six years or less. For example, 76% of the students in program A finished in six years or less and another 5% finished in year seven. In program B the outcomes were poor in three respects: only 36% of students finished, of those more than half took longer than six years and attrition without a PhD degree was spread over years three to seven.

Attrition of students in doctoral programs is inevitable and expected. The most common causes are personal problems or a change of interests, but attractive job opportunities in museums, think tanks and government draw away some students before they complete dissertations. Attrition can

benefit all concerned when students use their master's degree to move on to another pursuit early in their doctoral program. Some of our most successful and generous alumni used their master's degree to build satisfying careers.

Thus it is desirable for students in most fields to discover during the first two years in graduate school whether they will either take a terminal master's degree to build their careers or finish the work required for a PhD degree. Attrition from doctoral programs later than the end of year three is a long-standing issue in graduate education and a glaring weakness of program B in Figure 1. A timely decision about completing a PhD thesis is important, since every year in graduate school is costly both in the time invested by the student and the funds, faculty time and effort invested by the University. In the department with lots of late attrition, the Graduate School invests more than $350,000 for each PhD awarded.

Correlation of outcomes with student support

We measured outcomes by fraction of students completing their PhD, time to degree and amount of late attrition. We used this data to calculate a numerical outcomes score for each program. Appendix 4 describes the method in more detail. Figure 2 shows a program completion index for all of our graduate programs. We appreciate that field-specific differences within and between divisions may influence the time to degree. However, these differences alone cannot explain the difference between the two examples in Figure 1 and many more like them. Since the admissions qualifications (standardized exam scores and college grades) of the students in our sixty programs ranged less widely than the outcomes, we were curious why outcomes varied so much.

A survey of programs in early 2011 confirmed that most doctoral programs use excellent practices to help their students navigate through graduate school, but no program used all of these practices. We measured how each program handles eight key mentoring opportunities, including early research experience, time of qualifying exam, thesis committees, student evaluations, meetings with mentors individually and in groups, and student presentations of their work. Appendix 4 describes the method in more detail.

The thesis adviser has the principal responsibility for helping a student with his or her thesis. Advisers are expected to provide students with timely advice on the selection of research topics, direction of their work and editing of written material. Where this fails, students can be hurt. We did not evaluate the frequency or quality of interactions of individual faculty members with their students, but we have the impression that most faculty members are devoted mentors. Although worthy of confirmation with a separate study, we believe that Yale is more successful with this "micro-mentoring" than with the "macro-mentoring" considered in the following sections.

Our analysis was limited by the fact that we measured current mentoring practices but collected outcome data for an historical cohort that did not benefit from improvements made by the 2-4 Project or by several programs that have rebuilt their faculty and doctoral programs since 2000. Some departments implemented substantial improvements in 2008, but overall mentoring practices have not changed dramatically. A second limitation was that some responses to our survey of mentoring practices did not fully represent the effort that programs invest in their students. Personal visits to about twenty programs have allowed us to correct some of the data on outcomes and mentoring practices.

Figure 2 illustrates how student outcomes relate to mentoring in each program with programs A and B marked. Programs with good outcomes use many more best practices than programs with poor outcomes. Therefore, even taking into account differences in degree requirements and the poor employment prospects in some fields, the data suggest that implementation of better practices will improve outcomes in any program. This conclusion is reinforced by the experience of a few programs that strengthened student academic support and improved outcomes during the past decade. We cannot escape the fact that programs with good outcomes use good mentoring practices more intensely than programs with poor outcomes.

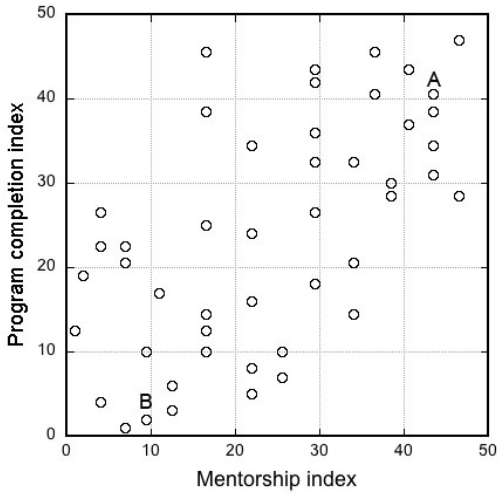


Figure 2. Plot of student outcomes (program completion index) vs. academic support (mentorship index).

Implementation of good practices that support graduate students

Going forward, we will expect all programs to provide their students with a high level of academic support. This will require faculty in many programs to improve the type and frequency of mentoring for their students. We want all students to benefit from strong mentoring in the near-term, but programs should also take care when considering changes in requirements for advanced students well into their dissertation research.

The collection and sharing of the data in this report elicited positive responses from the graduate programs. In addition we have met personally with chairs and directors of graduate studies of twenty programs. We provided each program with comprehensive data on their students, outcomes and practices as context for considering strategies to implement as many good practices as possible. These discussions helped departments to appreciate where they fall short and learn about effective mentoring in other departments.

In most cases the program leadership agreed on where they have room for improvement and identified concrete steps they would like to take to help their students. Indeed most chairs and directors of graduate studies are committed personally to implementing improvements. If there was concern about the willingness of other faculty members to consider changes, we offered to participate in a faculty meeting and to provide whatever support is necessary.

Fortunately, we do not have to look far for examples of good practices, because many are widely used at Yale. A separate document, "Best Practices in Yale Graduate Programs," is a sample of supportive practices from all three divisions. The following sections suggest nine ways for programs to support their students, including our recommendations for action.

i. Program requirements: The 2-4 Project revealed that many programs failed to provide their students with enough information about academic requirements and sufficient detail about expectations for professional development. In response, many programs have improved their written and web-based materials about requirements since 2008. Our study identified some excellent examples of more nuanced advice for graduate students. Some have found that simply

stating at matriculation that students are expected to finish their thesis in a certain number of years gives the students a concrete goal that improves their time to degree.

Concern: Students do not flourish in programs without clear information about requirements and expectations.

Recommendation: Every program should maintain a current account of its requirements on its website and include some written guidance about what is expected of the students during each year in the program. A clear understanding of expectations will help students stay on the path designed for them, rather than having to make corrections when they drift off track. This advice should include the program's estimate of the time that a high performing student will take to finish his or her dissertation.

See "Best Practices" for good examples from Anthropology, Applied Physics, Cell Biology, Classics, Computer Science, Geology & Geophysics, Political Science, Molecular Biophysics & Biochemistry and Nursing.

ii. Early independent research: Our programs require from zero to four terms of research courses in the first two years. Ideally, students have the opportunity to carry out an independent research project during the first and second years to give them a taste of dissertation research and allow them to learn if they enjoy and can handle this type of work. The independence and open-ended nature of this research may occur through papers written in graduate seminars, but in other cases is quite distinct from term papers in formal classes. Early research enables students to evaluate their own desire to complete a PhD thesis and their needs. Early research also helps students select a thesis adviser. Students who experience difficulties with these research projects may be well advised to leave their program with a master's degree.

Concern: Some graduate programs require little or no independent research prior to qualifying, so neither the faculty nor the student has enough information to gauge a student's research abilities during the first two years.

Recommendation: Programs should require independent research beginning no later than the summer after the first year. In many experimental sciences students do research continuously during their first two years. First year courses called laboratory rotations are followed by research during the summer and into the second year through qualifying exams. For programs without the equivalent of laboratory rotations, several options exist. Sociology requires second year students to write an original research paper for submission to a journal. Some humanities and social science programs expect first and second year students to identify one class paper to expand into a larger piece of independent scholarship with advice from a faculty member. Some programs have the goal that this research can be published as a journal article, but this is less important than the experience of undertaking scholarship. Such independent projects will have a greater impact on student development if they are a requirement and perhaps given course credit. An alternative is a summer research course combining research with assigning reading.

See "Best Practices" for good examples from History, Political Science and Sociology.

iii. Evaluation of progress prior to qualifying exams: Our graduate programs review their students from zero to four times during the first two years. Ideally the director of graduate studies leads a discussion involving the entire faculty of a department or program on the progress of each student, so that the group can make informed decisions about each student, including decisions about remedial actions, changes of adviser, probation or withdrawal from the program

for students with intractable problems. These discussions also allow for outside perspectives on issues between a student and a mentor. Some programs provide each student with a written summary of their appraisal and recommendations for the coming year.

Concern: Without formal annual discussions among the faculty, the director of graduate studies will not be fully informed about each student, problems may not be addressed in a timely fashion and students may not know where they stand.

Recommendation: The faculty as a whole should review the progress of each student every year and provide written assessments when appropriate.

See "Best Practices" for good examples from Cell Biology, English and Psychology.

iv. Qualifying exams and the onset of dissertation research: Qualifying exams can help inform students and faculty of the likelihood that the student will complete a dissertation. Qualifying exams are held as early as the third term (fall of year two) or as late as the seventh term (fall of year four). Scheduling exams well after the second year may do the student a disservice and contribute to late attrition in year three and beyond.

Different views of the nature of the qualifying exam contribute to the wide variations in timing and content. Some programs view the qualifying exam as a comprehensive test of knowledge in the field, so they delay the exam until students complete up to twenty-four required courses. Another view is that a qualifying exam determines the student's capacity for doctoral research, so thesis research can begin before and be a focus of the qualifying exam. The exam can expose areas of weakness and allow the student to take remedial action.

Concern: Qualifying exams scheduled late in graduate school postpone decisions about whether a student should finish the program and contribute to the disappointment of late attrition.

Recommendation: Qualifying exams should be completed as early as possible and no later than the middle of the third year. Students deemed capable of thesis research by passing the exam might complete some courses after the qualifying exam. If program requirements preclude completion of the qualifying exam until the end of the third year or later, the department should implement other means to assess each student's capacity for thesis research by the end of year two. One approach would be to require completion of one component of the exam before the beginning of year three to provide objective feedback to the student and allow a well-informed decision about whether it is in the student's best interest to continue to the qualifying exam in the third year.

See "Best Practices" for examples from Computer Science, Film Study, History, Pharmacology and Statistics.

v. Thesis committees: A majority of our graduate programs require thesis committees, but some do not. A standard thesis committee consists of the adviser and at least two other faculty members. Students without a thesis committee are highly dependent on their adviser. Thesis committees become active in the second year in some programs but not until the fourth or later years in others. Most programs with thesis committees require meetings annually, but this is not always enforced and some schedule meetings only "as needed." Unfortunately, those students who most need such meetings often find excuses to avoid them. In the most successful programs, the frequency of thesis committee meetings increases over time to twice per year after year three and more frequently if a student is having problems finishing the work. These meetings assure

that the student takes stock of progress at regular intervals and reports to a supportive group of faculty members for their advice. The participation of faculty other than the adviser gives the student a range of advice and protects him or her in cases where the student has differences with the adviser or where an adviser is taking advantage of a student. Some departments are pleased with the effectiveness of variations of the standard thesis committee. For example, Astronomy has a committee (consisting of the director of graduate studies and two faculty members) that meets separately with each student and his or her adviser and then advises both of them. The "Best Practices" document provides details.

Concern: Depending on a single adviser may not benefit the student as much as having wider faculty input. Also, without regular thesis committee meetings students do not benefit from meeting deadlines to summarize their work and to receive advice.

Recommendation: Every student deserves a formal thesis committee meeting or a suitable alternative beginning immediately after passing the qualifying exam. These committees should meet annually and consider more frequent meetings beyond year three. In small departments, the faculty might constitute a committee of the whole to advise students. The DGS should monitor the frequency of thesis committee meetings and direct staff to arrange the meetings if scheduling meetings is difficult for the students. We recommend virtual meetings by conference call or Skype for students working off campus, who will probably benefit as much as or more than students in New Haven. Some of our most successful programs make an annual thesis committee meeting a condition for registration for the next year.

See "Best Practices" for good examples from English, Cell Biology and Psychology.

vi. Written feedback from thesis committee meetings: A majority of programs do not give the student written feedback from thesis committee meetings. Students raised this concern during the 2-4 Project, which motivated a growing number of departments to provide annual progress reports. Our study resulted in many programs considering written feedback for the first time.

Some programs find it convenient to use a checklist to give students written feedback at the conclusion of each thesis committee meeting (see the "Best Practices" document). Checklists include most of the factors deemed by the program to contribute to a student's success and tend to be more comprehensive than a narrative evaluation, which can also be included along with the checklist. After the student's presentation, the committee decides whether the student is performing in each category above expectations, as expected, or if there is a cause for concern. Then the committee discusses each of these criteria with the student. The student receives a copy of the checklist, which is also put into the permanent record and used for review at the next thesis committee meeting. Another approach is a written report for the student's permanent record from the chair of the thesis committee to the DGS. Ideally, the DGS uses the results from the thesis committee meetings or the dissertation progress reports to report annually to the entire faculty on the progress of each student or at least those of concern, so that decisions can be made in a timely fashion about remedial action, probation or termination from the program. These reports to the faculty at large are also important to guard students from advisers who fail to give their students enough support to be successful.

Concern: A lack of written feedback diminishes the effectiveness of thesis committee meetings, leaving important advice unspoken or unheard and the students unsure of where he or she stands.

Recommendation: All students should receive written feedback from their thesis committee at least annually, in addition to the advice that they receive from their adviser on their work.

See "Best Practices" for good examples from Astronomy, Cell Biology and Political Science.

vii. Regular formal meetings with adviser individually or in groups: The frequency of formal meetings of a student and the faculty adviser (either individually or in groups) varies widely from weekly throughout the whole calendar year to rarely during the academic terms. Both individual and group meetings help the student, but regular group meetings of advisers along with students (including where appropriate undergraduates and postdocs) have the advantage of allowing the students to share their experiences with peers and for peers to mentor each other, thus building an academic community. Making regular presentations at group meetings and journal clubs is a valuable way for students to practice giving academic talks.

Regular group meetings allow students to report on their current work and to ask peers and faculty for help with any problems they have encountered. The "Best Practices" document includes descriptions of successful group meetings in the humanities, natural sciences and social sciences. Group meetings in the natural sciences are organized within one laboratory or among small groups of laboratories. In most cases these lab meetings are held every week throughout the calendar year, not just during the twenty-six weeks of the academic terms. In the social sciences and humanities, working groups of faculty and students organize around specific topics and students sometimes participate in more than one of these groups, often involving more than one department. Alternatively or in addition, these group meetings can be used to host outside speakers or as journal clubs, where the participants report on current research papers that they have read. Some programs require students to participate in working groups. Philosophy requires advanced students to participate in a course for the discussion of ongoing research guided by a faculty mentor.

Concern: Without frequent meetings with advisers individually or in groups, many potential benefits of an academic community are missing. Students can be isolated and waste time trying to solve simple problems rather receiving advice that allows them to be productive.

Recommendation: Faculty advisers should schedule regular, formal meetings with each of their graduate students, preferably in groups meeting as frequently as practical. Weekly meetings are a proven success in many fields. Faculty and students should work to establish or expand topical interest and working groups to increase regular interactions.

See "Best Practices" for good examples from English, French, Immunobiology, MCDB, MB&B, Political Science and Psychology

viii. Regular informal contact with adviser and others in program: The frequency of informal contact between students and their adviser varies widely from daily throughout the whole calendar year to infrequently only during the academic terms. These informal interactions benefit the students, who can ask for advice, and the advisers, who can keep track of the time and effort being invested by the students. Students see their adviser five days a week around the year in laboratory environments in the sciences, engineering and some social sciences. At the other extreme, students in some departments meet only infrequently with their adviser and fellow students. The Graduate Student Assembly is concerned that most humanities departments have no place for graduate students to work. Students in these programs must work at home (which may be in another city), in the library or in coffee shops where regular encounters with faculty

and peers are rare. This is further complicated for doctoral students in their teaching years when no location is designated for them to meet with undergraduate students. This lack of space to participate in an intellectual community contributes the well-known feeling of isolation that students reported in the 2-4 Project.

Concern: Without opportunities for informal contact and adequate workspace, it is extremely difficult to provide a supportive intellectual community of faculty and peers so that students can benefit from sharing their work and problems.

Recommendation: Faculty should endeavor to interact with their students as much as possible. Providing student workspaces near faculty offices is essential to facilitate these interactions with peers and faculty. Students will also benefit from environments where they share ideas and foster collaborations with each other. The Graduate School is aggressively looking for more and better office space for students who lack a place to work in their departments.

See "Best Practices" for good examples from all three divisions.

ix. Regular opportunities for students to present their research work to colleagues: Presenting material and addressing questions are essential skills best developed through practice. The number of required formal presentations of research work (outside of regular research group meetings) varies widely from two talks per year after the third year to none. Some programs have presentations only near the completion of the thesis, rather than along the way. Some programs require a formal thesis defense with a public presentation, but others do not. Students benefit from preparing and delivering these presentations, which build incrementally to their final thesis presentation. The opportunity to give public talks and to respond to questions and criticism is vital to their professional development.

Concern: Effective communication requires practice and feedback from peers and produces stronger scholarship, so the lack of regular presentations is a lost opportunity for our students.

Recommendation: Programs should require all students in their research years to present a progress report on their work to colleagues in a formal setting at least once a year.

See "Best Practices" for good examples from various biology departments, Music, Philosophy, Political Science and Psychology.

Long-term challenges and other opportunities for improvement

Widely differing employment opportunities contribute to student outcomes. In some fields PhD recipients are in demand. In some social science programs virtually every student is placed in a quality academic or corporate position after leaving the University. Graduates of biological science programs have abundant options for postdoctoral positions leading to academic or private sector jobs. These students tend to finish their doctoral work in five or six years. Some physical scientists have few academic opportunities but find demand for their skills in business.

On the other hand, very few high quality academic jobs are currently available in many humanities disciplines. In some fields few academic jobs of any kind are open each year and many of these positions are temporary or do not involve continued scholarship. Students with bleak job opportunities tend to delay submission of completed dissertations in the hope that prospects might improve in future years. Students trapped in this holding pattern are frustrated, because our financial support typically drops significantly after the fifth year. A few teaching positions are available, but accepting a full-time teaching job may slow down scholarly activities

and prolong completion of a dissertation. Dealing with the reality of a collapsing job market will require rethinking of missions in some disciplines.

In the short run, we have some ideas about how to help our students already progressing toward their PhD degree.

Postdoctoral fellowships within the academy: Yale is discussing with peer institutions the possibility of teaching and research postdocs for humanities graduates. The idea would be to let able graduates have an opportunity to gain experience teaching, develop their research and work on publication of their thesis – all of which will improve their chances of employment. These postdoctoral fellowships would be competitive, favoring those who finish in five years or less.

Internships outside the academy: With encouragement from the Graduate School Alumni Association, we are investigating the feasibility of programs to help students explore opportunities outside the academy. We think that internships with Yale alumni will be attractive to two types of graduate students. For those who have completed their degree but have few or unattractive job prospects, an internship would be one way to learn how much their knowledge and skills would be appreciated in government, the non-profit sector or business. For those thinking about alternatives to finishing their dissertation, an internship would be an opportunity to test the waters outside the academy.

Strengthening Career Services: Well before completing their dissertation, students need to start making career development plans. A tentative plan early in a doctoral program allows the student to build a resume tailored to the chosen job market by taking advantage of opportunities at Yale such as writing for a student journal, participating in student government or participating in activities offered by the Graduate School Career Services office. Departmental activities range from counseling sessions to mock interviews and alumni referrals. For example, Economics offers a high level of such support (see the "Best Practices" document). While faculty members play a key role in assisting students seeking positions through traditional academic channels, the scarcity of academic positions in some fields will require new strategies and more intensive effort. A first step will be for the Graduate School to conduct a best-practices review of current efforts taking place in our more successful programs and to appoint an advisory committee of faculty, alumni and students for long-range planning to develop new approaches.

Improved value from the Dissertation Progress Report: Students who have achieved candidacy complete an online dissertation progress report (DPR) each spring. The adviser(s) of record can comment on the student's report before reviews by the director of graduate studies and an academic dean. Student compliance is extremely high, but students would receive more value from better questions, faster feedback and better reporting to programs. The Graduate School is working with the Graduate Student Assembly to make short term improvements in the DPR. Responses to a student/faculty survey suggest that better instructions will provide immediate improvements to the DPR. Tailoring the questions to the needs and expectations of the student's department and year of training will be even more valuable. This effort will lay the groundwork for new progress-toward-degree software by the Registrar, which should provide a quantum improvement in the feedback process.

Continuing Analysis and Reporting for Program Use: Some chairs and directors of graduate studies are interested in access to more data about their students. The Graduate School will continue to improve the quality and availability of these data for analysis by programs. We hope that better information will improve the admissions process and mentoring of students.

Acknowledgments

Many individuals contributed to this evaluation and formulation of recommendations. Dean Plummer worked tirelessly and creatively gathering and analyzing most the data. Jane Lee and Jennifer Brinley collected and analyzed the financial data. Judith Hackman conducted the survey of graduate programs. The Graduate School academic deans, Pamela Schirmeister, Richard Sleight, Edward Barnaby and Robert Harper-Mangels, provided information and advice and helped to write the report. The Steering Committee of the Graduate Student Assembly brought forward many issues addressed in this report. Faculty members including Keith Baker, Susan Baserga, Howard Bloch, James Duncan, Amy Hungerford, Joseph Altonji, Elisabeth Wood, Timothy Barringer, Susan Nolen-Hoeksema and David Schatz helped to identify issues to study and provided advice about the text of the report. The chairs and directors of graduate studies of 20 programs informed us of many creative practices that we are sharing in this report and the associated "Best Practices" document. Several graduate students kindly read a draft of the report and helped us make improvements with thoughtful suggestions. Ongoing encouragement from President Richard Levin, Provost Peter Salovey, members of the FAS Steering Committee and the Fellows of the Yale Corporation was greatly appreciated.

Appendix 1. Timeline of improvements in graduate student benefits

Year	Minimum annual stipend	Health benefits	Other benefits
1996-97			McDougal Center opens with Graduate Student Life Office
1997-98			Career Office opens
1998-99			Graduate Teaching Center opens
1999-00			
2000-01	$11,500	Single health insurance	Competitive summer language study fellowships
2001-02	$13,000	Single health insurance plus 50% for spouse & children	YUAG and BAC internships
2002-03	$15,000 + 2 summers at $3,000		Creation of the Office of Diversity and Equal Opportunity
2003-04	$16,000 + 2 summers at $3,000		Library internships
2004-05	$17,000 + 2 summers at $3,500		New, more generous combined award policy (not sure about dates)
2005-06	$18,000 + 2 summers at $3,500	Insurance continued through semester when student initiates medical leave	Fellowships for language study, one per student
2006-07	$19,000 + 3 summers at $3,500	Single health insurance plus 50% spouse, 100% family	Parental relief initiated
2007-08	$20,000 + 3 summers at $3,700		Graduate Writing Center opens
2008-09	$25,000 (12 months)		Associates in Teaching program
2009-10	$25,500 (12 months)	Dental & vision insurance option	
2010-11	$26,000 (12 months)		Guaranteed language study multiple years; expanded GSA travel fellowships

* Teaching fellowship amounts have also increased every year. This makes less difference for students in teaching years but should be noted because it affects non-teaching year students

Appendix 2: The 2-4 Project to improve the transition from classes to independent research

The central goal of the 2-4 Project was to ameliorate problems arising during the transition in a graduate student's education between taking courses and carrying out independent research. The Graduate School used surveys and interviews of students and faculty to identify challenges confronting students during their middle years in graduate school and encouraged programs to make voluntary reforms to address these problems. Problems differed in the three divisions, which are considered separately. Many improvements resulted from the voluntary actions of the programs but the response was not uniform.

Humanities

Students transition to research in most humanities programs during years three to four. The transition to independent research raised many issues widely shared by humanities departments. Students in nearly every humanities program felt that they received inadequate mentoring across a broad spectrum of activities. Students expressed a desire for better communication of standards and expectations (most notably the qualifying exams), mentoring at every stage of the program and guidance on professional development. Many humanities students preparing a prospectus found themselves working in isolation without sufficient guidance. At a minimum, students expected a handbook elaborating each major requirement. Students in a majority of departments were also concerned about receiving complete and accurate information about the nature and amount of coursework, language requirements, the nature, structure and timing of qualifying exams, prospectus development and timing of teaching.

Most humanities departments initiated changes, some more substantive than others, with various measures such as better handbooks articulating expectations and requirements, stronger advising systems and workshops. The most common reform was alteration of the qualifying exam, typically to help students prepare their prospectus and dissertation as well as to reduce anxiety. Some departments strengthened pre-existing informal prospectus workshops and others clarified expectations, but uniform standards for faculty to help students were not implemented. A few programs adjusted teaching schedules to provide time to focus on the prospectus. Some programs strengthened monitoring of dissertation writing, most commonly by requiring a first chapter conference for readers to advise the student at the beginning of the process; however, none of these reforms were implemented across the board.

Natural Sciences and Engineering

Doctoral students in most science and engineering programs begin dissertation research by the end of their first year, so the transition is not a significant problem in this division where students have the highest completion rate (75%) and a median time to degree of 5.7 years.

Nevertheless, science and engineering students were concerned about "not knowing where they stand" in the eyes of their dissertation adviser. Routinely, students asked for more timely and substantive feedback from advisers. In response many programs developed better mechanisms to provide feedback to students concerning their research progress, such as the thesis committee checklist originating in MCDB and later adopted by other departments.

Many students and faculty were concerned about a lack of clarity regarding their program's academic expectations, requirements and deadlines. In response, numerous programs created or improved their graduate student handbooks and websites. Describing a program's expectations can be challenging, because the faculty must reach a consensus on issues such as "general

knowledge". The Cell Biology faculty approved a particularly helpful list of yearly benchmarks that outline expectations for satisfactory research progress. These benchmarks describe growth as a researcher rather than simply listing the typical program hurdles (e.g., courses and exams).

Social Sciences

The situation in the social sciences was more heterogeneous. Some students made the transition to research during years 3 to 4 as in the humanities, but the process was much earlier in programs such as Psychology, which requires students to submit a research paper at the end of their first year of study. Sociology had addressed early exposure to research by incorporating the publication of articles into their early stage course work.

As found in the other divisions, social science students asked for more clarity in their programs' requirements and expectations. In response, most programs produced new materials and improved mentoring practices. For example, Economics planned to improve the clarity of requirements and course offerings, advising by faculty, feedback on dissertation progress, and opportunities for students to present their research to faculty and peers. To assist entering students, Statistics now posts typical first-year course schedules on line and the DGS assigns each first year student to a faculty advisor. Students in Anthropology typically spend two years or more performing fieldwork where they find it difficult to keep up with changes in the department. At their request, the department now posts its graduate program handbook on its website and highlights any changes.

As a result of the 2-4 review, several social science departments reconfigured their course offerings and exams. For example, Political Science restructured its offerings to provide a comparative perspective of quantitative and qualitative methods and the history of the discipline. The department also improved coordination of course offerings with exam fields to facilitate more timely preparation and advancement to candidacy and added sessions on prospectus writing. In a similar fashion, Sociology realigned course requirements to incorporate mentoring and preparation for examinations, prospectus writing, and dissertation research. Just prior to the 2-4 study, Linguistics changed the focus of its examinations toward knowledge and research in the various subfields.

To encourage the sharing of knowledge and to create a capstone experience for students, Psychology introduced a two-step dissertation defense. With their "5-person committee" a student presents a brief overview of their research and the committee has an opportunity to ask questions. After a confidential discussion, the committee announces its decision to the student. A positive finding allows the student to schedule the newly implemented public seminar and defense.

Interdisciplinary programs face unique challenges. African American Studies faces a logistical challenge for implementing reforms, because the program has little or no control over the curriculum, degree requirements and cultures of the secondary programs in which all of their students are enrolled. As a result of the 2-4 Project, the program produced a student handbook with resources and expectations, standardized core courses, instituted more faculty presentations during its workshop on methodology for third-year students, initiated workshops in prospectus writing, and now requires conferences with faculty upon the completion of the first chapter draft.

Appendix 3. Profiles of Yale doctoral programs (legend on next page)

			--Student & Faculty Counts--			---Admissions---				---PhD Completion---		--Funding--	
			1	*2*	*3*	*4*	*5*	*6*	*7*	*8*	*9*	*10*	*11*
Division	Sub- Division	Department/Program	Fall 2010 PhD Students (by prime GSPS Program)	F2010 Faculty FTEs (OIR)	Students per Faculty FTE (Col.1/ Col.2)	2010 Enroll. Target	2010 Applics. Recv'd	2010 Admit Rate of Applics.	2010 Accept Rate of Admits	% Receiving PhD (1996-2003 cohots not currently enrolled)	Median Yrs to PhD (1996-2003 cohots not currently enrolled)	Net 6 Yr. Cost to GSAS per Student (stipend, teaching, fees)	Total Net Cost to GSAS per year
Humanities	FAS	American Studies	45	14.2	3.2	6	191	4%	50%	70%	7.3	$129,694	$972,704
		Classics	24	12.0	2.0	4	86	9%	63%	62%	6.3	$155,392	$621,569
		Comparative Literature	37	8.5	4.4	2	116	3%	100%	78%	6.5	$144,255	$889,571
		East Asian Lang. & Lit.	19	6.5	2.9	4	55	11%	67%	59%	7.3	$130,686	$413,840
		English Lang. & Lit.	71	39.8	1.8	10	400	6%	71%	75%	6.7	$134,690	$1,593,828
		Film Studies	13	3.5	3.7	1	74	11%	50%	75%	6.7	$148,430	$321,598
		French	22	9.5	2.3	5	44	14%	50%	64%	6.7	$149,979	$549,924
		Germanic Lang. & Lit.	19	5.0	3.8	3	21	24%	60%	55%	7.3	$141,114	$446,860
		History	169	49.2	3.4	21	398	9%	74%	77%	7.3	$132,085	$3,720,386
		History of Art	75	18.0	4.2	11	268	6%	88%	57%	6.7	$97,916	$1,223,953
		History of Medicine & Sci.	1	3.5	0.3	2	25	4%	100%	76%	7.7	$174,456	$29,076
		Italian Lang. & Lit.	22	4.0	5.5	2	27	19%	40%	78%	6.7	$157,573	$577,767
		Medieval Studies	5	*		1	22	5%	100%	71%	6.3	$149,294	$124,412
		Music	42	13.0	3.2	6	117	8%	67%	64%	6.0	$177,247	$1,240,731
		Near Eastern Lang. & Civ.	18	8.5	2.1	3	38	11%	50%	56%	7.0	$164,827	$494,480
		Philosophy	29	17.5	1.7	5	300	5%	36%	53%	6.7	$151,648	$732,963
		Religious Studies	65	16.2	4.0	9	231	5%	83%	79%	6.7	$131,887	$1,428,776
		Renaissance Studies	3	*		3	13	8%	0%	65%	6.7	$102,050	$51,025
		Slavic Lang. & Lit.	19	5.0	3.8	3	13	31%	50%	36%	7.3	$142,394	$450,915
		Spanish and Portuguese	20	9.5	2.1	5	64	14%	33%	63%	6.7	$145,735	$485,785
	SOA	Architecture	4	*		3	24	17%	50%	***		$145,209	$96,806
		Sub-total Humanities	722	243.3	3.0	106	2527	7%	64%	68%	6.7	$143,170	$16,466,969
Natural Sciences	BBS	Comp. Biology & Bioinfo.	33	0.0	0.0	6	85	22%	42%	100%	5.7	$7,147	$39,306
		Cell Biology	43	18.5	2.3	**				88%	6.7	$3,581	$25,662
		Genetics	60	26.5	2.3	**				96%	6.3	$1,070	$10,698
		Experimental Pathology	18	*	0.0	**				64%	5.7	$401	$1,203
		Immunobiology	38	15.0	2.5	6	102	19%	37%	85%	6.7	$401	$2,539
		MB&B	70	23.5	3.0	14	143	27%	29%	85%	6.3	$15,324	$178,774
		Microbiology	25	6.0	4.2	4	63	19%	33%	93%	6.3	$526	$2,194
		MCDB	56	28.5	2.0	**				86%	6.7	$21,568	$201,298
		MCGD	26	*		*30*	*311*	*19%*	*42%*	*Admissions Program Only*		$0	$0
		Neurobiology	9	16.0	0.6	**				94%	5.7	$401	$601
		Neuroscience	36	*		10	222	11%	40%	86%	6.3	$1,858	$11,151
		Pharmacology	19	20.0	1.0	7	91	15%	43%	85%	5.7	$401	$1,270
		C. & M. Physiology	17	15.0	1.1	3	23	17%	50%	78%	6.5	$401	$1,136
	FAS	Applied Mathematics	9	*		3	39	15%	67%	***	4.7	$55,220	$82,830
		Astronomy	24	12.0	2.0	4	52	17%	56%	52%	6.3	$31,835	$127,342
		Chemistry	132	23.0	5.7	30	280	34%	38%	73%	5.3	$41,069	$903,508
		Computer Science	34	19.0	1.8	7	175	6%	30%	66%	6.3	$11,397	$64,584
		EEB	34	16.5	2.1	6	101	12%	58%	88%	6.3	$97,301	$551,371
		Geology & Geophysics	53	26.5	2.0	9	88	27%	42%	64%	6.3	$26,053	$230,135
		Mathematics	36	28.0	1.3	5	135	11%	53%	75%	5.7	$117,451	$704,704
		Physics	95	32.5	2.9	25	333	19%	19%	69%	6.7	$28,021	$443,660
		Eng. & Applied Science	174	64.3	2.7	50	773	11%	39%	72%	5.7	$7,401	$214,624
	FES	FES	74	*		14	181	8%	73%	84%	5.7	$350	$4,320
	PH	EPH	37	61.0	0.6	14	263	6%	24%	85%	4.7	$401	$2,472
	SON	Nursing	15	*		4	20	30%	67%	***		$0	$0
	YSM	M.D./PH.D.	53	*		11	400	9%	31%	***		$401	$3,542
		Investigative Medicine	22	*		4	8	63%	100%	75%	4.7	$401	$1,470
		Sub-total Natural Sci.	1242	451.8	2.7	266	3888	17%	39%	79%	6.3	$17,421	$3,810,395
Social Sciences	FAS	African-Amer. Studies	23	8.8	2.6	4	76	5%	75%	72%	6.7	$120,964	$463,695
		Anthropology	53	27.5	1.9	8	200	6%	73%	68%	6.7	$122,771	$1,084,473
		Economics	111	49.0	2.3	19	832	7%	32%	76%	5.7	$136,392	$2,523,254
		Linguistics	15	11.0	1.4	3	63	10%	33%	39%	6.2	$140,263	$350,657
		Political Science	99	55.5	1.8	18	646	7%	37%	67%	7.0	$140,547	$2,319,030
		Psychology	74	26.5	2.8	14	693	3%	61%	82%	5.3	$150,181	$1,852,230
		Sociology	44	16.0	2.8	6	202	6%	54%	70%	7.7	$154,442	$1,132,571
		Statistics	17	9.0	1.9	3	73	10%	43%	67%	5.7	$154,746	$438,446
	SOM	Management	32	*		7	442	5%	35%	64%	5.3	$16,747	$89,319
		Sub-total Social Sci.	468	203.3	2.3	82	3227	6%	42%	71%	6.3	$126,339	$10,253,677
		Grand Total	2432	898.5	2.7	454	9642	10%	44%	74%	6.3	$84,088	$34,083,845
				*= multi-dept.		**= multi-dept. admissions process				***=Data not available			

Appendix 3 legend

Students and faculty counts

Column 1: Number of students active in the Graduate Student Payment System as of November 2010

Column 2: Number of fall 2010 Faculty FTEs (OIR); from Office of Institutional Research web site

Column 3: Students per Faculty FTE; column 1 divided by column 2

Admissions statistics

Column 4: Admissions target provided to departments in early 2010

Column 5: Applications received for the doctoral program in 2010

Column 6: Percent of applicants offered admission in 2010; number of offers divided by total applications

Column 7: Percent of students offered admission who accepted the offer in 2010

PhD Completion

Column 8: Percent of doctoral students entering in 1996-2003 who received a PhD by 2010

Column 9 Median years to PhD for students entering in 1996-2003 and completing by 2010

Funding

Column 10: Net 6 year cost to the Graduate School of Arts and Sciences per student. This calculation includes stipend, teaching and benefits minus the amount funded by departments from grants, gifts and endowments. This calculation does not include tuition scholarships, which are paid back to the graduate school.

Column 11: Total cost to the Graduate School of Arts and Sciences for each program for 2009-10

Appendix 4: Methods used to calculate student outcomes and support for Figure 2

Program Outcome Index

Outcomes for students entering between1996-2003 were calculated based on three criteria

- Fraction of students completing PhD
- Fraction of students awarded a PhD in seven years or more
- Fraction of students leaving without a PhD in four years or more

(Each of these measures was used sequentially to rank programs from most to least desirable outcome. Then the three rankings for each program were averaged and placed in sequence as the Program Outcome Index with the highest average ranking corresponding to the highest index number.)

Program Mentoring Index

Mentoring activity was measured from responses to eight questions on the Graduate School survey filled out by the chair or director of graduate studies (or both) of each program in early 2011. The following are the topics covered these questions and how the responses were quantified.

- Years of independent research during the first three years of the program; maximum value = 3 if done in all three years
- Term of final qualifying exam (examples: 2nd term of year 4 = 0, 2nd term of year 3 = 2); maximum value = 4 if completed as early as the 2nd term of year 2
- Thesis committee meetings (one per year - up to 6); maximum value = 6 if formed in year 1
- Written feedback from thesis committee meetings; maximum value = 1 if in use
- Faculty evaluation of student progress in years 1 & 2 (one per term); maximum value = 4 if done in all four terms
- Formal adviser & research group meetings (3 = regular/frequent, 1 = one or less per year); maximum value = 3
- Informal meetings of faculty with students (3 = regular/frequent, 1 = one or less per year); maximum value = 3
- Presentation Opportunities (3 = regular/frequent, 1 = one or less per year); maximum value = 3

  (The values for responses to these questions were summed for each program. Then programs were placed in rank order as the Program Mentorship Index. The highest total = highest index number.)

Improving Graduate Education at Yale University

The Yale Graduate School of Arts and Sciences reviewed our doctoral programs in 2010-11 with the objective of optimizing outcomes for both students and their programs. Good outcomes include a high fraction of students finishing their degree in a reasonable period of time with few students dropping out late in their programs. The 2010-11 review followed an earlier "2-4 Project" that used surveys and interviews of students and faculty to identify challenges confronting students during their middle years in graduate school. Many programs made voluntary improvements, but the response was not uniform.

A survey confirmed that our doctoral programs used many excellent practices to help their students navigate through graduate school, but no program used all of these practices. Programs with good outcomes supported their students with many more of these good practices than programs with poor outcomes. The data suggested that students would be better served if programs implemented good practices more uniformly.

We provided programs with data on their students, outcomes and practices as background for discussions with faculty about strategies to implement proven mentoring practices. We understand that academic disciplines are not all the same, so we did not insist on a rigid list of mentoring practices. Rather, we have worked with departments to identify those good practices that are appropriate and will benefit students in each program.

In addition to mentoring, we identified other opportunities to help our doctoral students.

(a) We are vigorously seeking space for graduate student offices where they are lacking.

(b) We are strengthening our Career Services Office to help students seeking positions.

(c) We obtained approval for graduate programs to have more flexibility in the uses of the funds that support doctoral students to provide travel grants and postdoctoral fellowships.

(d) We are helping the Graduate School Alumni Association to create internships and shadowing opportunities to expose interested students to a range of career opportunities.

Recommendations of good practices that support graduate students

i. Program requirements: Every program should maintain a current account of its requirements on its website and include some written guidance about what is expected of the students during each year in the program. A clear understanding of expectations will help students stay on the path designed for them, rather than having to make corrections when they drift off track. This advice should include the program's estimate of the time that a high performing student will take to finish his or her dissertation.

ii. Early independent research: Programs should require independent research beginning no later than the summer after the first year. In many experimental sciences students do research continuously during their first two years. First year courses called laboratory rotations are followed by research during the summer and into the second year through qualifying exams. For programs without the equivalent of laboratory rotations, several options exist. Sociology requires

second year students to write an original research paper for submission to a journal. Some humanities and social science programs expect first and second year students to identify one class paper to expand into a larger piece of independent scholarship with advice from a faculty member. Some programs have the goal that this research can be published as a journal article, but this is less important than the experience of undertaking scholarship. Such independent projects will have a greater impact on student development if they are a requirement and perhaps given course credit.

iii. Evaluation of progress prior to qualifying exams: The faculty as a whole should review the progress of each student every year and provide written assessments when appropriate. These reviews should focus on those students who experience problems courses, exams or research.

iv. Qualifying exams and the onset of dissertation research: Qualifying exams should be completed as early as possible and no later than the middle of the third year. Students deemed capable of thesis research by passing the exam might complete some courses after the qualifying exam. If program requirements preclude completion of the qualifying exam until the end of the third year or later, the department should implement other means to assess each student's capacity for thesis research by the end of year two. One approach would be to require completion of one component of the exam before the beginning of year three to provide objective feedback to the student and allow a well-informed decision about whether it is in the student's best interest to continue to the qualifying exam in the third year.

v. Thesis committees: Every student deserves a formal thesis committee meeting or a suitable alternative beginning immediately after passing the qualifying exam. These committees should meet annually and consider more frequent meetings beyond year three. In small departments, the faculty might constitute a committee of the whole to advise students. The DGS should monitor the frequency of thesis committee meetings and direct staff to arrange the meetings if scheduling meetings is difficult for the students. We recommend virtual meetings by conference call or Skype for students working off campus, who will probably benefit as much as or more than students in New Haven. Some of our most successful programs make an annual thesis committee meeting a condition for registration for the next year.

vi. Written feedback from thesis committee meetings: All students should receive written feedback from their thesis committee at least annually, in addition to the advice that they receive from their adviser on their work. Some programs use checklists to simplify this process.

vii. Regular formal meetings with adviser individually or in groups: Faculty advisers should schedule regular meetings with their graduate students, preferably in groups that meet frequently. Weekly meetings are a proven success in many fields. Faculty and students should work to establish or expand topical interest and working groups to increase regular interactions.

viii. Regular informal contact with adviser and others in program: Faculty should endeavor to offer their students frequent opportunities to interact informally. Students also benefit from environments where they can share ideas and foster collaborations with each other. For students who lack a place to work in their departments the Graduate School is aggressively looking for more and better workspace near faculty offices.

ix. Regular opportunities for students to present their research work to colleagues: All students in their research years should be required to present a progress report on their work to colleagues in a formal setting at least once a year.

Yale University

Office for Postdoctoral Affairs

Office for Postdoctoral Affairs
New Faculty Orientation 2013

http://www.yale.edu/postdocs/
John.Alvaro@yale.edu or Dannika.Byrd@yale.edu

We can help you hire:

- Postdoctoral Fellows/Associates
- Postgraduate Fellows/Associates
- Visiting Fellows (main campus)
- Laboratory Associates

Don't know what title to use? Give us a call.

We can answer questions about:

- Term limits
- Offer letters
- Salary & Funding
- Health Insurance
- Background checks
- Teaching Policy
- Paid time off
- Leave Policies
- Terminations

We provide your postdocs with:

- Orientation
- Career Development
- CV, Resume and Cover Letter Consultations
- Career Panels/Seminars
- Responsible Conduct in Research Course
- Scientific Writing Courses (fee-based class)
- Community and Social Events

Topics to discuss with your postdocs:

1. What your expectations are (effort, conduct, independence…)
2. What your management style is and how much guidance/mentoring you will provide.
3. What the postdoc's career objectives are.
4. How you will determine authorship on publications.
5. How will you help your postdocs network professionally.
6. What criteria to meet in order to present research at conferences.
7. What part(s) of an independent project a postdoc can take when establishing an independent research career.

Salary Guidelines:

The University annually sets minimum standards for postdoctoral compensation. The minimums below are effective as of July 1, 2013.

Year 1 - $39,264
Year 2 - $42,364
Year 3 - $44,340
Year 4 - $46,092
Year 5 - $47,820
Year 6 - $49,884

References for New Faculty on Scientific Management:

"Staffing Your Laboratory" chapter from *Making the Right Moves: a Practical Guide to Scientific Management for Postdocs and new Faculty*. Howard Hughes Medical Institute and Burroughs Wellcome Fund
http://www.hhmi.org/resources/labmanagement/moves.html

Staffing the Lab: Perspectives from both sides of the bench. Burroughs Wellcome Fund http://www.bwfund.org/career-tools/staffing-lab

Yale University

Teaching at Yale

Yale *Teaching Center*

"Teaching at Yale"

August 19, 1:30 p.m., TEAL, 17 Hillhouse Avenue

State of the art classrooms are appearing all over campus. What are the implications for our teaching? In this session, we will engage in a critical conversation about the unique aspects of teaching undergraduates at Yale (such as the shopping period).

Stephen Stearns Edward P. Bass Professor of Ecology & Evolutionary Biology
Bill Rando Director, Yale Teaching Center
Risa Sodi Associate Director, Yale Teaching Center & Director of Academic Advising, Yale College Dean's Office

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COURSE SELECTION PERIOD, A.K.A. SHOPPING

Yale's course selection period (also known as "shopping period") occurs during the first two weeks of classes every semester. Shopping period allows students to participate in courses that interest them without enrolling in them right away. Students select courses to visit during this period, from which they will choose four or five to enroll in. Students are aware that the courses they visit are full-fledged classes in which readings and homework are assigned, and they are told to prepare to keep up with assignments and participate fully in each class that they visit.

For faculty, shopping period creates a situation in which the first two weeks of class can see vast fluctuations in attendance. In addition, because students are shopping different classes that occur at the same time, it is not unusual for students to get up and leave in the middle of class, or join the class half way through.

1. Concern raised about students getting basic material in the first few days
    a. Front-load content so students don't leave while class still in session
2. Should one trust that students will catch up?
3. To capture students' attention, start with a big idea. Get them involved early
4. If students shopped your class and didn't return, remember: it's them, not you!
    a. Two conflicting courses
    b. Classroom location
    c. Preferable time slot, etc.

5. During shopping period, strive to give them an honest sample of what your course meetings will be like —even on Day One
6. Enrollment caps depends on departmental policy
    a. Seminars often capped at 15-18
    b. Teachers may extend cap if doesn't conflict with departmental policy
    c. Consult your DUS
7. See also *Becoming Teachers*, "Shopping Period"

Residential College Deans and Deans Excuses

Every Yale undergraduate is assigned to a Residential College, and every Residential College has a Dean who oversees the academic and personal wellbeing of students in that College.

Because Residential College Deans have intimate knowledge of their students' lives, they play an important role in their classroom experience. As a faculty member, you will encounter something called a Dean's Excuse that can postpone the due date for students' work on written papers or homework, or allow a student to reschedule a graded test or quiz. There are 5 situations in which a Dean will grant a Dean's Excuse:

- *death in the family*
- *incapacitating illness*
- *a comparable emergency*
- *off-campus varsity competition*
- *observance of religious holy days*

1. Dean's Excuses cover written work, not absences from class
2. Residential college deans determine whether or not to write a Dean's Excuse
    a. Sometimes deans deny students' requests for excuses
3. Dean's Excuses are turned in to teacher in paper form
4. Dean's Excuses include a deadline date by which missing material must be turned in, exam taken, etc.
5. Suggestion to eliminate frivolous Dean's Excuses
    a. Make the make-up an oral exam with professor!
6. You won't be flooded with excuses, but you will have quite a few in large classes
    a. Good to think ahead of time about makeup exams
    b. Some teachers make multiple versions of midterm or final exams, anticipating Dean's Excuses and the need for make-up tests
    c. Suggestion for a make-up exam: modify 30% of the original exam content
7. Consider using a midterm report to remind students of missing work and completion deadlines
8. Use the residential college deans! Call them if a student is acting up, acting unwell, or misses classes
    a. Residential college deans have information that faculty don't have.
    b. Call them any time you have an issue
9. Talk to your TAs about Dean's Excuses and the role of the residential college dean
10. See also *Becoming Teachers*, "Dean's Excuses"

Grading and Grade Inflation

Grade inflation is an issue at Yale, as it is at many other universities across the country. It has been said that at Yale "B" stands for "bad", and, in some cases, students will put up quite a fuss if they get a "bad" grade or suspect that they are about to get one. There are no official reports on the variety of grades that undergraduates actually get, so it's difficult for a faculty member, particularly a new one, to know how best to figure out the scale of final grades he or she will use.

From the Yale College Website (addressed to undergraduate students)

"Any course in Yale College may be taken Credit/D/Fail rather than for a letter grade. When a course is selected under this option, a grade of C– or above will be converted on the transcript to "CR." Grades of D+, D, D–, or F will appear on the transcript as reported by the instructor. You may count up to four courses taken Credit/D/Fail toward the bachelor's degree, and you may take as many as two courses Credit/D/Fail in a single term.

"There are some restrictions on the use of the Credit/D/Fail option. You may not apply any Credit/D/Fail course toward fulfillment of the distributional requirements, and some departments will not accept courses taken Credit/D/Fail toward the requirements of the major. If you want to take a course Credit/D/Fail, you must declare that intention by the date your course schedule is due. You may change your mind and convert a Credit/D/Fail selection to a letter grade until shortly after midterm (see the YCPS for deadlines), but you may not change from a letter grade to the Credit/D/Fail option."

Faculty members are not aware of the status that students have chosen.

1. Be aware of differences among departments in terms of grade inflation
2. Some departments (Math) have clear numerical standards for grades
3. What is relation between giving grades and getting evaluations?
    a. Do departments have criteria (how many As, Bs, etc.)?
    b. Suggestion: consult with the DUS in your department
4. Yale College Faculty Meeting will discuss grading standards in November meeting
5. Provost Ben Polak's grading rubric when faculty member in Economics (Stearns)
    a. 45% As
    b. 50% Bs
    c. 5% other
6. 75% of Yale students currently graduate with an A- average (Stearns)
7. Solving grade inflation is not the junior faculty member's problem! (Stearns)
8. Online evaluations are optional at Yale
    a. Grades are submitted by faculty
        i. Online grade reporting system
    b. Grades go live for students to check
    c. Students then have the option of submitting an evaluation
    d. Despite its voluntary nature, arge percentages of students complete online evaluations (often 90% or more)
9. Faculty members do not have to justify a grade of F, other than simply to submit the grade.
10. Online reports for students are available to faculty on the Faculty Grade Submission website
    a. Report #1: for students doing excellent work
    b. Report #2: for students who are failing

c. Report #3: for students who are neither doing excellent work nor failing but who nonetheless worthy of comment
d. Student's residential college dean receives the report

11. See also Becoming Teachers, "Grading and Other Academic Issues"

TEACHING WITH TAS AND SECTIONS

Some of you will have TAs, or Teaching Fellows (TFs) as they called here, assigned to your class. Depending upon the structure of your department, your TFs will function as graders (who grade and sometimes run review sessions) or section leaders (who lead separate small-group discussion sections that meet outside the stated lecture time). The quality of a TF's teaching and grading has a profound impact on the quality of your course. Each year, the Deans of the College and the Graduate School send a memo to all faculty members reminding them of their responsibilities regarding TFs, which include preparing TFs for their duties and meeting with them regularly throughout the semester. Still, how *you prepare TFs,* how *you involve them in the class, and* what *you do at these weekly meeting is up to you.*

1. Important to engage TAs on a regular basis
    a. Weekly or biweekly meetings/
2. Identify "expert" TAs and pair them with inexperienced TAs
3. Who assigns TAs? Can you pick your own or are they assigned to you?
    a. Some potential TAs will contact the faculty member.
    b. Some dept. registrars will assign TAs from a pool of 20+.
    c. TA assignments not always finalized until 3 weeks into the semester.
4. How to conduct quality control among TAs?
    a. Suggestion
        i. Select a representative paper or exam potentially graded A, B and C and share them in a TA meeting
        ii. Faculty member then guides the discussion of how to grade each paper (or how each paper was graded)
    b. Suggestion
        i. have every paper or exam graded twice (by two TAs)
5. TAs won't ask you to visit their sections but do visit them!
    a. No surprise visits, however!)
    b. Ask them their goals & strategies.
    c. TAs who are not visited feel cheated in their teaching experience.
    d. Turn the visit into a learning opportunity for the TA.
6. Take advantage of the YTC!
    a. Consultations
    b. Classroom observations
    c. Individual discussions of teaching issues & goals.
7. Acknowledge your TAs during the lesson
    a. It signals mutual respect both to the TAs and to your students.
8. See also Becoming Teachers, "The Teaching Fellow Program" or "Teaching a Successful Section"

YALE'S TEACHING RESOURCES

In addition to collecting and organizing rare and fascinating materials,

Yale's museums, galleries, and libraries play a vital role in teaching and learning. As part of their educational mission, curators and librarians invite faculty members to make use of their holdings, draw on their expertise, and hold classes in their specially designed teaching spaces. Here are just a few examples:

> *The* Yale University Art Gallery *and the* Yale Center for British Art *have object study classrooms where faculty members can hold single sessions or an entire semester of classes. They also have teaching galleries – entire rooms in the museum – which can be curated in conjunction with a Yale course*
>
> *The* Beineke Rare Book Library *will make selected holdings available for view and study in its classrooms, and provide specialists to lead or co-lead classes on these rare objects.*
>
> *The* Cushing Brain Tumor Registry *or "The Brain Room" as it is commonly known is part of the Yale Medical School Library. Filled with historical document as well as specimens, this venue includes a seminar room for discussion.*

1. Use curators and librarians to help you think outside the box
    a. For example, for clinical medical course:
        i. YUAG or YCBA docents select paintings that help clinicians think in new ways about illness and disease.
    b. YUAG is used by art-related and non art-related departments alike
        i. Nursing
        ii. Chemistry
        iii. Dermatology
        iv. Italian, etc.
2. Clickers and other devices are available in the Bass Library Collaborative Learning Center for any Yale course
3. Sterling Memory Library Subject Specialists will curate a course meeting (or meetings) with
    a. Learning guides
    b. Reading guides
    c. Research guides
4. See also *Becoming Teachers*, "Appendix: Links and Web Resources"

CLASS IN THE CLASSROOM[1]

Adapted from Class in The Classroom, Lee Warren, Harvard University Kennedy School, Executive Education Program

[1] An August 28, 2013 email from President Peter Salovey to the Yale community included the following statistics: "This year's entering class of 596 [graduate] students was chosen from over 10,000 applicants. They come to Yale from 291 other institutions of higher learning…Of the 466 who are pursuing the Ph.D., just over 30 percent are international students…This year, there are 1,512 new students in the professional schools…The [Yale College] Class of 2017 has 1,360 members, chosen from 29,610 applicants, the largest number in Yale's history. They represent a wonderful diversity: over half attended public high schools; 10 percent are international students; 12 percent will be the first in their families to graduate from a four-year college; and 37 percent of the freshmen are U.S. citizens or permanent residents who identify themselves as students of color."

Class is an often invisible form of difference. Yet it is there all the time, affecting how and what students learn at every turn. It pervades the values and the purposes of colleges and universities. It contributes to determining the courses offered and the books read and discussed. Still, it is a diversity issue rarely acknowledged.

1. Discussion of readiness
2. Advertise yourself as a faculty member and a person who will help students get to "next level"
3. Lower-income students have to work outside and have other time commitments
    a. Yale students may have "work-study" on-campus jobs
4. 60% Yale students receive financial aid
    a. Yale financial aid is "need blind"
5. Be sensitive to book purchase prices
6. Be sensitive to heterogeneity of your student cohort
7. Extra support networks are available to address inadequate
    a. Writing skills
    b. Quantitative reasoning skills
    c. Study skills
    d. Note-taking skills
    e. Time management skills
8. FL, QR and WR tutors available
    a. In the residential colleges
    b. Center for Language Study
    c. Science and Quantitative Reasoning Center
    d. Writing Center
9. Residential college deans are a resource for extra support services

TEAL CLASSROOM

1. Technology Enabled Active Learning classroom
2. Pedagogy and TEAL
3. TEAL classroom schedule
4. Randi R. McCray, Technology Services Specialist, Student Technology Collaborative, ITS
5. Semester-long room requests made via registrar
6. Priority in reserving goes to courses that will use technological resources of the room
7. Tours and "test drives" for faculty are available
8. Instructional Technology Group works closely with TEAL classroom

YALE UNIVERSITY

Course & Syllabus Design

Yale Teaching Center
320 York Street, Room 120
http:/teaching.yale.edu

Yale *Teaching Center*

"Course and Syllabus Design"

August 20, 2013, 9:45 a.m., Presidents' Room, 2nd Floor, Memorial Hall

We will discuss principles of good syllabus and course design. We will also explore such issues as content development, use of active and inquiry-based learning, designing creative assignments, and establishing routines for regular assessment.

Julia Adams Professor of Sociology & International and Area Studies; Joseph C. Fox Director, Fox International Fellowship Program; Director, Division of Social Sciences
Bill Rando Director, Yale Teaching Center
Risa Sodi Associate Director, Yale Teaching Center & Director of Academic Advising, Yale College Dean's Office

Bill Rando

- When designing your syllabus, ask yourself, '' how do I want my students to be different by the end of my course?" That will guide you in developing your learning goals, and the learning goals will help you develop your syllabus
- '' I want my students to like [topic of course] as much as I do": affective goal
- Good teachers lose the habit of considering classes as places to memorize things and spit them back.
    - How will you approach your class?
- Good teachers view students as clever problem solvers (problem-solving as a skill)
    - how are you going to teach problem solving?
- Good teachers want their students to be confident, not timid, in their knowledge (affective goal)
- Good teachers do not teach a specific text but rather impart skills
- Good teachers leave their students inspired by the topic
    - What is inspiring about your subject?
    - How will you inspire your students?

Julia Adams

- Syllabus is a minor literary genre in and of itself
- Expresses content
- Expresses the layout of a field
- Students pay less and less attention to the syllabus as time goes on
    - Students primed for
        - short bursts of communication…
        - …close to the task
    - Do you want to go with that trend or oppose it?
- Yale students expect courses to fall into one or two format categories:
    - Lecture
    - Seminar

- Be explicit if you deviate from a lecture or seminar format

Bill Rando

- How does your syllabus describe the intellectual work of the class?
- How does your syllabus relate to other communications you will have with students
  - Emails
  - Updates, etc.
- How does your syllabus answer the questions that students bring to each class and to the course as a whole?
- How does your syllabus answer the question, ‘‘ why does this course matter?”

Discussing Specific Syllabi

Positives

- Topics nicely laid out in the course description
  - One-page punchy details of course on 1st page
- Good heads up about writing project, especially since 60% of the grade depends on it
  - Level of information means that teacher doesn’t need to hand out assignment sheet later
- Excellent level of detail
- Questions about course asked and answered in syllabus (grading, deadlines, etc.)
- Calendar well laid out and detailed
  - Suggestions: perhaps concise overview could also be included when the calendar is too detailed?
- Course policies appear appropriate
- Statement about laptop use included
  - Various possibilities
    - laptop ban
    - laptop up/laptop down time
    - free use of laptops
  - Teacher must consider disabilities before making blanket statement
- Separate assignments (and difficulty level) for majors and non-majors

Negatives

Course goals and student learning goals are implicit rather than explicit

- Links do not lead to correct URL
- Syllabus omits target audience statement
  - Does not answer question, ‘‘ who is this designed to reach?”
- Syllabus omits a description of the course
- Grading items are scattered throughout syllabus, rather than being grouped together in a dedicated section

- Overly wordy
    - Narrative paragraphs!
        - would benefit from subheadings and bullet points
- Omits professors' contact information
- Omits statements on
    - Plagiarism
    - Attendance and absences
    - Participation
    - Course guidelines and rules
    - In general: what the teacher expects of the students
- Syllabus includes hyperlinks, whereas classes*v2 might be a better platform
    - ‘‘ Resources”
- Little information about exams and quizzes
    - How many?
    - When?
    - What's required?
- Generic introductory course delivered via a general syllabus
    - Lack of customization
    - Syllabus communicates a lack of potential face time with professor

Bill Rando's final comments

- Organize your course around questions, not topics
- Your syllabus as a reflection of you and what you really want students to be able to do by the end of the course
- Bill's boatbuilding metaphor
    - What is your ‘‘ boat”?
        - i.e., what will your students understand by the end of your course that they didn't understand at the beginning?
        - i.e., what will your students be able to do by the end of your course that they weren't able to do at the beginning?
            - that may be
                - an equation
                - a poem
                - a social issue
                - a historical issue
                - a scientific principle, etc.
        - equation poem social issue historical issue scientific principle)
    - Communicate that on Day 1!
    - Communicate that on every class meeting thereafter!

Yale University

Understanding Review, Promotion & Leaves

Reviews, Promotions, Leaves and Mentoring in the Faculty of Arts and Sciences

Appointments and Reviews

The initial appointment as Assistant Professor is made for four years, beginning on either July 1 or January 1.

Review for reappointment as Assistant Professor in year three

- The appointing department conducts this review internally using a process that includes feedback and mentoring of the candidate. The senior faculty of the department vote on the reappointment.
- This reappointment is usually granted unless "evident and substantial problems warrant terminating the appointment in the fourth year"

Review for promotion to Associate Professor on Term (Untenured Associate)

- The Chair, senior faculty of the department and the candidate choose the time of the review, which must be completed by penultimate year of Assistant Professor appointment (usually year 6) but is better to do in Year 5.
- The cognizant dean and chair of the divisional committee work with the chair to choose experts in the candidate's field to serve as external reviewers. A minimum of six letters is required.
- The criteria for promotion are *"significant published research and scholarship representing early demonstrations of disciplinary or interdisciplinary leadership; excellent teaching and mentoring of students; and engaged university citizenship"*
- The Department reviews the letters and votes on the promotion. If positive, the chair presents the case to the Divisional Tenure and Appointments Committee (TAC), consisting the Deans and faculty members of the Divisional Advisory Committee (Humanities, Social Science, Biological Science or Physical Science and Engineering). If the TAC approves, the promotion is made official by votes of the Joint Board of Permanent Officers of the FAS (all FAS full professors) and the Fellows of the Yale Corporation.

Review for promotion to Associate Professor without term (Tenured Associate) or Full Professor

- The department chooses whether to propose promotion to tenured associate professor or directly to full professor.
- The tenure review must be completed before penultimate year in the untenured ranks (usually no later than year 8).
- The candidate is expected to *"stand in competition with the foremost leaders in their fields throughout the world."*
- At least seven external reviewers, chosen as for the term associate promotion, are asked to evaluate the candidate's scholarship, service and teaching and to compare the candidate with three leading tenured faculty in their discipline.
- The Department and TAC review the case in the same manner as promotion to untenured associate.
- Tenured Associate Professors are reviewed for promotion to Full Professor in as similar fashion but without comparison candidates.

Leaves

Junior faculty leaves are granted to benefit teaching and scholarship leading to promotion. Leaves are requested during the fall semester preceding the year of the leave. Junior faculty leaves require a research proposal, which is reviewed by a committee of faculty mentors, the department Chair and cognizant dean and approved by the cognizant provost.

Junior Faculty Fellowship (Sciences)/ **Morse Fellowship** (Humanities and Social Sciences)

- One-year fully paid leave taken in year 2, 3, or 4 of the initial Assistant Professor appointment
    - In the sciences and engineering, one semester of the leave may be taken, upon request, during year 1 of the initial appointment, if the faculty member wishes extra time to set up his/her lab.

Associate Professor Leave

- One-year fully paid leave taken in year 1 or 2 following promotion to Associate Professor on Term

Triennial Leave of Absence

- Following successful promotion to tenure, a faculty member may request a fully-paid, one-semester leave after five additional semesters of regular teaching following the last leave of absence, under the following conditions:
  - No more than four semesters of leave may be taken in any seven-year period
  - At least two semesters of teaching must occur between any two leaves

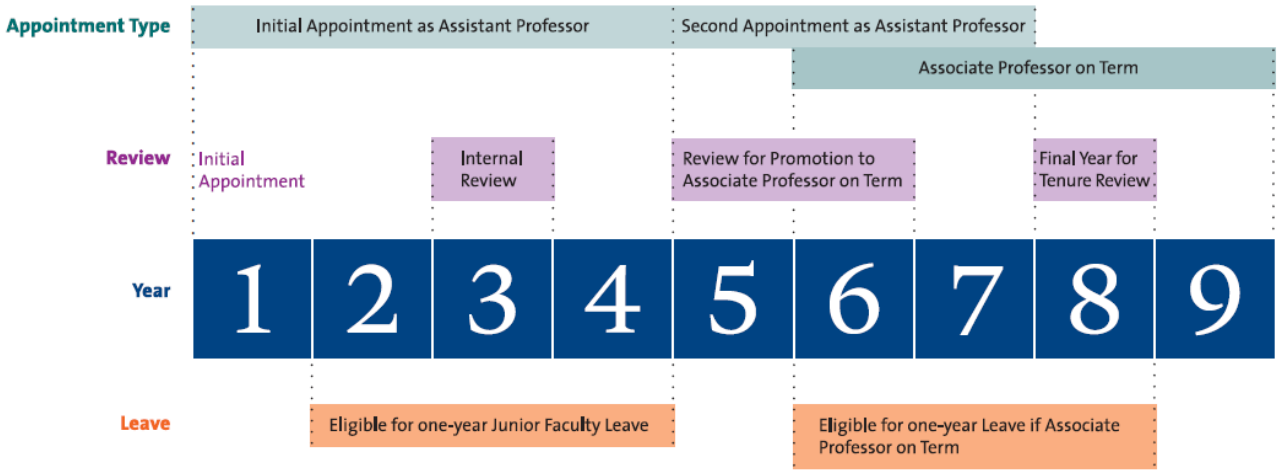
Teaching Relief for Child Rearing (TRC)

- Faculty may request one semester of relief from teaching within one year from birth or adoption of a child, if they will serve as the primary caregiver during the term of the relief and their spouse or partner works at least half time.
- TRC is not a leave, and faculty receiving teaching relief are still responsible for their research program, advising and other departmental duties during the semester of teaching relief.
- If TRC is granted, faculty may request a two-semester extension of their tenure clock and maximum time in the non-tenured ranks. This extension is granted in most cases.

Mentoring

- Each junior faculty member is expected to receive regular mentoring following their department's explicit mentoring plan on file with the Office of the Provost.
- Departmental practices differ, but at the very least each junior faculty member should have one or more senior faculty mentors to provide regular guidance and advice about each reappointment/promotion review
- More detailed mentoring guidance and resources can be found at: http://provost.yale.edu/faculty/mentoring

Timeline



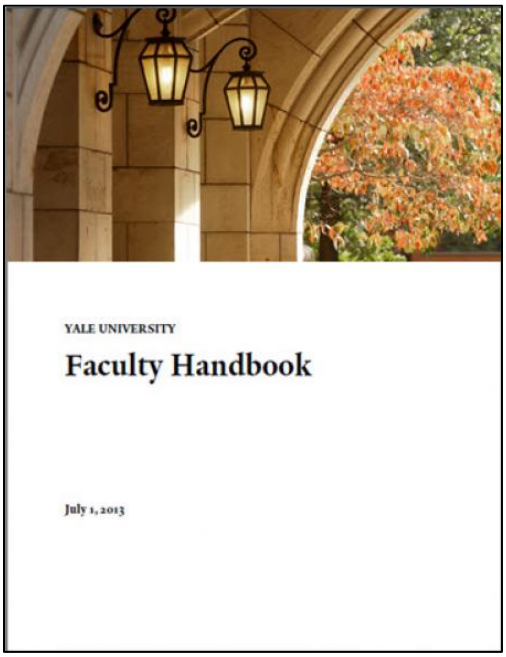
Details about the Tenure and Appointments system adopted by Yale in 2007 can be found at the following link: http://www.yale.edu/gateways/fas_tenure_report.pdf

Yale University

Yale Faculty Handbook

To view the Yale University Faculty Handbook visit:

http://provost.yale.edu/sites/default/files/files/Faculty_Handbook_8_2013.pdf



Yale University

Research & Teaching Resources: Concurrent Session Notes

Yale University

Session A: Using Yale Library Resources in Your Research & Teaching

New Faculty Member Orientation, Academic Year 2013-2014

Yale University Library Subject Specialists

Arts

Holly Hatheway | holly.hatheway@yale.edu | 2-6219
- Architecture
- Art
- Art History
- Photography

Lindsay King | lindsay.king@yale.edu | 6-8052
- Dance
- Drama
- Theater Studies

Suzanne Lovejoy | suzanne.lovejoy@yale.edu | 2-0495
- Music

Jae Rossman | jae.rossman@yale.edu | 2-4439
- Book Arts
- Graphic Design

Humanities

Suzanne Estelle-Holmer | suzanne.estelle-holmer@yale.edu | 2-6374
- Religious Studies

David Gary | david.gary@yale.edu | 2-5165
- American Studies
- Native American Studies
- U.S. History

Todd Gilman | todd.gilman@yale.edu | 2-1761
- American Literature
- British History
- Comparative Literature
- English Literature
- Film Studies
- Irish Literature
- Travel

Colin McCaffrey | colin.mccaffrey@yale.edu | 2-8239
- Classics
- Philology

Alan Solomon | alan.solomon@yale.edu | 2-1778
- Asian American Studies
- Dutch Language/Literature, *interim*
- French Language/Literature, *interim*
- German Language/Literature, *interim*
- Italian Language/Literature, *interim*
- Latino Studies
- Philosophy
- Portuguese Language/Literature, *interim*
- Scandinavian Languages/Literatures, *interim*
- Western European History, *interim*

International and Area Studies

Sarah Calhoun | sarah.calhoun@yale.edu | 2-7795
- South Asian Studies

Roberta (Robin) Dougherty | roberta.dougherty@yale.edu | 2-1373
- Arabic Studies
- Islamic Studies
- Middle East Studies
- Near Eastern Languages

Todd Gilman | todd.gilman@yale.edu | 2-1761
- British Commonwealth Studies
- Canadian Studies

Ulla Kasten | ulla.kasten@yale.edu | 2-1837
- Babylonian Studies
- Hittitology

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- East Asian Studies-Korea

Jana Krentz | jana.krentz@yale.edu | 2-1845
- Latin American Studies
- Spanish Language and Literature

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- Central Asian Studies
- Slavic and Eastern European Studies

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- East Asian Studies-China

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- East Asian Studies-Japan

Richard Richie | rich.richie@yale.edu | 2-1858
- Southeast Asian Studies

Nanette Stahl | nanette.stahl@yale.edu | 2-7207
- Hebrew Language and Literature
- Judaic Studies
- Yiddish Language and Literature

Dorothy Woodson | dorothy.woodson@yale.edu | 2-1882
- African Studies

Special Collections

Mark Bailey | mark.bailey@yale.edu | 2-6977 • Historical Sound Recordings

Melissa Barton | melissa.barton@yale.edu | 2-2964 • American Literature, Prose & Drama

Richard Boursy | richard.boursy@yale.edu | 2-7883 • Music Manuscripts & Archives

For a fuller listing see http://resources.library.yale.edu/StaffDirectory/subjects.aspx

New Faculty Member Orientation, Academic Year 2013-2014

Yale University Library Subject Specialists

Robert Carlucci | robert.carlucci@yale.edu | 2-2443 • Arts Visual Resources
Raymond Clemens | raymond.clemens@yale.edu | 2-9278 • Early Books & Manuscripts
Kevin Glick | kevin.glick@yale.edu | 2-4693 • Yale University Archives
Melissa Grafe | melissa.grafe@yale.edu | 5-4354 • History of Medicine Books & Manuscripts
Kathryn James | kathryn.james@yale.edu | 2-2872 • Early Modern Books & Manuscripts
Nancy Kuhl | nancy.kuhl@yale.edu | 2-2966 • American Literature, Poetry
William Massa | william.massa@yale.edu | 2-1742 • Modern Manuscripts & Archives and Yale Publications
George Miles | george.miles@yale.edu | 2-2958 • Western Americana
Abraham Parrish | abraham.parrish@yale.edu | 2-0221 • Historical Maps
Margaret Powell | margaret.powell@yale.edu | (860) 677-2140 • Walpoliana and Eighteenth-Century Studies
Kevin Repp | kevin.repp@yale.edu | 2-2967 • Modern European Books & Manuscripts
Jae Rossman | jae.rossman@yale.edu | 2-4439 • Arts Books & Manuscripts
Martha Smalley | martha.smalley@yale.edu | 2-5289 • Divinity Books & Manuscripts
Libby Van Cleve | libby.vancleve@yale.edu | 2-8586 • American Music Oral Histories
Timothy Young | timothy.young@yale.edu | 2-8131 • Modern Books & Manuscripts

Social Sciences and Management

Gwyneth Crowley | gwyneth.crowley@yale.edu | 2-3213
- Anthropology
- Economics
- Gay and Lesbian Studies
- Gender Studies
- Psychology, Sociology
- Sports
- Statistics
- Women's Studies

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- Linguistics

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- Social Science Data

Melanie Maksin | melanie.maksin@yale.edu 2-3310
- Government Information
- International Relations
- Political Science
- Public Policy

Christine Silkotch | christine.silkotch@yale.edu | 2-3306
- Accounting
- Business
- Finance
- Management
- Marketing
- Organizational Behavior

Alan Solomon | alan.solomon@yale.edu | 2-1778
- Archaeology
- Geography

Science, Medicine, and Engineering

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- Astronomy
- Geology
- Geophysics
- Physics

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- Biology
- Molecular Biophysics
- Biochemistry

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- History of Medicine

Carla Heister | carla.heister@yale.edu | 2-5132
- Environmental Studies
- Forestry

Denise Hersey | denise.hersey@yale.edu | 5-6251
- Medicine

Paul Lukasiewicz | paul.lukasiewicz@yale.edu | 2-4179
- Mathematics

Andrew Shimp | andrew.shimp@yale.edu | 2-7460
- Chemistry
- Computer Science
- Engineering and Applied Sciences
- Operations Research

Alan Solomon | alan.solomon@yale.edu | 2-1778
- History of Science
- Mountaineering

Matthew Wilcox | matthew.wilcox@yale.edu | 5-5680
- Epidemiology
- Public Health

Janene Batten | janene.batten@yale.edu | 7-2964
- Nursing

Michelle Hudson | michelle.hudson@yale.edu | 2-4587
- Science Data

Yale University

Session B: Managing Grants, Contracts & External Funding at Yale

Yale *Office of Research Administration*

ANDREW B. RUDCZYNSKI, PhD
Associate Vice President
for Research Administration

47 College Street, Suite 216Y
New Haven CT 06510-3209
T 203 785-3012
F 203 785-3510
andrew.rudczynski@yale.edu

August 20, 2013

To Our Newest Members of the Yale Research Community:

My staff and I would like to welcome you to Yale University. The Office of Research Administration (ORA) is responsible for the University's systems and processes regarding research administration, compliance and regulatory activities. The units within ORA provide assistance to faculty and staff in finding funding opportunities, obtaining and managing sponsored awards that support scholarly activities, and assuring proper stewardship of funds through compliance with sponsor, university and other policies and procedures. We aim to provide the highest level of service and professionalism, and to serve as an effective representative for the research enterprise at Yale University and nationally.

The orientation materials provided in this packet are intended to help familiarize you with Yale's research enterprise.

Please feel free to call or e-mail me or any member of my team with questions. In addition, we invite you to check our website (http://www.yale.edu/researchadministration) for the latest information on funding sources, training opportunities, updates on policies, and links to the Office of Grant and Contract Administration, Grant and Contract Financial Administration, the Conflict of Interest Office, the Institutional Animal Care and Use Committee, the Human Research Protection program, the Office of Strategic Initiatives, and the Office of Research Compliance and Education.

Wishing you every success,

Andrew B. Rudczynski

Andrew B. Rudczynski, Ph. D.
Associate Vice President for Research Administration

Financial Administration of Sponsored Projects – Faculty Training
TMS Registration Instructions for Web-based Module and FAQs

Principal Investigators are required to successfully complete the Sponsored Projects Administration for Faculty module. If a faculty member has not completed the training prior to proposal submission or the set-up of a new or competing renewal award, the Office of Grant and Contract Administration will send a reminder of this obligation. In order to access the module and accompanying self-assessment, please follow the directions below.

Before beginning the registration process keep in mind:

- The TMS website is designed for Internet Explorer (IE). Although other browsers may work, IE is the only technically suggested browser.
- Turn off pop up blockers before registering. IE pop up blockers can be turned off by completing the following steps:
  - Open Internet Explorer
  - Click on "Tools"
  - Select "Pop-up Blocker"
  - Select "Turn Off Pop-up Blocker"
- Other pop-up blockers, such as the ones included with the Google toolbar, may also need to be turned off.

How to Access

- Registration is done through the Training Management System (TMS) located at: http://www.yale.edu/training/
- Scroll down and select "Office of Research Administration"
- Under ORA, click "Courses"
- Choose "Sponsored Projects Administration for Faculty"
- Click on appropriate link to start the course.
- If you have any technical problems, please contact Eileen Joyce at researchadmin@yale.edu or 203-785-5819.

Frequently Asked Questions

Who is required to complete the requirement?
All Principal Investigators (PIs) involved in sponsored projects.

Does the training requirement apply if my funding is from non-federal sponsors?
Yes. This training is required regardless of the type of sponsor (i.e., federal, foundations, industry, etc.)

I am a Post-doc supported by a fellowship. Does the training requirement apply to me?
No. Individuals supported by fellowships (including pre-doctoral) are not required to complete the requirement. However, individuals supported by fellowships are not discouraged from completing the course.

How do I access the self-assessment that accompanies the web-based session?
The self-assessment immediately follows the course. Click on "Start Self-Assessment" to complete the training requirement.

If you have additional questions, please contact Eileen Joyce at researchadmin@yale.edu or 203-785-5819.

MAY/JUNE 2013 VOL. 7 NO. 2

OFFICE OF RESEARCH ADMINISTRATION NEWSLETTER

"Yale has a clear obligation to comply with all regulations pertaining to the administration of federal grants, and we will spare no effort to remedy any deficiencies in our practices." President Rick Levin

INSIDE

Contributors/Sources

Office of the Provost

Judy N. Spak
Curriculum Support Librarian

Office of Research Administration

Office of Research Compliance and Education

The National Science Board (NSB) Task Force to Study Faculty Administrative Workload

Over the past decade two Federal Demonstration Partnership (FDP) Faculty Workload Surveys indicate that administrative burdens associated with Federal research funding consume roughly 42% of an awardee's available research time. The National Science Board (NSB), which establishes the policies of the National Science Foundation (NSF) and recommends and encourages the pursuit of national policies for the promotion of research and education in science and engineering, recently established a Task Force on Administrative Burdens that is charged with examining faculty administrative workload as it relates to federally sponsored research. The Task Force is also interested in identifying opportunities to reduce burden while maintaining accountability and oversight. The NSB Task Force released a Request for Information (RFI) seeking recommendations from principal investigators for reducing the administrative workload associated with their Federal awards. Responses to the RFI will be considered as the Board develops recommendations to ensure investigators' administrative needs are met.

Faculty wishing to comment may do so through May 24th by completing the RFI located at the following website. *http://www.nsf.gov/nsb/committees/ab/tskforce_ab_rfi.jsp*

NSF FastLane and Research.gov Changes

On March 18, 2013, the National Science Foundation (NSF) flipped the switch on a compliance monitoring system within its electronic proposal submission system, FastLane, that rejects proposals that do not contain mandatory "major parts." While this is not a new policy, its implementation is automated and supported by FastLane, the

(continued on page 2)

Did you know that...

Yale Provost, Ben Polak,updated the community on the Federal Sequestration and its impact on Yale? In the Provost's memo, the Provost describes the affect of the sequestration on student aid, research and scholarship, government services, and Yale's next steps. To read this important message in its entirety click on the following URL: http://provost.yale.edu/news-announcements/update-federal-sequestration.

Yale

NSF's electronic proposal submission system. Under the new electronic process, FastLane will check a proposal submission for the following elements:

1. Project Summary
2. Data Management Plan
3. Postdoctoral mentoring plan (if applicable)
4. Project description
5. References cited
6. Biographical sketch(s)
7. Current and pending support
8. Budget
9. Budget justification
10. Facilities, equipment and other resources

If any one of the above elements is missing, FastLane will bounce the proposal back to the Office of Grant and Contract Administration (GCA) with an error message indicating why the proposal was not accepted. Principal Investigators are urged to move their own personal deadlines to ensure that proposals are complete before submission to GCA and then the NSF in order to adequately address any missing elements.

NSF has also announced that effective March 18, 2013, PIs will no longer submit project reports, annual, final and interim project reports through FastLane, and instead will need to file reports through Research.gov. This change is part of the overall plan to gradually move all activity to Research.gov.

A New Resource for Institutions to Track Public Access Compliance

The National Institutes of Health (NIH) has announced the release of the Public Access Compliance Monitor (http://www.pubmedcentral.nih.gov/utils/pacm/), a web-based tool that institutions such as Yale can use to track compliance of publications that fall under the NIH Public Access Policy. This tool provides an efficient and flexible method for retrieving, viewing, and organizing public access compliance information.

The Public Access Compliance Monitor provides the current compliance status of all journal articles for which NIH believes a particular grantee institution is responsible under the terms of the Public Access Policy. In addition to classifying articles according to compliance status, the Compliance Monitor provides detailed information about each article – a full citation; associated grants and program directors/principal investigators (PDs/PIs); the PubMed ID and related IDs where available; and a link to the PubMed record. Institutions can also track the status of papers deposited into the NIH Manuscript Submission (NIHMS) system.

Note that this Compliance Monitor is provided as an information resource only, and does not substitute for official reporting from the grantee institution to the NIH (e.g., a non-competing continuation award).

For additional information about Public Access Compliance requirements, visit Yale's Medical Library website at *http://guides.library.yale.edu/nihpolicy*.

For more information about accessing and using the Public Access Compliance Monitor, please refer to the user guide at *http://www.pubmedcentral.nih.gov/utils/pacm/*.

Did you know that...

there is a new way for departments to acquire used furniture and equipment? Yale's newly created Eli surplus exchange functions much like Craigslist and other classified advertisement websites and is open only to Yale University affiliates. Visit Eli Surplus Exchange today – many items are listed at no cost. You will need to log-in to purchase or exchange items. Note that the Office of Grant and Contract Financial Administration must review any items originally purchased with sponsored funds prior to posting. The primary purpose of the review is to determine ownership and title of the item. Comments and feedback are welcome and will help the University expand its inventory. See **http://surplus.yale.edu/**

Wishing Penny Cook a Happy and Healthy Retirement

Many readers of this Newsletter have worked and collaborated with Penny Cook during her 13 years with Yale either in her role as the Director, Office of Grant and Contract Administration or more recently as the Director, Strategic Research Initiatives. Penny will be retiring from Yale at the end of June. We want to thank Penny for her many years of service to the research community and her devotion to enhancing the research enterprise. Good luck Penny in pursing your love of photography.

Upcoming Research Administration Training/Educational Events

Funding/Grantsmanship Training Programs

How to Write a Compelling Grant Abstract: A Hands-On, Skill-Building Workshop
Date: June 5, 2013
Time: 3:00 PM – 4:30 PM
Location: School of Public Health, 60 College Street, LEPH 101
Instructor: Elena Kallestinova, PhD

Assistant Dean of the Graduate School and Director, Yale Graduate School of Arts & Sciences Writing Center, Dr. Kallestinova will lead a hands-on workshop devoted to improving your ability to write a compelling grant abstract (both lay abstracts and technical abstracts will be addressed). Registration is limited to 45 persons.

Training Programs Supporting the Administration of Sponsored Projects

Introduction to Sponsored Projects Administration

Date: May 29, 2013
Time: 8:30 AM – 4:30 PM
Location: 47 College Street, Suite 212A

Date: June 24, 2013
Time: 8:30 AM – 4:30 PM
Location: 47 College Street, Suite 212A

This one day program will walk participants through the basics of sponsored projects administration from proposal preparation to award closeout. Topics include: Regulatory Compliance, Proposal Preparation, Budget Basics, Proposal Review and Submission, Award Negotiation and Acceptance, Sponsored Award Setup, Financial Management of Sponsored Awards and Financial Reporting and Award Closeout. Attendance is limited to 25.

Cancellation Policy: The department of a registrant canceling within 24 hours of the course or who is a "no show" will be charged a cancellation fee of $50.

Direct Charging of F&A Type Costs to Sponsored Awards

Date: June 5, 2013
Time: 2:00 PM – 4:00 PM
Location: 47 College St, Suite 212A

This course will explore when direct charging of F&A type expenses to a sponsored award is acceptable, provide examples of like and unlike circumstances, and examples of justifications that support the direct charging of a F&A type cost to a sponsored award. *A prerequisite for this course is Introduction to Sponsored Projects Administration.*

(continued on page 4)

Did you know that...

Executive Order 13635 issued on April 3, 2013 freezes the Level II salary limitation at $179,700 for NIH, SAMHSA, AHRQ, CDC and HRSA?

Allowability & Allocation of Costs

Date: June 6, 2013
Time: 10:00 AM – 12:00 PM
Location: 47 College St, Suite 212A

The objectives of this course are to help participants understand and differentiate between an allowable and unallowable cost on a sponsored award and to understand the methodologies for allocating direct costs across two or more sponsored awards. *A prerequisite for this course is Introduction to Sponsored Projects Administration.*

Understanding F&A Costs

Date: June 13, 2013
Time: 10:00 AM – 12:00 PM
Location: 47 College Street, Suite 212A

This course will provide context to Yale's facilities and administrative (F&A) cost rate, how it is calculated, the application of F&A rates, and their importance.

What Research Staff Need to Know About Spending Sponsored Project Funds

Date: June 20, 2013
Time: 10:00 AM – 12:00 PM
Location: 47 College Street, Suite 212A

This module is designated for laboratory staff and other individuals identified by business offices as having a responsibility for purchasing goods and services from a sponsored award. It is designed to raise awareness of University and sponsored policies and regulations and introduce the attendees to tools that support the management of sponsored projects.

Registration Information

If you are interested in attending any of the above sessions, you may register by accessing the Training Management System (TMS) located at *http://www.yale.edu/training* and following these steps:
Click on: Grant and Contract Training
Click on: Courses
Click on: appropriate course title
Questions regarding the above training opportunities can be sent to Penny Cook at *researchadmin@yale.edu.*

- Hands-on Clinic – Fastlane (on request)
- Fundamentals of Export Controls (web-based)

Office of Research Administration (ORA)

- Sponsored Projects Administration Training for Faculty (web-based)
- CITI Responsible Conduct of Research (RCR)

To learn more or to register for ORA sessions, *visit http://www.yale.edu/training/, left side of screen click "Browse Courses and Forms" and scroll down to Office of Research Administration.*

OFFICE OF RESEARCH ADMINISTRATION MISSION STATEMENT

To coordinate the activities of the various University offices providing support to faculty, staff and students on sponsored projects, to assure that service provided by those offices is of the highest caliber and professionalism, and to serve as an effective representative for the research enterprise.

NOVEMBER/DECEMBER 2012 VOL. 7 NO. 1

OFFICE OF RESEARCH ADMINISTRATION NEWSLETTER

"Yale has a clear obligation to comply with all regulations pertaining to the administration of federal grants, and we will spare no effort to remedy any deficiencies in our practices." President Rick Levin

INSIDE

Contributors/Sources

Don Wiggin, MTA Manager, *Office of Grant and Contract Administration*

Jill Pagliuca, Director, *Conflict of Interest Office*

NIH Will Not Approve of Grant Continuations Unless Compliance with Public Access Requirement Has Been Demonstrated

Since 2008, the National Institutes of Health (NIH) public access policy has requested that the public have access to the published results of NIH funded research. Notice-OD-12-160 *(at http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-160.html)*, published on November 16, 2012, informed grantees that in Spring, 2013, at the earliest, NIH will not process non-competing continuation grant awards if publications arising from that award are not in compliance with the NIH public access policy. This change will take effect together with NIH requiring the use of the Research Performance Progress Report (RPPRs) for all Streamlined Non-competing Award Process (SNAP) and Fellowship awards in the Spring of 2013.
(see *http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-142.html*)

NIH advises PDs/PIs to use their My NCBI account to track compliance of their publications now, and to ensure all publications arising from their awards are posted to PubMed Central in accordance with the policy.

The Yale University Medical library has established a website to assist Yale staff, faculty and researchers in complying with the NIH Public Access Policy.

The following tutorials are also available *(see links within Notice-OD-12-160 above)*.

- Get Started with My NCBI: Access My NCBI, Register, and Sign In
- Manage Compliance with the NIH Public Access Policy in My NCBI
- Use a Delegate to help manage your My NCBI account and public access compliance
- Using My NCBI to associate your papers with your PD/PI's award

Did you know that...

The National Institutes of Health (NIH) plans to transition all multi-project applications to electronic submissions using the SF 424 (R&R) form set by the end of December 2013? The NIH will publish pilot funding announcements for due dates between January and September 2013 and transition the P01, P20, P50, R24, U24, U19 mechanisms by September 25, 2013, and the G12, P30, P40, P41; P42, P51, P60, R28, U10, U41, U42, U45, U54, U56, UC7, UM1 mechanisms by January 25, 2014.
See http://grants.nih.gov/grants/guide/notice-files/not-od-12-161.html

Yale

NIH Clarifies PHS COI Rules Regarding the Reporting of Third Party Travel

On November 29, 2012 Jill Pagliuca, Director, Conflict of Interest Office, released a Memorandum *(at http://coioffice.yale.edu/node/83/attachment)* outlining NIH's clarification regarding the reporting of third party paid travel as part of required conflict of interest disclosures.

The clarification states that:

- Only third party paid travel with an aggregate amount exceeding $5,000 per year from any single entity must be disclosed. **Previously, ALL third party paid travel regardless of the amount was subject to disclosure.** It is expected that applying this clarification will significantly decrease the number of travel disclosures investigators are required to make.
- Investigators must disclose the **past 12 MONTHS** of third party paid travel **related** to their Yale responsibilities. **Previously, Yale's practice required disclosure for only the past 30 days.**
- The disclosure of third party paid travel **related** to the investigator's Yale responsibilities applies to the investigator, his/her spouse, and dependent children.

PHS Investigators should read the Memorandum carefully to determine what steps they need to take to be in compliance.

The Most Frequently Asked Questions about the PHS COI Disclosure Process

According to the PHS, Conflict of Interest regulations are designed to increase accountability, add transparency, and enhance regulatory compliance and effective Institutional management of investigators' financial conflicts of interest. Revised regulations went into effect on August 24, 2012. Below are answers to frequently asked questions about Yale's COI disclosure process and the location of additional resources to assist with the application of the PHS regulations to proposals and awards.

1. To whom does the PHS Conflict of Interest regulation apply?

The PHS regulation applies to all PHS Principal Investigators (PIs) and anyone designated by the PI (regardless of title or position) as responsible for the design, conduct, or reporting of research either funded or proposed for funding by the PHS awarding agencies (e.g., NIH).

In addition, subrecipient investigators and consultants who have been designated by the PI as responsible for the design, conduct or reporting of the research are also subject to the regulations.

2. As the PI, how do I determine who is responsible for the design, conduct or reporting of research?

PIs should consider the role, rather than the title, of those involved in the research and the degree of independence with which those individuals work. The risk of limiting the definition of investigator to titles or designations (e.g., senior/key personnel, faculty) is that there is the potential for an unidentified financial conflict of interest (FCOI) to exist that may compromise the research.

3. As an investigator (PI or someone designated by the PI as responsible) on a PHS award, when must I complete the new External Interests Disclosure form?

You (and anyone else identified by the PI as being responsible for the design, conduct or reporting of research, also referred to as an "investigator") must complete the new PHS-compliant External Interests Disclosure form when:

- a PHS application is submitted (new, competing renewal, non-competing continuation, supplement); or
- if new PHS funding is received on or after August 24, 2012 as a result of an application submitted prior to August 24, 2012 in which you are identified as an investigator.

Note: A new investigator added to an existing PHS award must have a current PHS-compliant External Interests Disclosure form on file, reviewed by the COI Office, and if appropriate, must have a signed management plan in place prior to participating in the PHS research.

(continued on page 3)

According to PHS regulations, all investigators must complete and submit their External Interests Disclosure form prior to proposal submission or receipt of new funding, whichever comes first. Likewise, if any financial conflicts of interest (FCOIs) are identified, the award cannot be set up until the investigator agrees in writing to the management plan, and the COI Office has reported the FCOI to the sponsor.

4. How do I submit the new External Interests Disclosure Form?

To submit an External Interests Disclosure:

- Click here *(at https://secure.its.yale.edu/cas/login?service=https%3A%2F%2Fires.yale.edu%2Flogin.asp)*
- Log in with your NetID and Password
- On the next screen left side bar, click on "External Interests", then click on "Update"
- The "Welcome" screen box should appear in the center of the screen
- Click the button at the bottom right hand side of the Welcome screen box that reads either "Update Disclosure" or "Edit/Submit Current Disclosure" or "Create My Disclosure"
- Let the questions guide you through the disclosure process **(Tip: Remember to answer "Yes" to Pre-Screening Question #2b, and the form will navigate you to the PHS disclosure pathway.)**

5. When am I required to disclose a newly acquired significant financial interest (SFI)? Annually?

A new SFI, whether it is reportable third party paid travel, or stock, consulting fees, etc. for you, your spouse, or dependent children must be reported when the aggregate value exceeds $5,000 and within 30 days of receiving/acquiring the SFI. (**Note**: Stock and/or stock options from a non-publicly traded company must be disclosed at $0 value.) Failure to do so, according to PHS regulations, will require Yale to conduct a retrospective review to determine whether the undisclosed significant financial interest biased the research. If after your initial PHS External Interests Disclosure no additional SFIs are received or acquired, then only an annual disclosure is required.

Additional Resources

To assist investigators and department business offices with the application of the PHS regulations to proposals and awards, GCA has created a PHS and NSF COI Resource Repository website located at: *http://www.yale.edu/grants/FCOI/index.html* that includes a Summary for Investigators of the PHS COI changes. External Interests Disclosure information and requirements are available on the Conflict of Interest Office's website located at: *http://coioffice.yale.edu/information-revised-phs-coi-regulations.*

As always, please call upon the staff of the Office of Grant and Contract Administration (GCA) and the Conflict of Interest Office (COI) to assist you with questions regarding PHS or NSF requirements. If you encounter technical problems while completing your disclosure form, or have questions regarding navigating the disclosure form, please contact the COI Call Center at (203) 737-5954.

IACUC Posts Transportation Guidelines for Animals

The Institutional Animal Care & Use Committee (IACUC) and the Office of Grant and Contract Administration (GCA), in collaboration with the Office of Cooperative Research (OCR) and the Yale Animal Resource Center (YARC), have recently updated *Yale Policy 4442: Transportation of Animals (Inter-institutionally)* governing the export and import of rodents and other live vertebrate animals. This policy ensures the proper transfer of animals in a safe and appropriate manner.

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Did you know that...

The National Science Foundation (NSF) has revised its Merit Review Criteria (See http://www.nsf.gov/pubs/policydocs/pappguide/nsf13001/nsf13_1.pdf). Changes will affect the project summary and project description sections of proposals and are effective for proposals submitted, or due, on or after January 14, 2013. Annual and final reports will also be affected.

Policy 4442 states that unless animals are being transferred under the terms and conditions of a collaborative research agreement (CRA), sponsored research agreement (SRA), federal subaward, or other appropriate agreement, a License or Material Transfer Agreement (MTA) must be utilized to import or export animals to or from the University.

Import Procedure

Investigators importing animals from non-commercial and/or unapproved vendors such as Jackson Laboratories, Taconic Inc., or the Mutant Mouse Regional Resource Center should either utilize a Request to Introduce Rodents Form available on the YARC website at*(at http://info.med.yale.edu/yarc/qa/introduc.htm)* or contact the YARC Purchasing Agent at 785-2526 because the transfer of animals for these types of repositories are governed by the policies of the specific vendor.

Should an investigator be contacted directly by a vendor that a specific MTA or Condition of Use Agreement (COU) is required, they should contact GCA's at *MTAs@yale.edu* prior to transfer. GCA will coordinate with YARC to negotiate the required agreement.

Investigators who would like to receive materials from an academic or non-profit institution, governmental agency, or for-profit company are required to complete an Incoming MTA web-based form (*http://www.yale.edu/grants/mta/incoming.html*) and submit it to GCA. This form provides the necessary background information in order to ensure that Yale complies with the organization's MTA terms.

Export Procedure

Investigators wishing to export mice to an academic or non-profit institution, or governmental agency should complete an Outgoing MTA web-based form (*http://www.yale.edu/grants/mta/outgoing.html*) and submit it to GCA. GCA will confirm that there are no restrictions in transferring the mice, limitations on the recipient's use, or costs related to the transfer of the mice. GCA employs standard agreements such as the Uniform Biological Material Transfer Agreement (UBMTA), the NIH Simple Letter Agreement (SLA), or the NIH Transfer of Organisms Agreement (MTA-TO) in order to expedite these types of transactions.

License Agreements to export rodents to for-profit companies are required to protect the University's intellectual property rights in the animals, to ensure that Yale is not transferring animals with any third party rights that would violate existing agreements, and to negotiate appropriate licensing fees. Investigators wishing to export rodents to a for-profit company should contact John Puziss, Director of Technology Licensing, OCR.

If animals are to be exported under an existing agreement, such as a grant, SRA, CRA or subaward, YARC should be notified of the specific agreement. They will coordinate with OCR/GCA to ensure the rodents are being appropriately transferred.

Note: Graduate students, post-docs, research scientists, or visiting scientists, working in an investigator's research group wishing to take rodents to another institution (and possibly another laboratory here at Yale) must do so under an appropriate License Agreement or MTA.

It is important to contact either OCR or GCA as early as possible to allow for the required time to draft, negotiate and sign agreements. License agreements and incoming and outgoing MTAs may require a few days or weeks to process especially if Yale is required to contact a third party or if the incoming agreement contains terms that conflict with University academic policies. Animals may not be transferred until the appropriate agreement has been fully executed by both investigators and institutions.

Yale University Contacts:

Institutional Animal Care and Use Committee (IACUC) Office
Website: *http://iacuc.yale.edu/*
Email: *IACUC@yale.edu*
Tel: 1-203-785-5992

Yale Animal Resource Center (YARC)
Website: *http://medicine.yale.edu/yarc/index.aspx*
E-mail: Jennie Smith, Animal Import/Export Coordinator, *jennie.smith@yale.edu*
Tel: 1-203-785-2526

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Office of Cooperative Research (OCR)
Website: *http://www.yale.edu/ocr/*
Email: John Puziss, Director of Technology Licensing, *john.puziss@yale.edu*
Tel: 1-203-785-6209

Office of Grant and Contract Administration (GCA)
Website: *http://www.yale.edu/grants/mta/index.html*
Email: Don Wiggin, MTA Manager, *donald.wiggin@yale.edu, MTAs@yale.edu*
Tel: 1-203-785-6313

IRES Proposal Development

Over the summer Yale's new web-based Integrated Research Enterprise Solution (IRES) Proposal Development (PD) module was effectively piloted in Psychiatry, Child Study Center, and departments supported by FAS Faculty Research Management Services (FRMS). Pilot participants built and electronically submitted over two hundred proposals using the new PD module. During the pilot, proposals were routed and approved online by faculty from locations across the US and internationally (e.g., China and Greece).

The PD module provides PIs and administrators an online portal for preparing, submitting, and tracking grant proposals. Features of the new PD module include:

- Ability to electronically create, assemble and route proposals for review, approval, and submission
- Access proposals from any networked computer (via Yale VPN) or Smartphone
- Pre-population of PI and department information
- Ability to attach supporting documents and compliance information
- Facilitates direct submittals to Grants.gov

IRES began with the implementation of the Proposal Tracking (PT) module as a first phase to capture, store and manage preliminary proposal and award information. Progress continues as the PD module is implemented in waves across the University, beginning Fall 2012 through 2013.

If you have questions about IRES, please contact us at *IRES@yale.edu.*

Good Clinical Practice (GCP) Module

Individuals seeking training in Good Clinical Practice (GCP) for clinical research can now access the Collaborative Institutional Training Initiative (CITI) Good Clinical Practice (US FDA Focus) web-based program through Yale's Training Management System (click on *http://yale.edu/training/* and scroll down to CTSA/YCCI).

The GCP course contains modules that address GCP requirements, investigator responsibilities in drug and device studies, safety monitoring and reporting. Each module includes an introduction, topic-specific content, references and resources, and quiz questions. Review of the required materials and completion of the quizzes will take about 15-20 minutes per topic. You do not have to complete the course all in one session. A minimum aggregate score of 80% is required in order to successfully complete the GCP(US FDA Focus) Course.

Sponsors or funding agencies may require researchers who conduct clinical research to demonstrate knowledge of good clinical practices. The CITI GCP (US FDA Focus) Course can be used to meet this requirement.

Questions about course content can be directed to susan.anderson@yale.edu. Having trouble with access? Contact *researchadmin@yale.edu.*

Research Administration Training Opportunities

UPCOMING TRAINING EVENTS

Introduction to Sponsored Projects Administration

Date: January 8, 2013
Time: 8:30 AM – 4:30 PM
Location: 47 College St, Suite 212A

This one day program will walk participants through the basics of sponsored projects administration from proposal preparation to award closeout. Topics include: Regulatory Compliance, Proposal Preparation, Budget Basics, Proposal Review and Submission, Award Negotiation and Acceptance, Sponsored Award Setup, Financial Management of Sponsored Awards and Financial Reporting and Award Closeout. The department of a registrant canceling within 24 hours of the course or who is a "no show" will be charged a cancellation fee of $50.

Research Compliance Principles for Administrators

Date: January 30, 2013
Time: 8:30 AM – 12:30 PM
Location: 47 College Street, Room 212A

This 1/2 day program is designed to walk attendees through the principles of research compliance focusing on what business administrators should know about research involving animals, human research studies, conflict of interest, environmental health and safety, export controls, and the basic requirements of subawards. A prerequisite for this course is "Introduction to Sponsored Projects Administration. The department of a registrant canceling within 24 hours of the course or who is a "no show" will be charged a cancellation fee of $50.

Additional Training for Faculty and Administrators

Grant and Contract Financial Administration (GCFA)

- Cost Transfer Principles and Access
- Effort Reporting Principles (System Training)

Grant and Contract Administration (GCA)

- Hands-on Clinic – Grants.gov (on request)
- Hands-on Clinic – Fastlane (on request)
- Fundamentals of Export Controls (web-based)

Office of Research Administration (ORA)

- Sponsored Projects Administration Training for Faculty (web-based)
- CITI Responsible Conduct of Research (RCR)

To learn more or to register for ORA sessions, visit http://www.yale.edu/training/, Navigate to Office of Research Administration.

OFFICE OF RESEARCH ADMINISTRATION MISSION STATEMENT

To coordinate the activities of the various University offices providing support to faculty, staff and students on sponsored projects, to assure that service provided by those offices is of the highest caliber and professionalism, and to serve as an effective representative for the research enterprise.

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

CONTACT INFORMATION

Office of Grant and Contract Administration
47 College Street – Suite 203
New Haven, CT 06510-3209
Phone: (203)785-4689
FAX: (203)785-4159 or (203)785-5938
Website: www.yale.edu/grants

The Office of Grant and Contract Administration is aligned in teams that support YSM and Central Campus departments. A complete listing of departments and contact information is available on the GCA website at www.yale.edu/grants/contacts .

Michael Glasgow, Executive Director, GCA, michael.glasgow@yale.edu or (203) 785-3680

Donald Deyo, Director of Corporate Contracts and Export Control Licensing, donald.deyo@yale.edu or (203) 785-3817

Tracy Coston, Assistant Director (Proposal Management) tracy.coston@yale.edu or (203) 785-6033

Cynthia Kane, Associate Director (Award Management & Setup) cynthia.kane@yale.edu or (203) 785-6762

Christopher Browe, Lead Contract Manager (Clinical Trials and Corporate Contracts), christopher.browe@yale.edu or (203) 785-4907

The Office of Grant and Contract Administration (GCA) facilitates extramurally supported research and research administration at Yale University. Reporting to the Associate Vice President for Research Administration, GCA signs off on grant applications and negotiates contracts and grants with sponsors. Once an award has been made, GCA provides guidance and assistance with the administration of the award and serves as the primary administrative contact with the sponsor.

Proposals

GCA reviews and provides institutional approval of all sponsored program proposals. Once a proposal has been signed and approved by GCA, it may be submitted to the sponsor. Most federal sponsors require that proposals be submitted through on-line systems. Grants.gov and NSF's Fastlane are common systems. In cases of electronic proposal submissions to federal sponsors, GCA will review and submit the proposal to the sponsor. Other proposals may be submitted by the investigator after GCA has reviewed and approved the proposal.

Proposals are due to GCA at least 5 working days prior to the sponsor deadline to allow for an administrative review of the proposal.

Contracts

GCA negotiates sponsored program grants and contracts to include research, technical services, teaming, clinical trials, material transfer, confidentiality and other sponsored agreements. Contract negotiation with commercial sponsors may be complex and difficult because the agreements must address a large number of issues such as budget, scope of work, intellectual property rights, publication rights, indemnification, termination and

confidentiality. Investigators are encouraged to contact GCA early in any discussions with industry about sponsoring research. Whenever possible, GCA will use approved contract templates or a master research agreement that may already be in place. GCA has primary responsibility for negotiating sponsored program grant and contacts on behalf of Yale.

Export Controls

The Department of Commerce's Export Administration Regulations (EAR) and the Department of State's International Traffic in Arms Relations (ITAR) restrict the export of certain technologies or technical data, such as military applications (regulated by ITAR) or commercial applications that may also have value in a military context (regulated by ITAR), overseas and to foreign nationals working in or visiting the United States.

In some circumstances, Yale may be required to obtain prior approval from the appropriate agency before allowing foreign nationals to participate in research, collaborate with a foreign company, or share research results with foreign nationals. The Treasury Department's Office of Foreign Assets Control (OFAC) regulates trade embargoes, sanctions, and travel restrictions and restricts exportation of information and research articles to embargoed entities and persons.

These regulations, which have been in place for over twenty years, carry a range of potential penalties, including imprisonment, for individuals who violate them. GCA provides guidance to Yale faculty, students, and staff so that they may recognize when the regulations may apply and when an export or OFAC license may be required in connection with research.

GCA Organization

The Office is comprised of five grant and contract teams, one corporate contracts team and one award setup team. The rosters and departmental portfolios of each team are posted on the GCA website at www.yale.edu/grants/contacts.

Yale University
Office of Research Administration
Multidisciplinary Research Initiatives

Mission

The Office of Research Administration's (ORA's) Multidisciplinary Research Initiative effort is available to assist faculty in securing funding for institutional priorities.

Objectives

Funding Opportunities

- Make appropriate University constituencies aware of new funding opportunities.
- Understand faculty profiles in order to bring together groups in support of these scientific initiatives.
- Support the University's internal scholar award programs.
- Work with sponsors to maximize effectiveness of major institutional submissions.

Program Development

- Research and promote opportunities for complex specialized grant programs. Work in close collaboration with the Deans of self support schools and the Office of the Provost to increase sponsored programs support.
- Prioritize major opportunities in-line with institutional objectives.
- Provide support and follow-up on University funding initiatives.
- Consult, provide project management support or act as the prime support within the application process tailoring services to the specific needs and requirements of individual departments, supplementing, not supplanting, existing departmental, institute or center resources. Activity may include strategizing, preparing, writing, and editing responses to Requests for Proposals and Program Announcements.
- Provide expertise in anticipation of site visits. Manage retreats and teleconferences in support of multidisciplinary research providing expert evaluation and critique to investigators.

Training/Education

- Design, develop and coordinate education and training programs that support research administration and faculty development.

Communication

- Communicate sponsor policies and federal regulations that support research administration through the ORA website and Newsletter.

Structure and Staff

The Multidisciplinary Research Initiative is under the oversight of the Associate Vice President for Research Administration and the University Research Compliance Officer located within ORA.

Supporting Information

ORA maintains a comprehensive website, http://www.yale.edu/researchadministration/ containing links to the offices supporting the research enterprise, links to relevant policies and procedures, training opportunities and specific topics such as the Responsible Conduct of Research (RCR) and foreign scholars.

Information in Funding Opportunities and Institutional Training Grants can also be found on the Grant and Contract Administration website http://www.yale.edu/grants/.

In addition to individual emails the Office supports researchadmin@yale.edu.

ORA's Multidisciplinary Research Initiative program is located at 47 College Street, Suite 216Y

Phone (203) 785.2518

August 2013

Mission

The Office of Grant and Contract Financial Administration (GCFA) supports Yale's mission and dedication to research by providing guidance to faculty, senior leadership, business administrators and others in the proper financial stewardship of externally sponsored grants, contracts and other agreements.

Objectives of GCFA

The financial management of externally sponsored awards involves strict oversight, specialized knowledge of federal guidelines, the proper application of award terms and conditions, and providing a level of transparency to all stakeholders that assures Yale is effectively overseeing the administration of funds.

With attention to complying with sponsor and University regulations, policies, and procedures, GCFA works closely with faculty, business office staff, and shared services, such as YSM Financial Operations and the Faculty Research Management Services department, on:

- Financial reporting and closeout;
- Quality assurance and financial compliance;
- Effort reporting;
- Sponsored account setup;
- Cash management;
- A/R billing and payments;
- Moveable equipment;
- Internal Service Providers; and
- Development of the Facilities and Administrative (F&A) Rate.

GCFA Structure and Staff

The Office of Grant and Contract Financial Administration (GCFA) is overseen by of the Office of Research Administration. The GCFA Director reports to the Associate Vice President for Research Administration.

The GCFA Director is primarily responsible for the development, implementation and ongoing adherence to University policy and procedures that support the University objectives, integrating sponsor regulations and policies into standard practice for Yale's financial component of sponsored project administration, and effectively and accurately solving complex award management issues related to compliance.

In addition to the department's key objectives, GCFA staff provides training to administrators and lab managers including: allowability of costs, cost transfer principles, effort reporting principles and system, sponsored project administration, and ARRA reporting. Through site visits, routine attendance at key meetings and external training through organizations such as NCURA and SECA, GCFA professionals are at the forefront of proactive, effective sponsored account management.

Supporting Information

GCFA contributes to a joint website, www.yale.edu/grants containing information about cash management, cost analysis, effort reporting and quality assurance and financial compliance, a staff roster. More information about Internal Service Providers can be found on the Office of the Controller's website, http://www.yale.edu/finance/controller/isp/index.html

Contact Information

Mailing Address, Phone and Fax

Office of Grant and Contract Financial Administration

47 College Street - Suite 216

New Haven, CT 06510-3209

Phone: (203) 785-3630

FAX: (203) 737-5837

Dedicated Email Addresses

Main: gcfa@yale.edu

ARRA: arra.reporting@yale.edu

Effort reporting: effort.reports@yale.edu

Sponsored account setup: ogmsetup@yale.edu

Yale

Yale University

Human Research Protection Program

Mission:
Yale strives to adhere to the highest ethical standards in the protection of human research participants and seeks to identify and implement means for ensuring the protection of its research participants. The program seeks to ensure that Yale:

- Creates a culture of respect for, and awareness of, the rights and welfare of human research participants at Yale and its affiliated research partners while advancing scientific knowledge and facilitating the highest quality research.
- Is guided by the ethical principles set forth in the Belmont Report: *Respect for Persons, Beneficence and Justice.*
- Facilitates compliance of its researchers with the federal regulations, and protection of research participants.
- Develops new approaches that better serve the overarching mission of the HRPP, such as continuing education and training, ensuring scientific integrity, tracking and monitoring research activities and assessing the overall effectiveness of the HRPP.
- Assesses the effectiveness and independence of the Institutional Review Boards (IRBs) in their review of research activities.

Objectives of the HRPP

Yale University recognizes that the protection of individuals participating in research transcends traditional personnel and departmental jurisdictions. Therefore Yale maintains an integrated human research protection program (HRPP) accredited by the Association for the Accreditation of Human Research Protection Programs (AAHRPP). The HRPP includes mechanisms to:

- Establish a formal process to monitor, evaluate, and continually improve the protection of human research participants
- Exercise oversight of research protection
- Educate investigators and research staff about their ethical responsibility to protect research participants

- When appropriate, intervene in research and respond directly to concerns of research participants.
- Ensure Research Partners maintain the resources need to support the research infrastructure

HRPP Structure and Staff

The HRPP is under the oversight of the Associate Vice President for Research Administration, and is guided by a Steering Committee comprised of representatives from IRB leadership, the School of Medicine and School of Nursing Dean's offices, Office of the General Counsel, Office of the Provost, Yale faculty, the Yale Center for Clinical Investigation, and Research Administration. The Steering Committee is responsible for advising the HRPP leaders in setting goals and direction for Yale's human research initiatives.

The HRPP Director reports to the Associate Vice President for Research Administration. The Director is responsible for the development and implementation of policies, procedures and programs for the effective and efficient administration of the HRPP, in collaboration with Yale's HRPP partners, and in compliance with relevant federal regulations, state laws, sponsor requirements and University policies and procedures related to human research protection.

The HRPP is comprised of five units: IRB, Compliance, Education and Community Outreach, Informatics and IRB Billing. This structure provides a system of effective research regulatory review, compliance with the human subject research regulations (for example, Office of Human Research Protections (OHRP), Food and Drug Administration (FDA), and the Office of Civil Rights (OCR)), education, liaison with researchers and community partners and participants, advancement in informatics and information technology support as well as on-going fiscal management of IRB review fees.

A large component of the HRPP involves the work conducted by Yale's Institutional Review Boards (IRB). Yale maintains five (5) active IRBs: four (4) biomedical committees, collectively known as the Human Investigation Committee (HIC) and one (1) social/behavioral/educational committee, known as the Human Subjects Committee (HSC). Each IRB is led by a Chair and supported by a Vice-Chair who is responsible for ensuring the proper review, approval, disapproval or determination of exemption from further review of research protocol submissions to the IRB.

Each committee maintains a membership of scientists and non-scientists representative of the research community it serves, as well as non-scientist community members from the larger New Haven community.

Additional Information

The HRPP maintains a comprehensive website, http://www.yale.edu/hrpp/ containing policies and procedures, forms and templates, guidances and checklists, visual presentations, meeting

rosters and schedules, research participant information, as well as, resources for those involved in the conduct of human research. The site is divided into interest areas, for ease of user access.

Three email accounts are maintained: HRPP@yale.edu, YSMHIC@yale.edu and Human.subjects@yale.edu

The HRPP office is at 55 College Street. Office hours are Monday-Friday, 8:30AM-5:00PM. There is a drop off box by the front door for after hours submissions.

Phone (203) 785.4688

Fax: (203) 785.2847

Revised July 23, 2013

Author: Jan Hewett - Director, Human Research Protection Program

Understanding the Conflict of Interest (COI) Disclosure Process

Yale University is committed to ensuring that the research, consultation, and other activities of faculty and non–faculty employees are conducted in accordance with the principles of openness, trust, and free inquiry that are fundamental to the autonomy and well–being of a university and with the responsible management of the University's business. In pursuit of this important goal, the University requires annual disclosure of external interests related to one's University responsibilities in order to assist members of the Yale community in avoiding the potential for such related interests to bias research, teaching, clinical care, or other University activities.

A link to the Yale University Policy on Conflict of Interest is posted on the COI Office Website at: http://coioffice.yale.edu/yale-policies-procedures .

Who is required to submit annual disclosure forms?

- All faculty with a greater than 50% appointment
- All faculty who hold administrative positions
- All individuals who are responsible for the design, conduct or reporting of research, regardless of % of appointment

What should be disclosed?

- Significant financial interests (SFIs) related to one's Yale responsibilities.*

  **SFI definitions and thresholds for disclosing SFIs differ according to funding circumstances. Yale's branched disclosure form will walk you through the process of determining what is necessary and not necessary to disclose (e.g., if you receive NSF funding, you will complete a disclosure form that comports with NSF COI requirements).*

How often does one need to submit a disclosure form?

- Annually (anniversary date is based on date of last disclosure); and
- Within 30 days of acquiring any new reportable significant financial interests

How does one complete the COI disclosure form?

- Through the University's secure web-based disclosure system - a link to the disclosure form is posted on the COI Office website at: http://www.yale.edu/coi/

- An active Yale Net Id and password are required to log in to the disclosure form

- A Virtual Private Network (VPN) connection is required to access the form from an off-campus location or a computer that is not on the Yale network. If you do not have the Yale VPN installed on your computer, please contact Yale's ITS Helpdesk at (203) 432-9000, or you can visit the ITS web page at: http://its.yale.edu/services/wifi-and-networks/vpn-campus-access .

What happens after one submits his/her disclosure form?

- If an individual responded "No" to all of the disclosure form screening questions, the disclosure status is automatically set to "AAN" (all answers no), and there are no COI holds on award set ups.

- If the individual responded "Yes" to any of the disclosure form questions, and a SFI is present, the disclosure is listed for further review by the Provost's Committee on Conflict of Interest (COI Committee) or its designee.

- SFIs are reviewed:
  - in the context of one's overall Yale responsibilities, e.g., academic, clinical or administrative (commonly referred to as an "Annual Activities Review"); and
  - with respect to one's research activities to determine whether or not the presence of the SFI directly and significantly affects the design, conduct or reporting of the research or the objectivity of the investigator carrying out the research (commonly referred to as "Transactional Review").

- All disclosures where SFIs are present are labeled as "Transactional Review Required."

What is Transactional Review and what does it mean with regard to award set ups?

- Transactional Review is a review of an individual's external SFIs in relation to the work described in a research proposal to determine if the SFI could have a direct & significant affect on the design, conduct or reporting of the research, or if the research could have a direct and significant affect on the SFI; therefore, presenting a conflict of interest.

- If a potential conflict of interest is identified:
  - it must be managed, reduced or eliminated before the sponsored research can begin;
  - the COI Office/COI Committee will work with the individual to develop a management plan;
  - the setup of any corresponding award is dependent upon the discloser reaching written agreement as to the management plan.

Who should I contact for help?

- If you have any questions about the COI disclosure or review process, please contact the Conflict of Interest Office at 203.785.4773 or 203.785.4456 or via email at conflicts@yale.edu.

- To learn more about COI disclosure requirements, visit the Yale University COI website at: http://www.yale.edu/coi/.

Research Administration

- ***Office of Research Administration (ORA)***
  - * Contact: Andrew Rudczynski, Ph.D., Associate Vice President for Research Administration
  - * Location: 47 College Street, Suite 216Y
  - * Phone: (203) 785-3012
  - * Fax: (203) 785-3510

  URL: www.yale.edu/researchadministration

- ***Office of Research Compliance and Education (ORCE)***
  - * Contact: Alice Tangredi-Hannon, University Research Compliance Officer
  - * Location: 47 College Street, Suite 216Y
  - * Phone: (203) 785-5322
  - * Fax: (203) 785-3510

  URL: http://www.yale.edu/researchadministration/orce/index.html

Sponsored Projects Advancement and Education

- * Contact: Director TBD

Yale College 1807

Office of Research Administration

Faculty Orientation 2013

For information on...

New Faculty Orientation
2013

Welcome to Yale.

For information about...

Animal Use Protocol Submissions

- ***Institutional Animal Care & Use Committee (IACUC)***
  - * Contact: Bob Davis, Acting Director
  - * Location: 37 College Street
  - * Phone: (203) 687-8589
  - * Fax: (203) 785-4645

  URL: http://iacuc.yale.edu/

External Interest Requirements and Disclosure Process

- ***Conflict of Interest Office (COI)***
  - * Contact: Jill Pagliuca, Director
  - * Location: 37 College Street
  - * Phone: (203) 785-6307
  - * Fax: (203) 785–4255

  URL: http://www.yale.edu/coi

Environmental Health, Biological, Chemical, Laboratory and Radiation Safety, and Hazardous Waste

- ***Office of Environmental Health and Safety (OEHS)***
  - * Contact: Peter Reinhardt, Director
  - * Location: 135 College Street, 1st Floor
  - * Phone: (203) 785-3550
  - * Fax: (203) 785-7588

  URL: http://www.yale.edu/ehs/

HIPAA Resources and Information

- ***Health Insurance Portability & Accountability Act (HIPAA)***
  - * Contact: Susan Bouregy, HIPAA Privacy Officer
  - * Location: 2 Whitney Avenue, 2nd fl
  - * Phone: (203) 436-3650
  - * Fax: (203) 432-4033

  URL: http://hipaa.yale.edu/

Human Research Protection Program

- ***Yale Institutional Review Boards***
  - * Contact: Jan Hewett, Director
  - * Location: 55 College Street
  - * Phone: (203) 737-2767
  - * Fax: (203) 785-2847

  URL: http://yale.edu/hrpp

Inventions, Patents, Technology Transfer, Material Transfer Agreements (Outgoing)

- ***Office of Cooperative Research (OCR)***
  - * Contact: Jon Soderstrom, Managing Director
  - * Location: 433 Temple Street
  - * Phone: (203) 436-8096
  - * Fax: (203) 436-8086

  URL: http://www.yale.edu/ocr/

Pre-award: Funding Opportunities, Proposal Development/Review, Award Acceptance and Set-up, Interpretation of Terms and Conditions, Export Controls, Material Transfer Agreements (Incoming)

- ***Grant and Contract Administration (GCA)***

  Contact: Michael Glasgow, Executive Director
  - * Location: 47 College Street, Suite 203
  - * Phone: (203) 785-3680
  - * Fax: (203) 785-4159 (Grants)
  - * Fax: (203) 785-4169 (Contracts)

  URL: http://www.yale.edu/grants/

Post-award: Financial Administration of Sponsored Projects, Effort Reporting, Financial and Technical Reporting Requirements, Subrecipient Monitoring, Equipment Inventory, and Facilities and Administrative Rate (commonly referred to as "indirect costs")

- ***Grant and Contract Financial Administration (GCFA)***
  - * Contact: Tracy Walters, Director
  - * Location: 47 College Street, Suite 216
  - * Phone: (203) 737-8355
  - * Fax: (203) 737-5837

  URL: http://www.yale.edu/grants

Yale University

Session C: How Environmental Health & Safety Can Help You (setting up labs, shops, safety, etc.)

Yale *Environmental Health & Safety*

135 College Street, Suite 100
New Haven, Connecticut 06510-2411

Telephone: 203 785-3550
Fax: 203 785-7588
www.yale.edu/ehs

Date:

To: New Yale Principal Investigators

From: Yale University Environmental Health & Safety (EHS)

Subject: Welcome and Orientation to Key EHS Services

Welcome to Yale University! The EHS Office is pleased to serve as your partner in research lab safety and in regulatory compliance. This welcome letter outlines steps you can follow as a new Principal Investigator (PI) to assist you in this partnership. The State of Connecticut has a few unique regulatory requirements that you may not have had to deal with in your previous research location. Yale EHS will help you navigate these special rules and also specific Yale Policies and Procedures, in addition to other State and Federal regulatory requirements. As some of these regulatory requirements require review and authorization outside of EHS, the earlier you engage us for assistance, the earlier the authorization. We also welcome registrations from new PIs before they arrive on campus and are willing to help you complete these registrations prior to your arrival. Please visit our website at www.yale.edu/ehs to learn more about our services.

There are "4 Initial Steps to Safety" and also to help you get your research approved and in action as quickly as feasible.

STEP 1: Get to know your EHS Safety Advisor (SA)

STEP 2: Complete all applicable lab registrations

STEP 3: Complete all required EHS trainings

STEP 4: Participate in your EHS lab inspections with your EHS SA

Each of these steps is outlined in detail below.

STEP 1: Get to know your EHS Safety Advisor

First, please call EHS at 203-785-3550 (5-3550 if calling from a Yale phone) to get in touch with the EHS Safety Advisor (SA) assigned to your lab. A list of SAs is also provided on the EHS web page (http://ehs.yale.edu/safety-advisors) and you can also directly contact them if you wish. An SA has been assigned to every building on campus.

An EHS SA is the:

- First point of contact between the labs and EHS who can help answer any safety-related questions.
- Safety liason assigned to your lab to help you get your lab started from a safety and compliance standpoint and to continue to work with you during your time at Yale
- Lead EHS representative of a team of three SAs that are assigned to your laboratory (your SA has two back-up SAs that may be called upon when your primary SA is unavailable)

We advise that you request a start-up meeting with your assigned SA as soon as feasible. Specifically, your SA will:

- Provide you with all applicable registrations you may need and assist where needed
- Help assess all the required and recommended lab safety trainings for your proposed research activities
- Conduct or schedule any lab orientations you may need, such as an onsite review of hazardous waste collection, storage and disposal
- Schedule a variety of walk-through lab inspections with your or your designated contact for lab safety to reinforce safe lab practices and work with you to achieve regulatory conformity

STEP 2: Complete all applicable lab registrations

The majority of your research will require registration with EHS. In addition, certain types of research will require formal authorization prior to initiation. The following tables outline the various EHS and other applicable required registrations that must be completed before the work is started. The tables are provided by EHS category.

Radiation Safety		
Registration		**Description**
☐	Application for the use of Radioactive Materials	Registration form for Yale Faculty who wish to submit a proposal for review to obtain authorization to perform experiments involving Radioisotopes. Research with Radioactive materials cannot be initiated without authorization from the Radiation Safety Committee. http://ehs.yale.edu/policies-procedures/obtaining-authorization-use-radioactive-materials

☐	Applications for Specific Radioisotopes	http://ehs.yale.edu/forms-tools/applications-specific-radioistopes
☐	Application for the Use of Other Isotope	http://ehs.yale.edu/forms-tools/application-use-other-isotope
☐	Online Ordering of Radioactive Materials	All acquisitions of radioactive materials or sources, whether through purchase or shipment must be approved by the EHS Radiation Safety Office. http://ehs.yale.edu/purchasing
☐	Radiation Monitoring Service Forms and Guidelines	Radiation badges are issued to persons who will be actively using X-ray generating equipment, high energy beta and/or x-ray/gamma emitting radioisotopes. http://ehs.yale.edu/dosimetry
☐	Use or purchase of X-Ray Generating Equipment	All X-Ray Generating Equipment must be registered with the State of CT Department of Energy and Environmental Protection (CT DEEP) prior to its use. EHS is responsible this registration and associated fees. In order for your equipment to be registered, you will need to complete an X-Ray Generating Equipment Use Application. http://ehs.yale.edu/x-rays
☐	Use or purchase of Lasers	All class 3B and 4 lasers that are purchased or acquired and brought on campus must be registered with the laser safety officer. http://ehs.yale.edu/policies-procedures/lasers

Chemical Safety		
Registration		**Description**
☐	Chemicals Requiring EHS Pre-Approval	Some high hazard or highly regulated chemicals require approval by EHS prior to purchase. http://ehs.yale.edu/forms-tools/chemicals-requiring-ehs-pre-approval
☐	Research Protocol Chemical Safety Review	This form is required to be completed for work involving highly hazardous chemicals as identified in the Chemical Hygiene Plan. http://ehs.yale.edu/forms-tools/research-protocol-chemical-safety-review-form
☐	Cyanide Handling Review Form	This form must be completed and reviewed by the SA prior to purchase or work with sodium or potassium cyanide. http://ehs.yale.edu/forms-tools/cyanide-handling-review-form

☐	Registration Applications for Controlled Substances	All controlled substances must be registered and licensed by the State of CT and the federal DEA. http://ehs.yale.edu/policies-procedures/controlled-substances

Biological Safety		
Registration		**Description**
☐	FORM 01 Registration for Research with Biological Materials	Required for all PIs. The initial biosafety registration form serves as a trigger for other registrations. http://ehs.yale.edu/forms-tools/form-01-initial-triennial-registration
☐	Registration of Experiments Involving rDNA or Synthetic Nucleic Acids	Required if conducting non-exempt rDNA research. Non-exempt rDNA research may not be conducted until authorization is provided by the Yale Biological Safety Committee. http://ehs.yale.edu/recombinant-dna http://ehs.yale.edu/forms-tools/registration-experiments-involving-rdna-or-synthetic-nucleic-acid-molecules
☐	Registration of a Human Gene Transfer Clinical Trial	Required for the use of recombinant or synthetic nucleic acids in human subjects. Will require authorization from the Yale Biological Safety Committee and the Yale Human Investigation Committee prior to authorization. http://ehs.yale.edu/human-gene-transfer
☐	Request to Use Infectious Agents	The application for work with human pathogens at Yale University. Will require authorization by Yale EHS and the State of CT Department of Public Health prior to authorization. http://ehs.yale.edu/human-pathogens http://ehs.yale.edu/forms-tools/request-use-infectious-agents
☐	Request to use Risk Group 3 pathogens/Select Agents	In addition to the requirements for human pathogens as noted above, research with Risk Group 2 pathogens will also require authorization from the Yale BSL3 Subcommittee. Work with Select Agents will require authorization by the U.S Government prior to initiation. http://ehs.yale.edu/select-agents-bsl-3-research
☐	Purchase and Installation of Biosafety Cabinets	http://ehs.yale.edu/forms-tools/biosafety-cabinet-request-addremove http://ehs.yale.edu/biological-safety-cabinets

STEP 3: Complete all required EHS trainings

Ensure that you and your staff complete all required lab safety training prior to handling hazardous or regulated materials. In many circumstances, completion of required training is part of the lab and individual authorization for the use of hazardous materials. The bulk of our training courses are now available online and can be accessed from the EHS web page (www.yale.edu/ehs) by clicking on the training icon at the top of the screen. Once in our Training site, please scroll through the alphabetical listing of EHS Training courses.

Radiation Safety		
Training		**Description**
☐	Radiation Safety Orientation Part I and Part II	Mandatory two (2) part training: Basic and Applied, for personnel working with radioactive material or frequenting an area where radioactive materials are stored or used. http://ehs.yale.edu/training/radiation-safety-orientation
☐	Radiation Survey/Spill Training	Hands on radiation safety class concentrating on performing contamination surveys and handling incidents involving radioactive material. http://ehs.yale.edu/training/radiation-surveyspill
☐	Radiation Safety for X-Ray Equipment and X-Ray technologists	http://ehs.yale.edu/x-rays http://ehs.yale.edu/training/radiation-safety-x-ray-equipment http://ehs.yale.edu/training/radiation-safety-x-ray-technologists
☐	Laser Safety Training	http://ehs.yale.edu/policies-procedures/lasers http://ehs.yale.edu/training/laser-safety-training
☐	X-Ray Diffraction Safety	http://ehs.yale.edu/x-ray-diffraction
☐	PET Center Training	http://ehs.yale.edu/training/pet-center-training

Chemical Safety		
Training		**Description**
☐	Lab Chemical Safety	Required for all researchers working in laboratories at Yale for conformity with the OSHA Laboratory Standard. http://ehs.yale.edu/training/chemical-safety-laboratory-0
☐	HazComm 2012	Required for all others with exposure to chemicals in a non-laboratory setting (i.e. healthcare, animal care and use staff, police, office staff) http://ehs.yale.edu/training/hazcom-2012
☐	Hazardous Chemical Waste Management	Required for those individuals who will be handling hazardous chemicals and packaging them for collection by Yale EHS for disposal. http://ehs.yale.edu/training/hazardous-chemical-waste-management
☐	Formaldehyde Safety Training	Required for staff handling Formaldehyde with potential exposures. http://ehs.yale.edu/formaldehyde-program-0 http://ehs.yale.edu/training/formaldehyde-safety-training
☐	Organolithium Compounds Training	Required for all laboratory personnel who may work with organolithium compounds http://ehs.yale.edu/training/organolithium-compounds-training
☐	Universal Waste Training	http://ehs.yale.edu/training/universal-waste-training

Biological Safety		
Training		**Description**
☐	Biosafety Part I and II Orientation	Required for researchers handling biological materials in the laboratory, including rDNA research materials, defective pathogen vectors, Risk Group1 and 2 research materials, toxins, and human pathogens. Satisfies compliance with Yale, State of CT, NIH, and CDC requirements and recommendations. http://ehs.yale.edu/training/biosafetypartI http://ehs.yale.edu/training/biosafetypartII

☐	Bloodborne Pathogens for lab and clinical personnel	Required for those with workplace exposure to human blood, body fluids, tissues, including primary or continuous human cell lines. Also extended to those who utilize equipment potentially contaminated with these materials. This course satisfies the Occupational Safety and Health Administration's requirements for compliance with the OSHA Bloodborne Pathogens Standard. http://ehs.yale.edu/training/bbp-laboratory-and-clinical-personnel
☐	Biosafety Level 3 Training	Required only for those researchers who will work with Risk Group 3 pathogens, or work in Biosafety Level 3 (BSL3) laboratories, or work on protocols utilizing BSL3 work practices. Trainees must be nominated for the course by an existing approved Yale PI conducting BSL3 research and meet have completed all other applicable Biosafety training courses. http://ehs.yale.edu/select-agents-bsl-3-research
☐	PI Orientation to the Yale Biological Safety Manual	Required for all PIs of Yale Laboratories, this training provides an overview of all of the biosafety program regulatory and Yale Biosafety program requirements. http://ehs.yale.edu/training/biosafetypiorientation
☐	Shipping Biological Substances	Online training classes to assist shippers of hazardous biological materials (Category A and B Infectious Substances) and Exempt Biological Specimens document their required US Department of Transportation and International Air Transport Association training prior to shipping in commerce. http://ehs.yale.edu/shipping-import-export-bio-0
☐	TB Exposure Control	An infection control course designed for those with clinical responsibilities with patient contact. It raises awareness of the signs and symptoms of TB and reviews initial response and exposure control procedures for potential or known TB cases. http://ehs.yale.edu/training/tb-exposure-control-training
☐	Biological Safety Cabinets (Safe Use)	The course will describe the different type of biological safety cabinets, review how they are tested and certified, and outline safe working practices to minimize risk of spreading contaminants and maximize worker protection against biohazards. This course is recommended for anyone who must use a biological safety cabinet as part of their research. http://ehs.yale.edu/biosafety-cabinet-safety
☐	Lab Biomedical Waste Training	Yale School of Medicine Lab Biomedical Waste Video http://ehs.yale.edu/training/lab-biomedical-waste-medschool-video Medical School Campus http://ehs.yale.edu/policies-procedures/biomedical-waste-procedures-medschool Science Hill Campus http://ehs.yale.edu/policies-procedures/biomedical-waste-program-science-hill

STEP 4: Participate in start-up lab inspections with the EHS SA

Safety		
Inspection		**Description**
☐	Quarterly Radiation Safety Inspection	Confirms that radioactive materials are handled safely. Verifies that procedures are conducted in conformity with the authorized procedures approved by the Radiation Safety Committee. Documents compliance with Yale and Nuclear Regulatory Commission requirements.
☐	Annual Chemical Safety Inspection	Reviews the safe handling and storage of hazardous chemicals. Checks that appropriate personal protective equipment is used for the level of risk involved. Verifies conformity with the OSHA Laboratory Standard.
☐	Annual Biosafety Inspection	Examines the laboratory facility and work practices used for handling biohazards to ensure compliance with Yale, State of CT, OSHA, CDC and NIH biosafety regulations, standards and guidelines.
☐	Hazardous Waste Satellite Area Accumulation Audit	Reviews waste handling and storage procedures for evaluation with US Environmental Protection Agency and State of CT Department of Environmental Quality regulations.

We hope that this welcome and orientation letter has been helpful in getting your lab off to a positive start. We also appreciate any feedback on the orientation information and encourage any comments you have that will help us improve the form or any aspect of our services. We look forward to working with you as your partner in safety and compliance. We wish you success in your research aims and efforts and look forward to greeting you upon your arrival. If you have any questions, please do not hesitate to contact us at 203-785-3550 and ask to speak with your EHS Safety Advisor.

Responding to Emergencies

Emergency response at EHS is in place to minimize hazards to University students, faculty, staff, the general public and the environment from emergencies. Emergency response personnel are available from the Environmental Health & Safety when a spill or accident occurs.

University personnel should always contact their supervisor, Environmental Health & Safety emergency response personnel and other trained emergency responders in the event of an emergency. Assistance can be obtained by dialing 785-3555 during normal business hours or 911 after hours from any campus phone.

All personnel involved in the management of emergency response incidents at the University shall be familiar with the emergency response plan and how it is implemented. This plan is circulated to appropriate emergency response units both within and outside the University that might be involved with the emergencies described therein.

Who's Your Safety Advisor

The Environmental Health & Safety's "Safety Advisor Program" has a health and safety specialist assigned to a geographical area within the Yale community to assist you in finding solutions to health and safety problems.

Your Safety Advisor will work cooperatively with you to provide information, training, and technical expertise, and in the interpretation of regulatory requirements. The goal of the program and our Safety Advisors is to provide a more personalized service, and to assist you with compliance issues.

Visit the EHS website to find the Safety Advisor assigned to your location or call the EHS main telephone line at 785-3550.

Yale *Environmental Health & Safety*

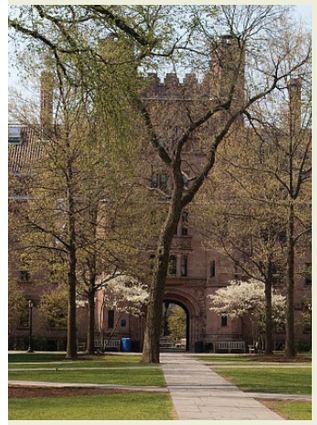
135 College Street, Suite 100
New Haven, CT 06510
TEL: 203-785-3550
FAX: 203-785-7588
www.yale.edu/ehs

EVALUATION – PREVENTION – RESPONSE – HAZARDOUS MATERIALS MANAGEMENT – TRAINING

Yale

Environmental Health & Safety

At a Glance



Message from the Director

Yale University is committed to health, safety and environmental protection in all of its programs and activities. We work hard so that the campus and your work environment are as safe as possible—to protect you from harm, and to prevent accidents and injuries. We have high standards for safety here. We need the same commitment from you.

- Take responsibility for safety. It is up to you to be careful and follow safety rules. Safety training and information of all kinds are available from EHS.
- Ask your supervisor, colleagues and safety advisor about the precautions, risks and the proper procedures for whatever you do.
- Plan for safety. Make sure you have the training, skills and tools to do your work safely. Have a plan for contingencies. It's OK to stop and reconsider your steps if things aren't going smoothly.
- Look out for others. Speak up if you see someone doing something unsafe. Report unsafe conditions, facilities or activities. All members of the Yale community—students, faculty and staff—share responsibility for safety.
- Show others that safety matters to you. Be a model of risk awareness and preparation. Wear appropriate safety gear.

We all want a healthy life, safe places to work, live and enjoy, and a rewarding time at Yale. Let's make it happen.

Peter A. Reinhardt, *EHS Director*

June 2012

Our Mission

Yale Environmental Health and Safety is a resource of highly trained safety professionals who serve the Yale community. We are dedicated to reducing injuries, accidents and environmental impact, and ensuring compliance. We achieve this by providing high quality training, comprehensive workplace evaluation, emergency response, hazardous materials management from acquisition to disposal, and by managing regulatory information.

Our Vision

. . . is a partnership with students, faculty and staff who are aware of risks and are empowered to learn, discover and work in a manner that protects human health and the environment.

Our Values

INTEGRITY

- Exert leadership based on our ethical obligation to protect people and the environment
- Strive to be honest, fair and consistent
- Be prudent stewards of Yale's resources

SERVICE

- Serve as Yale's health and safety advisors
- Provide high quality and easy-to-use services in a timely manner
- Continuously improve our services and processes
- Implement innovative safety solutions

ATTITUDE

- Promote safety as everyone's responsibility
- Possess and encourage a positive "can do" outlook
- Maintain a strong work ethic by keeping our word and taking responsibility for our work and actions
- Little things matter to us

DIVERSITY

- Be open to everyone's ideas and opinions
- Understand the needs and situation of others
- Treat all individuals equitably, professionally and with courtesy, dignity and respect
- Strive to make our policies, procedures and training accessible and understandable

TEAMWORK

- Foster cooperation and collaboration
- Encourage and support the professional growth of all EHS employees

What Does EHS Do?

Environmental Health & Safety is responsible for the control of health hazards related to biological and chemical agents, managing all hazardous and regulated waste activities and in regulating the use of radiation and radioactive materials within the University community. We also provide services for physical safety, construction/renovation reviews, environmental affairs, and many other program areas. This brochure provides an overview of the programs and services EHS provides.

– Air Quality
– Air and Water Discharge Quality
– Asbestos/Lead Paint Abatement
– Biological Agents
– Biological Safety Cabinets
– Building Hazard Information
– Chemical & Laboratory Safety
– Clearances and Decommissions
– Construction Projects
– Controlled Substances
– Dosimetry
– Emergency Response
– Hazardous Waste Disposal
– Hot Labs
– Laboratory Inspections/Surveys
– Lasers
– Minors in Laboratories
– Odor Complaints
– PCB Containing Equipment
– Permits
– Physical Safety
– Radioactive Material
– Remediation Efforts
– Restricted Items
– Site Evaluations
– Underground Storage Tanks
– Waste Management
– Xray Equipment

Training Provided by EHS

As a Yale employee, it is important that you understand that everyone shares responsibility for safety at Yale University. Federal and State regulations require that employees with certain responsibilities receive training which must include information regarding job hazard, possible health effects, and required work practices and procedures.

To begin, each staff and faculty member should complete the University's "Training Requirements Assessment" at: www.yale.edu/training. This online survey is designed to help you identify and complete certain federal, state and University training and form submission requirements that apply to you.

EHS offers a wide variety of required and other job-related safety trainings in classroom sessions as well as online. To view descriptions of the training EHS has to offer, visit our site at: www.yale.edu/ehs/training.htm.

The EHS training room is located at: 135 College Street, lower level room 15. For questions or additional information, please call EHS at 203-785-3211.

Find Us on the Web

EHS Home Page
www.yale.edu/ehs

Facebook
www.facebook/YaleEHS

EHS Telephone Numbers

Main Office	203-785-3550
Fax	203-785-7588
Emergency Line	203-785-3555
After Hours Emergency Line	911

Peter Reinhardt, *Director*	203-737-2123
Robert Klein, *Deputy Director*	203-737-2131
Stephanie Perry, *Lead Administrator*	203-737-2122

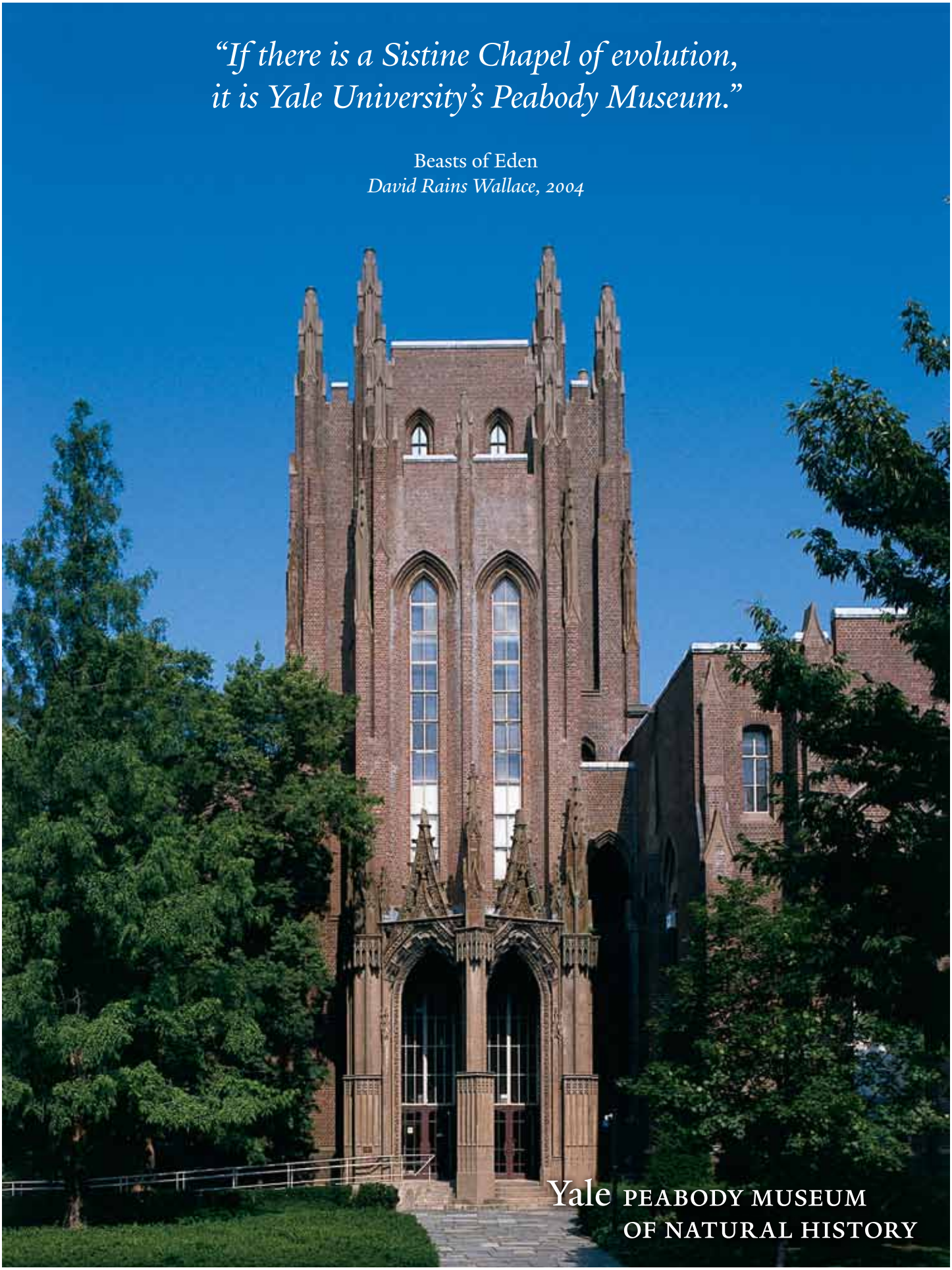
Air/Water Discharge	203-432-2093
Biosafety	203-785-3550
Biosafety Cabinets	203-737-2121
Controlled Substances	203-737-2121
Decommissions/Clearances	203-737-2121
Laboratory Inspections	203-785-3550
Personnel Monitoring Badges	203-737-2114
Power Plant EHS Affairs	203-737-4338
Publications & Website	203-737-2120
Radioisotope Authorizations	203-737-2118
Radioactive Isotope Orders	203-737-2118
Research Materials Shipping	203-785-3550
Restricted Items	203-737-2121
Safety Advisor Program	203-785-3550
Safety Clearances	203-737-2121
Training Information	203-785-3211
Waste Supplies/Pickups	203-432-6545

Yale University

Session D: Using Yale's Collections in Your Research & Teaching

"If there is a Sistine Chapel of evolution, it is Yale University's Peabody Museum."

Beasts of Eden
David Rains Wallace, 2004



Yale PEABODY MUSEUM
OF NATURAL HISTORY

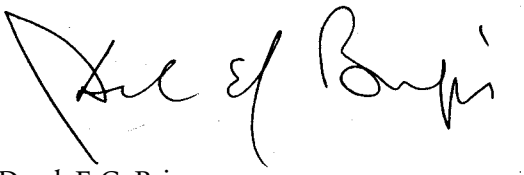
A Letter from the Director

From huge dinosaurs to ancient civilizations, the history of our planet and its peoples is nothing short of remarkable. At the core of this history are endless stories that—together—form our understanding of the world we call home; celebrating those stories is fundamental to the mission of the Peabody Museum.

Currently, two very special temporary exhibitions embrace the diversity and breadth of the Peabody's offerings. On view until January 4, *Echoes of Egypt: Conjuring the Land of the Pharaohs* explores the continual fascination with ancient Egyptian culture. Through the presentation of almost 100 objects—many of which were brought together from institutions across the world—the exhibition explores how a civilization that flourished long ago has, and continues to, influence peoples across the globe. From art and architecture to literature and entertainment, ancient Egypt has echoed around the world for 2,000 years—come and explore this groundbreaking exhibition.

Through September 3, we celebrate the return to New Haven of an extraordinary creature: the 17-year cicada. *The Return of the 17-year Cicadas!* exhibition highlights Yale's involvement with cicada emergences dating back to 1843, a terrarium featuring live cicadas, and a discussion of the biology and life cycle of these curious creatures.

In addition to these wonderful exhibitions, we are pleased to invite your participation in the many events that we offer throughout the year. Celebrate our eleventh-annual *¡Fiesta Latina!* on October 12, or spend *A Night in Egypt* on November 2! Together with our exhibitions, these and our many other programs help tell the stories of our world, and I hope you will visit the Museum often with family and friends.



Derek E.G. Briggs
Director, Peabody Museum of Natural History
G. Evelyn Hutchinson Professor of Geology and Geophysics
Curator of Invertebrate Paleontology

Our Mission

The mission of the Peabody Museum is to serve Yale University by advancing our understanding of earth's history through geological, biological, and anthropological research, and by communicating the results of this research to the widest possible audience through publication, exhibition, and educational programs. Fundamental to this mission is stewardship of the Museum's rich collections, which provide a remarkable record of the history of the earth, its life, and its cultures. Conservation, augmentation and use of these collections become increasingly urgent as modern threats to the diversity of life and culture continue to intensify.

Approved by the Corporation of Yale University, February 25, 1995

The History of the Peabody Museum, Yale University

Yale University's earliest museum collection, begun in the 18th century, was a miscellaneous assortment of "natural and artificial curiosities" from around the world typical of college collections of the time. Systematic collecting of specimens for teaching and research began in 1802 with the appointment of Benjamin Silliman as Professor of Chemistry and Natural History. The outstanding mineral collection Silliman built for Yale, which he used in his pioneering teaching of geology and mineralogy, became an important source of public entertainment and one of the principal attractions for visitors to New Haven.

MANUSCRIPTS & ARCHIVES, YALE UNIVERSITY

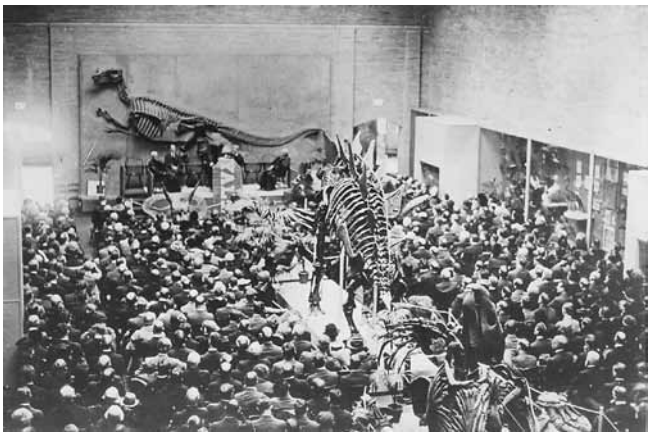
Benjamin Silliman (1779-1864) Professor of Chemistry.

Silliman's activities helped to establish Yale as a major center of scientific education in the first half of the 19th century. Among the undergraduates attracted to the University by its scientific reputation was Othniel Charles Marsh. Marsh's education and his postgraduate studies abroad were funded by his uncle, the wealthy international financier George Peabody. When, toward the end of his life, Peabody began to distribute his vast fortune to, among others, institutions concerned with education, O. C. Marsh persuaded his uncle to include Yale in his philanthropies. In 1866, the Peabody Museum of Natural History at Yale University was founded with a gift of $150,000 for the construction of a museum building and the care and increase of the Museum and its collections.

O.C. Marsh was appointed Professor of Paleontology at Yale in 1866, the first such professorship in the United States, and only the second in the world. In addition to serving as director of the Peabody Museum, Marsh, with George Jarvis Brush (Mineralogy) and Addison Emery Verrill (Zoology), was also one of the Peabody Museum's first three curators. Using his inheritance from his uncle, who died in 1869, Marsh proceeded to amass large collections of vertebrate skeletons, vertebrate and invertebrate fossils, fossil footprints, and archaeological and ethnological artifacts.

The first Peabody Museum building opened to the public in 1876, but its capacity was soon strained by the huge dinosaur bones that Marsh's collectors were sending to the rapidly growing collections. In 1917, this building was demolished to make way for a major dormitory complex at Yale, the Harkness Quadrangle. Construction of a new building was delayed by World War 1. The collections were in nearly inaccessible storage for seven years, until the current Peabody Museum building became ready for occupancy in 1924.

Dedicated in December 1925, the new building's two-story Great Hall was specifically designed to accommodate some of O.C. Marsh's dinosaurs, such as the skeleton of the giant "*Brontosaurus*" (*Apatosaurus*), completed in 1931 after six years of labor. The Museum exhibits were immediately used for public education, especially K-12 school groups, when the Museum's School Services Department was established in 1925, the nation's first such department in a university museum of natural history. In 1947, Rudolph Zallinger finished the *fresco secco* painting that is probably the Museum's best known feature, the 110-foot mural *The Age of Reptiles* on the east wall of the Great Hall. The exhibits were further enhanced in the 1940s and 1950s with the addition of the North American and Southern New England diorama halls featuring the work of world-class diorama artist James Perry Wilson.



Dedication exercises in the Yale Peabody Museum's Great Hall, December 1925. Yale Peabody Museum Archives

The new building, like the old one, quickly filled with growing collections and the people studying them. Bingham Oceanographic Laboratory, completed in 1959, and later the Kline Geology Laboratory (1963) were each connected to the Museum and helped to relieve the need for storage, work, and classroom space.

O.C. Marsh (standing, center) with the students of the Yale College Scientific Expedition of 1872. Yale Peabody Museum Archives

In recognition of the importance of conserving the collections and of enabling scientists and scholars to study them properly, the University constructed the Class of 1954 Environmental Science Center on the site of the former Bingham Lab. Dedicated in 2001, the ESC houses approximately half of the Museum's collections and provides space for collections-based teaching and research. Museum collections and staff are also located in parts of three other buildings. A field station a few miles away on Long Island Sound provides additional research opportunities.

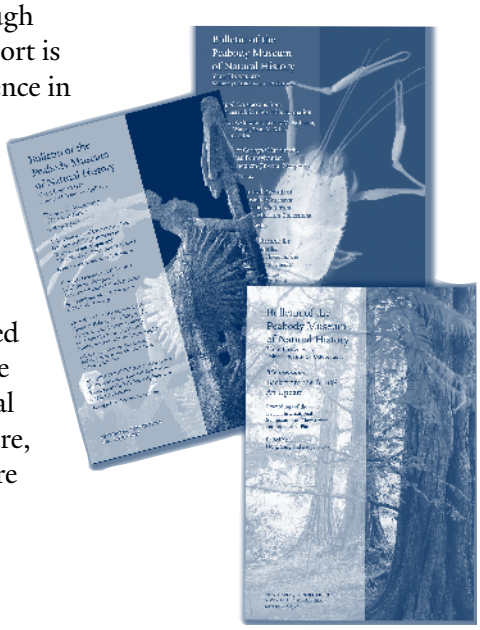
Yale's acquisition of West Campus in 2007 opened the door to further expansion and development. Current efforts are addressing the conservation, education and research needs of the collections that make up the remaining portion of the Yale Peabody Museum's approximately 13 million specimens, as well as laboratory and classroom facilities. The West Campus is also home to the Institute for the Preservation of Cultural Heritage and to facilities in the Conservation Core and Digital Core that serve all of Yale's Collections.

O.C. Marsh with Oglala Sioux Chief Red Cloud, New Haven, 1883. Yale Peabody Museum Archives

The Museum's public programs have grown to serve many thousands of K-12 students and visitors, especially from New Haven's local and regional communities. Cultural festivals, such as the *Martin Luther King Jr. Festival of Environmental Justice* and *¡Fiesta Latina!* are highlights, as well as the traditional Dino Days during February school vacation. The temporary exhibition program encompasses a wide variety of scientific and cultural topics, and the hands-on Discovery Room provides opportunities for visitors to investigate collection objects up close. A recent initiative is the teen after-school program Evolutions, which focuses on science literacy and college preparation by providing high school students with classroom activities, college tours, field trips, and internships in university laboratories.

Peabody Scientific Publications

Yale Peabody Museum scientific publications support the Museum's mission through publication of the work of staff and research associates, and their colleagues. Support is provided by the Theodore and Ruth Wilmanns Lidz Endowment Fund for Excellence in Scholarly Publications, dedicated to the dissemination of scholarly research and study of the world and its cultures. Select free downloadable PDFs and author guidelines are available at peabody.yale.edu/scientific-publications.



BULLETIN OF THE PEABODY MUSEUM OF NATURAL HISTORY

Since 1925, the *Bulletin* has presented original research in the natural science disciplines represented by the collections of the YPM curatorial divisions. Published twice a year, in April and October, and available online at BioOne (bioone.org), the *Bulletin* is indexed by Thomson Reuters (Science Citation Index Expanded, Journal Citation Reports, BIOSIS Previews, *Zoological Record*, Current Contents/Agriculture, Biology & Environmental Sciences) and Elsevier (SciVerse Scopus). Print copies are available for purchase through the YPM Publications Office.

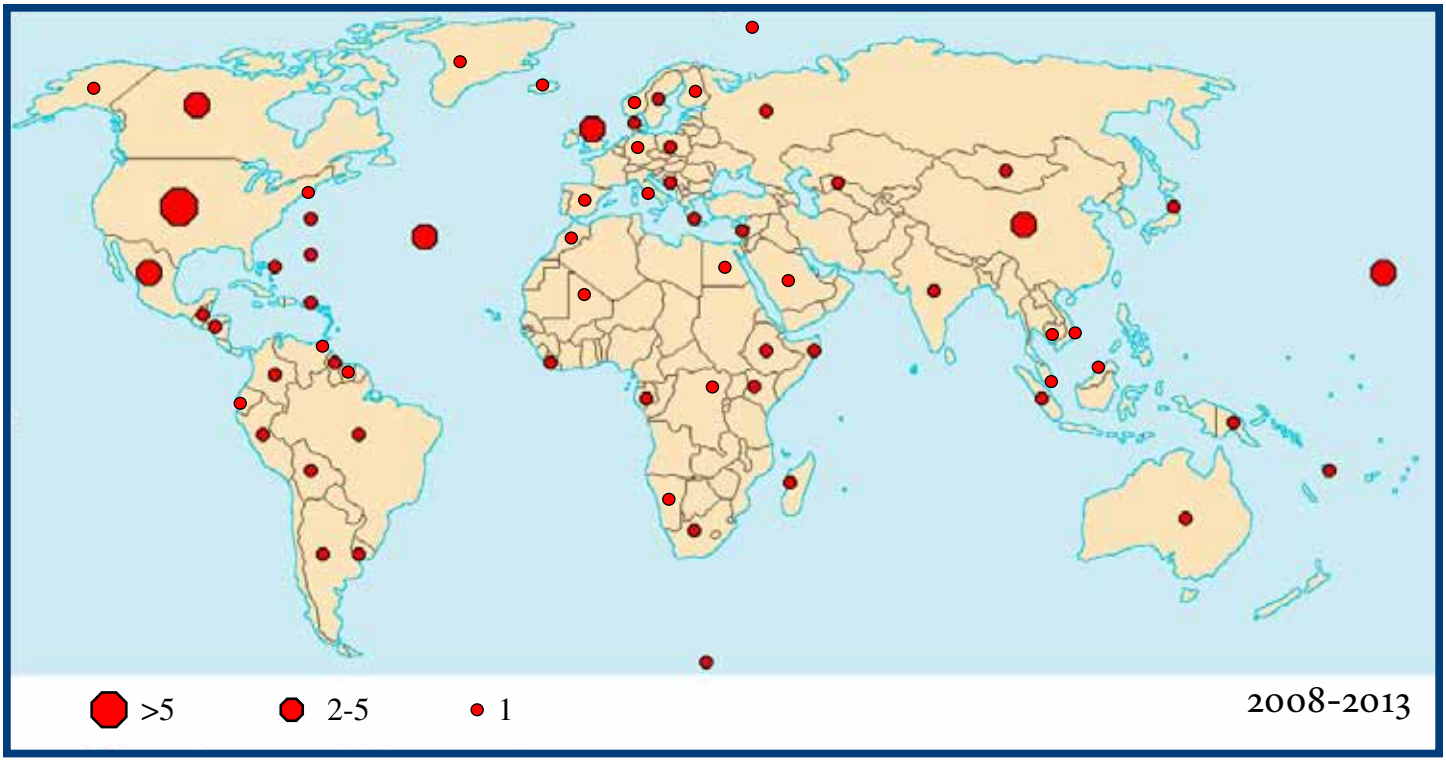
YALE UNIVERSITY PUBLICATIONS IN ANTHROPOLOGY

In publication since 1936, the YUPA monograph series embodies the results of research directly conducted or sponsored by the Yale Department of Anthropology and the YPM Division of Anthropology. Distributed by Yale University Press (yalebooks.com), the series is particularly strong in the archaeology of the Caribbean.

JOURNAL OF MARINE RESEARCH

Established in 1937, the Sears Foundation for Marine Research promotes research and publication in marine sciences. The Foundation's *Journal of Marine Research* (journalofmarineresearch.org) publishes peer-reviewed research articles covering a broad array of topics in physical, biological and chemical oceanography. Its series *Fishes of the Western North Atlantic*, distributed by Yale University Press (yalebooks.com), remains an important reference today.

Sample Sites of Yale Peabody Museum Field Work



Scientific fieldwork and expeditions are integral to advancing the research mission of the Yale Peabody Museum. Nine of the Peabody's 10 curatorial divisions—Anthropology, Botany, Entomology, Invertebrate Paleontology, Invertebrate Zoology, Mineralogy and Meteorites, Paleobotany, Vertebrate Paleontology and Vertebrate Zoology—undertake collecting trips all across the globe. Peabody staff, curators and researchers work on every continent, in 65 countries, and in 49 states in the United States. Hundreds of the world's species are endangered. The carefully planned collection of specimens provides us with knowledge that is critical to our understanding of biodiversity, climate change, evolution and, more generally, the advancement of environmental science. After collection, all Yale Peabody Museum specimens are processed, catalogued and archived in both physical and electronic systems accessible to the international scientific community and the general public.

Peabody Divisional Contacts

Name	Title	Collections Division at the Peabody Museum	Academic Department
Burger Richard L	Curator	Anthropology	Anthropology
Darnell John C	Curator	Anthropology	Near Eastern Languages & Civilizations
Dove Michael R	Curator	Anthropology	Forestry & Environmental Studies
Hill Andrew	Curator	Anthropology	Anthropology
McIntosh Roderick J	Curator	Anthropology	Anthropology
Underhill Anne P	Curator	Anthropology	Anthropology
Coe Michael D	Curator Emeritus	Anthropology	Anthropology
Conklin Harold C	Curator Emeritus	Anthropology	Anthropology
Hole Frank	Curator Emeritus	Anthropology	Anthropology
Pospisil Leopold J	Curator Emeritus	Anthropology	Anthropology
Kelly William W	Faculty Affiliate	Anthropology	Anthropology
Manassa Colleen	Faculty Affiliate	Anthropology	Near Eastern Languages & Civilizations
Wheeler Robert G	Faculty Affiliate Emeritus	Anthropology	Engineering & Applied Physics
Colten Roger H	Senior Collections Manager	Anthropology	
Donoghue Michael J	Curator	Botany & Herbarium	Ecology & Evolutionary Biology
Sweeney Patrick	Collections Manager	Botany & Herbarium	
Munstermann Leonard E	Curator	Entomology	Epidemiology & Public Health
Pupedis Raymond J	Senior Collections Manager	Entomology	
Bertucci Paola	Assistant Curator	Historical Scientific Instruments	History of Science & Medicine
Bailyn Charles D	Faculty Affiliate	Historical Scientific Instruments	Astronomy & Physics
Sandweiss Jack	Faculty Affiliate	Historical Scientific Instruments	Physics
Briggs Derek EG	Director, Curator	Invertebrate Paleontology	Geology & Geophysics
Butts Susan H	Senior Collections Manager	Invertebrate Paleontology	
Buss Leo W	Curator	Invertebrate Zoology	Ecology & Evolutionary Biology
Hartman Willard D	Curator Emeritus	Invertebrate Zoology	Ecology & Evolutionary Biology
Lazo-Wasem Eric	Senior Collections Manager	Invertebrate Zoology	

Peabody Divisional Contacts *continued*

Name	Title	Collections Division at the Peabody Museum	Academic Department
Ague Jay J	Curator	Mineralogy & Meteorites	Geology & Geophysics
Skinner Brian J	Faculty Affiliate	Mineralogy & Meteorites	Geology & Geophysics
Smith Ronald B	Faculty Affiliate	Mineralogy & Meteorites	Geology & Geophysics
Nicolescu Stefan	Collections Manager	Mineralogy & Meteorites	
Crane Peter	Curator	Paleobotany	Forestry & Environmental Studies
Hu Shusheng	Collections Manager	Paleobotany	
Gauthier Jacques A	Curator	Vertebrate Paleontology & Vertebrate Zoology	Geology & Geophysics
Vrba Elisabeth S	Curator	Vertebrate Paleontology & Vertebrate Zoology	Geology & Geophysics
Norris Christopher	Senior Collections Manager	Vertebrate Paleontology	
Prum Richard O	Curator	Vertebrate Zoology	Ecology & Evolutionary Biology
Sargis Eric J	Curator	Vertebrate Zoology & Vertebrate Paleontology	Anthropology
Skelly David K	Curator	Vertebrate Zoology	Forestry & Environmental Studies
Near Thomas J	Associate Curator	Vertebrate Zoology	Ecology & Evolutionary Biology
Wagner Günter	Faculty Affiliate	Vertebrate Zoology	Ecology & Evolutionary Biology
Watkins-Colwell Gregory	Collections Manager	Vertebrate Zoology	
Zyskowski Kristof	Collections Manager	Vertebrate Zoology	

Come Explore the Yale Peabody Museum!

InfoTape (203) 432-5050

Hours Monday to Saturday, 10:00 to 5:00 • Sunday, Noon to 5:00

Closed New Year's Day, Easter, July 4th, Thanksgiving Day, Christmas Eve, Christmas Day

Some halls may be closed before 1:00 on school days

Wheelchair Accessible Ramp and handicapped parking on Sachem St.

Information & Directions (203) 432-5050 • peabody.yale.edu

Admission Adults $9 • Children 3 to 18 and (non-Yale) college students with ID $5 • Seniors 65+ $8

Free for Museum members, volunteers and Yale University ID holders (ID holder only)

Free admission Thursdays, September to June, 2:00 to 5:00

Highlights Tours 12:30 and 1:30 weekends

Group & School Registration (203) 432-3775 weekday mornings • peabody.education@yale.edu

Membership (203) 432-5426 • peabody.membership@yale.edu

Volunteers (203) 432-3731 • peabody.volunteers@yale.edu

The Peabody Museum of Natural History at Yale University is located in the Science Hill section of the Yale campus, at 170 Whitney Avenue (on the corner of Whitney Avenue and Sachem Street) in New Haven, Connecticut.

Our mailing address is
Peabody Museum of Natural History
Yale University
P.O. Box 208118
New Haven, CT 06520-8118 USA

Courier
Yale Peabody Museum of Natural History
170 Whitney Avenue
New Haven, CT 06511

Yale PEABODY MUSEUM
OF NATURAL HISTORY

170 Whitney Avenue, New Haven, Connecticut

peabody.yale.edu

Yale University

Session E: Using Yale's Classes*v2 System

Introducing Classes *v2

What is it?

Yale's online environment for teaching, learning, and sharing

Manage your courses, collaborate, and communicate

Powerful and customizable

https://classesv2.yale.edu

More Tools

New tools:
Messages
Course Reserves

Tools not on the standard list:
Media Gallery
Statistics
Gradebook

Additional help and information
http://help.classesv2.yale.edu/

Course Site Creation

Classes*v2 gets its course information from the registrar's system

If the course is listed on the OCI site, it will be on Classes*v2
http://students.yale.edu/oci/

Using Tools

Customize your site and choose the tools that are most useful for your class

Getting started tips & instructions
http://help.classesv2.yale.edu/instructors-and-teaching-fall.html

Students

How students find their courses on Classes*v2

What happens during and after shopping period
http://help.classesv2.yale.edu/shopping-period

See pictures of your students with the photo roster tool
http://help.classesv2.yale.edu/roster-tool

Syllabi

Posting your syllabus on Classes*v2 automatically displays it on OCI, making it accessible to students who are shopping for courses

Uploading your syllabus
http://help.classesv2.yale.edu/syllabus-tool

Contact us at classes2@yale.edu

photo credit Nasa / Goddard Space Flight Center / Reto Stöckli

What is it?

Yale's online environment for teaching, learning, and sharing

Manage your courses, collaborate, and communicate

Powerful and customizable

https://classesv2.yale.edu

Course Site Creation

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How students find their courses on Classes*v2

What happens during and after shopping period
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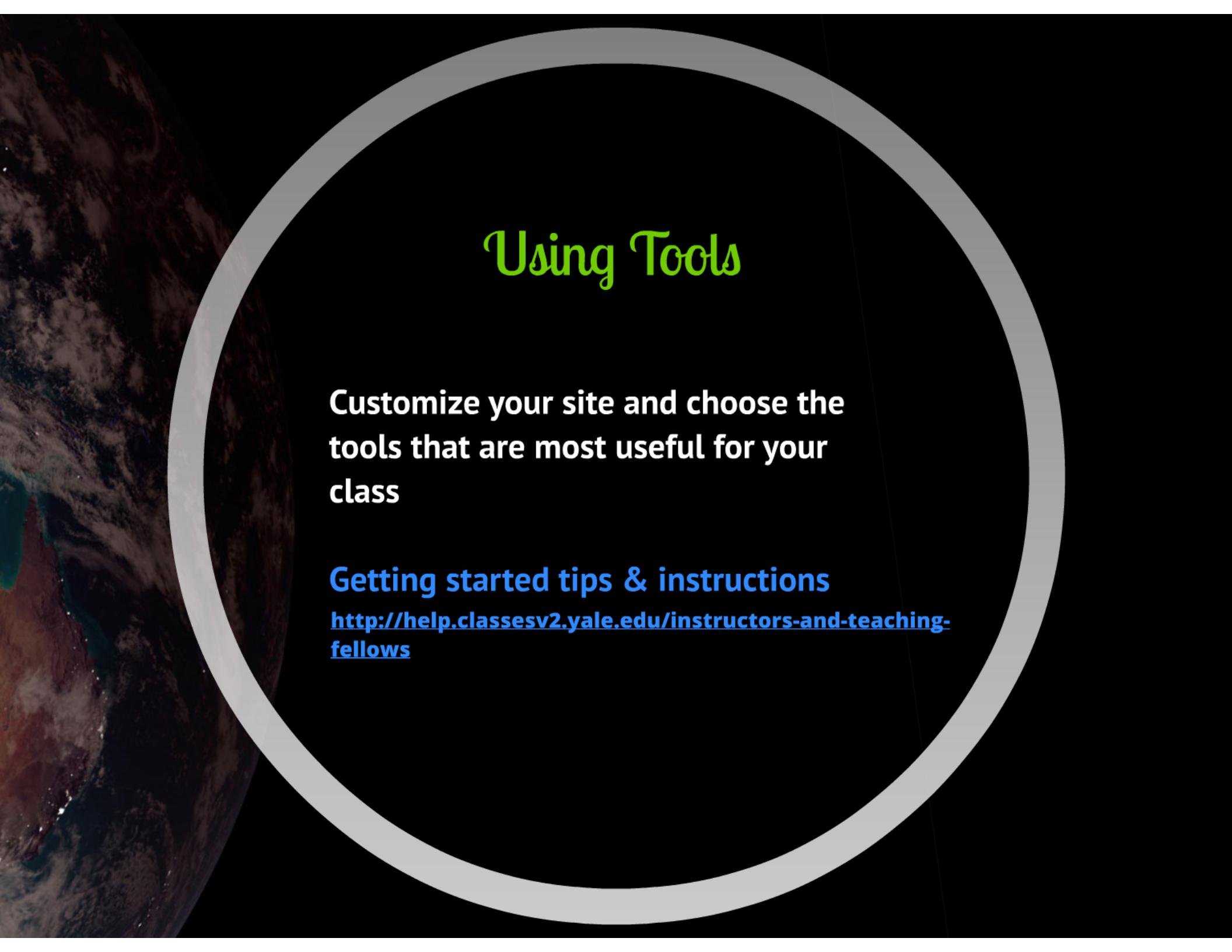
See pictures of your students with the photo roster tool
http://help.classesv2.yale.edu/view-roster

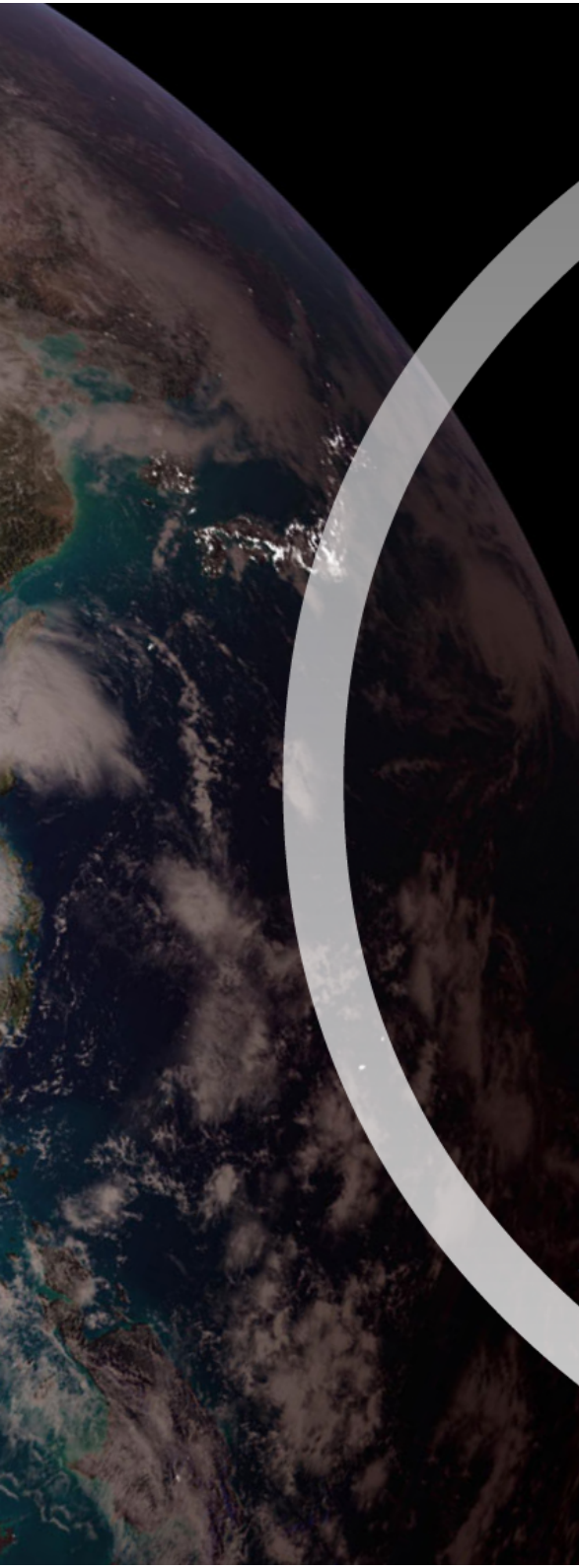
Syllabi

Posting your syllabus on Classes*v2 automatically displays it on OCI, making it accessible to students who are shopping for courses

Uploading your syllabus

http://help.classesv2.yale.edu/uploading-a-syllabus


Using Tools
Customize your site and choose the tools that are most useful for your class
Getting started tips & instructions
http://help.classesv2.yale.edu/instructors-and-teaching-fellows



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Course Reserves

Tools not on the standard list:

Media Gallery

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Gradebook

Additional help and information

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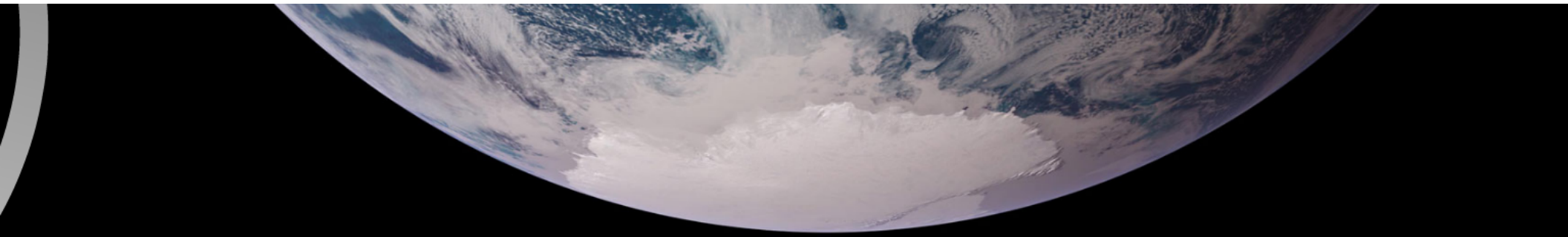
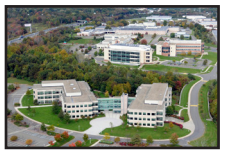


Contact us at classes2@yale.edu

Yale University

Digital Imaging Lab

Digital Imaging For Cultural And Natural Heritage Collections At Yale University



The Yale Digital Collections Center Imaging Lab on West Campus is the first step in a long-term vision to create a purpose-built, comprehensive digitization and scientific imaging capacity for the University's cultural and natural heritage collections.

Yale

The benefits to Yale University are manifold. Shared production activities encourage collaboration and resource sharing by staff working in museums, libraries and archives; interaction of this staff with the faculty and students in academic programs strengthens the use of collections in teaching.

Digitization supports the documentation and preservation of collections. Digital technologies enable a deeper scientific analysis and understanding of physical collections and, as digitized collections, these assets will be more accessible for teaching and research for Yale faculty and students.

Finally, with the Yale University open access policy, digital collections in the public domain can be used to promote educational and publication purposes world-wide.

Yale Digital Collections Center

YDC2 provides digital solutions for the Collections Study Center on West Campus.

- Facilitates new inquiry through digital cultural heritage and natural science collections
- Advances conservation practice through data driven methods
- Builds capacity to capture, synthesize and analyze collections and conservation data
- Manages digital content and provides online access over time

Create

The Imaging Lab is a shared digital and scientific imaging facility on West Campus (formerly known as Digital Core) to extend capacity in digital photography and introduce innovative methods of scientific imaging of collections for the museums, computing and the arts, and IPCH.

Manage

The Content Platform makes digital content available online and provides a managed environment for storing, retrieving, preserving and sharing digital media and data.

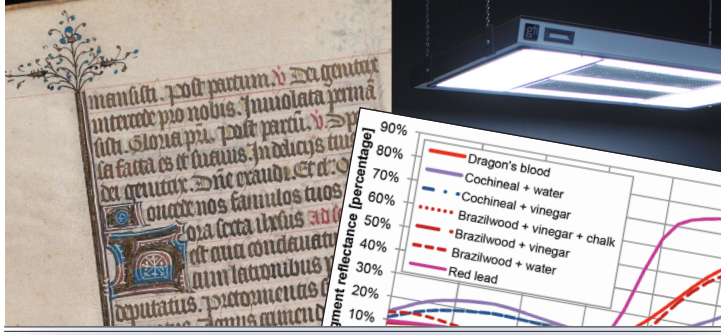
Use

Research support activities include the development of tools and methods for exploring and using digital cultural heritage in new and innovative ways.

Yale Digital Collections Center

http://ydc2.yale.edu
email: ydc2.info@yale.edu
Call: 203.764.9982

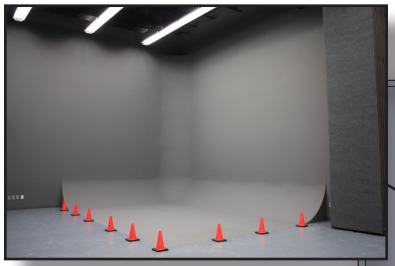
Yale University West Campus
P.O. Box 27384
West Haven, CT 06516



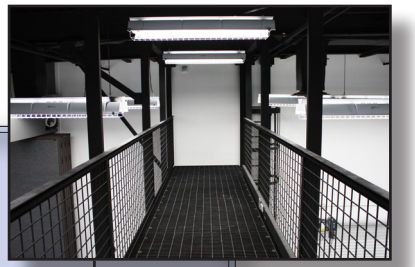
Yale Digital Collections Center

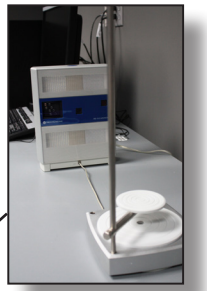
Digital Imaging Lab

Studio 1
Infinity Wall
The infinity wall, provides a background incorporating curved surfaces to create a back drop for a photographic image that has no perceptible beginning or end.



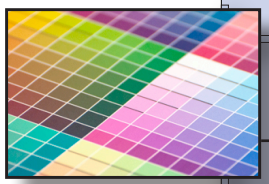
Studio 2
Catwalk and Easel
The catwalk allows photographers to shoot objects from above. The easel was designed by Yale photographers and custom-built to accommodate a wide range of sizes up to 19′ and up to 300lbs (135kg).



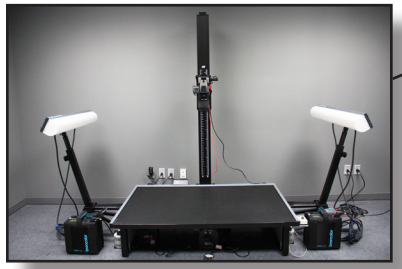


Project Room 5
3D/Scientific Imaging
Both the NextEngine 2020i and the ShapeGrabber PRM330 are devices that are capable of generating three-dimensional (3D) digital scans as their output and rendering of precise numerical representations of the surface topography of objects.

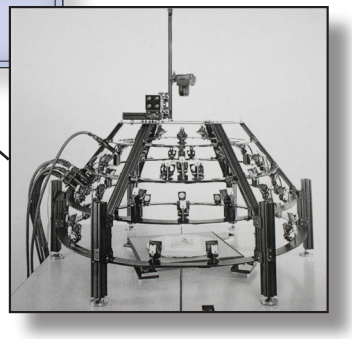
Project Room 4
Large Object Color Proofing
Specialized viewing lights have been installed throughout the Imaging Lab to ensure consistent and correct color when assessing original artwork and material against its digital image.



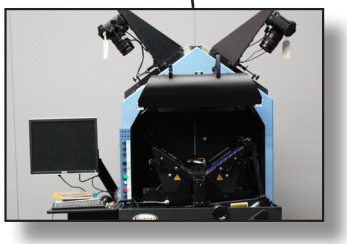
Project Room 2
2D Photography
High quality, colorimetrically accurate images.



Entrance



Project Room 3
Camera and Vacuum Copy Stand
The copy-stand system consists of Broncolor strobe lights, the Hasselblad H4D-200MS camera, the Tarsia Technical Industries frame and column with a vacuum platform to gently flatten curled works.



Studio 3
Robotic Page Scanners
The APT BookScan 2400RA robotic book scanners developed by Kirtas Technologies are used to digitize books, ledgers, and other bound documents.

Project Room 1
RTI/Scientific Imaging
Reflectance Transformation Imaging (RTI) is a computational photographic method that captures a subject's surface shape and color and enables the interactive re-lighting of the subject from any direction.

Yale University

The TEAL Classroom

TEAL Classroom

The TEAL (Technology Enabled Active Learning) classroom is located at 17 Hillhouse, Room 101.

The classroom can accommodate 126 students and is specially equipped to support active and group learning. The room's 14 tables each seat nine students and include video cables which can be used to project from students' computers. The room includes five projection screens, 10 flat screen displays (corresponding to each of the student tables), and ubiquitous whiteboard space including eight whiteboards with dedicated video cameras. There are carts of laptops for students to use during class. An instructor station in the middle of the room controls which sources are displayed on the screens.

These resources allows instructors teaching large sections to deliver lectures and coordinate practical work and group discussion all in the same class session.

For information on booking the room and help with the technology in the room, contact Aimee Kanzler on (203) 432-6636 or at aimee.kanzler@yale.edu.

Check the room's schedule at http://schedule.yale.edu/TEAL.

For more information on the pedagogical aspects of TEAL, visit http://teal.commons.yale.edu/pedagogy.

Yale University

Yale Women Faculty Forum

Wff Yale Women Faculty Forum

Welcome, new faculty! The WFF was established in 2001 during Yale's tercentennial year. It is an organization of women faculty, staff, and students who work together to

i) foster gender equity throughout the University through policy initiatives and research;

ii) promote scholarship by women and on women and gender across all schools of the University; and

iii) promote mentoring, collaboration, and networking. Below is a sample of some of our activities.

Please visit our website wff.yale.edu for more details and to sign up for our weekly newsletter. Also, please join us for our **Fall Reception at the Beinecke Rare Book and Manuscript Library on September 24 from 4:30-6:30.**

Recent Events and Programs

- Public Voices Thought Leadership Fellowship: Twenty faculty selected each year participate in convenings held by top journalists in the OpEd Project to enhance their ability to be thought leaders on important issues of our time.
- Interdisciplinary Lectures Series: "Knowing". Yale faculty present an open lecture
- WFF faculty lunch series at Saybrook College
- Workshop: Act like a Leader, led by Shana Ross
- Partnership with Yale Alumni: Evening of presentations and discussion with Yale Club of New York, participate Yale Women Conference in Washington, DC
- WFF-Gruber Conference: "Contested Responses to Gender Inequalities"
- Outside Speaker Abigail Steward: "Addressing Unconscious Bias: Steps toward an inclusive academic climate
- Activities with Women in Science at Yale (WISAY)
- WFF pilot mentorship program
- Panel Discussion on Gender and Diversity at Yale

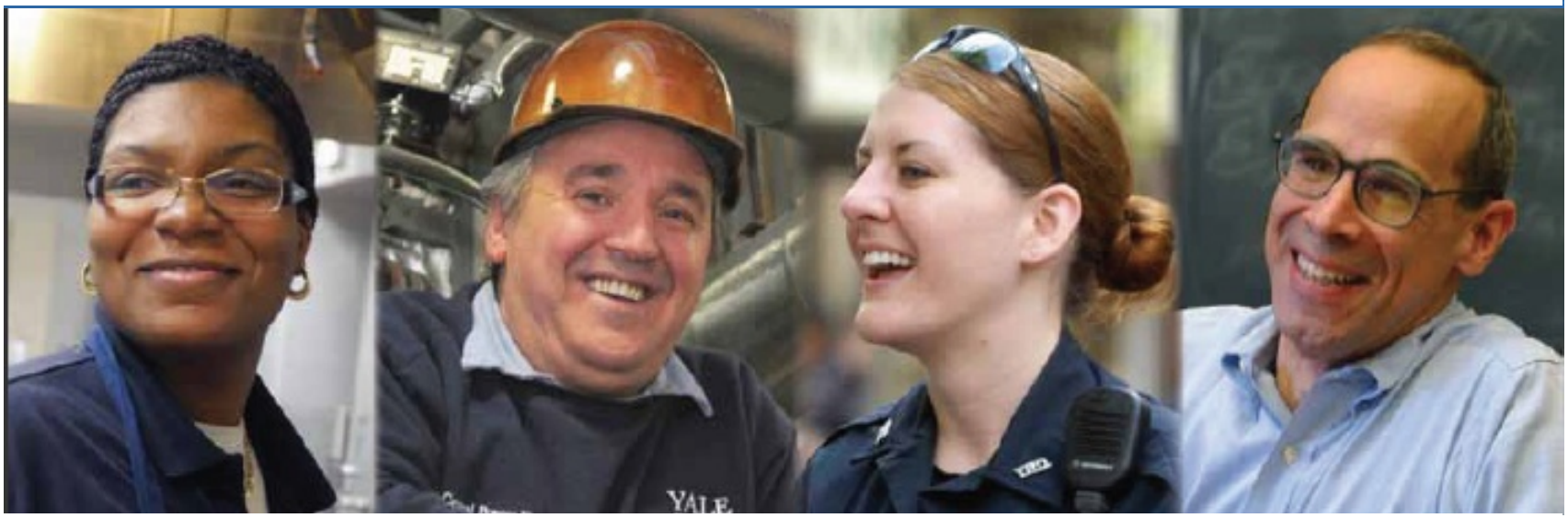
Special Projects

- The View: Every 5 years report on status of faculty at Yale
- Developed "Women at Yale: A Walking Tour"
- Portrait Project: Compiled research on the first 7 women to earn a Ph.D. at Yale. Commissioning a portrait of the women and their scholarship
- Symposium Celebrating 40 years of coeducation at Yale University

YALE UNIVERSITY

Benefits, Wellness and Thriving in New Haven

My Benefits



Yale

My Benefits

Health & Other Benefits
for
Yale Faculty

Yale

My Benefits

IMPORTANT INFORMATION

- **Benefits Eligibility Requirements**
  - **Faculty member with at least 50% appointment.**
- **Eligible Dependents**
  - **Legal spouse**
  - **Children until end of month in which they reach age 26 for *medical and vision* coverage**
  - **Children until end of month in which they reach age 19 for *dental* coverage, or until the end of the month in which they reach age 25, if full time student**
  - **Disabled dependent children, regardless of age**
- **Verification of Dependent Eligibility**
  - **You will be asked to provide verification of your dependent's eligibility, such as a marriage certificate for a spouse or a birth certificate for a child. Coverage will be terminated for unverified dependents.**

Yale

My Benefits

IMPORTANT INFORMATION

- **Benefits are effective as of the 1st of the month following your date of hire, unless hired on the 1st, then benefits are effective on date of hire**
- **Must enroll within 30 days of Date of Hire**
- **Change Your Benefits During the Year only**
  - **Within 30 days of Qualifying Life Event, i.e. Marriage, Birth of a child, loss of other coverage, etc.**
  - **Within 30 days of a Change in Job Classification**
- **During Annual Enrollment**

Yale

My Benefits

IMPORTANT INFORMATION

- **Insurance ID Cards**
  - **Mailed from vendors to your home address**
- **Insurance Premium Payments**
  - **Pre-tax Payroll Reduction for Medical/Dental/Vision and first $50,000 of contributory life insurance**
- **Payroll**
  - **Monthly – the last day of each month**
  - **Make address updates in *My Pay and Info***

Yale

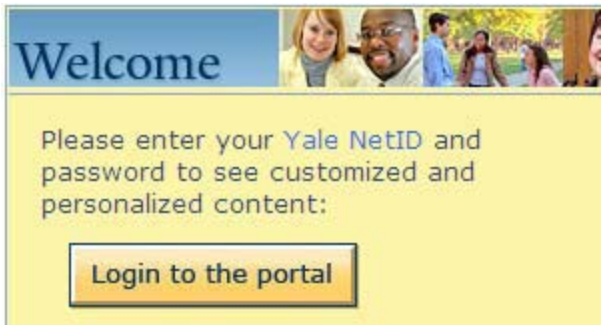
My Benefits

IMPORTANT INFORMATION

#1

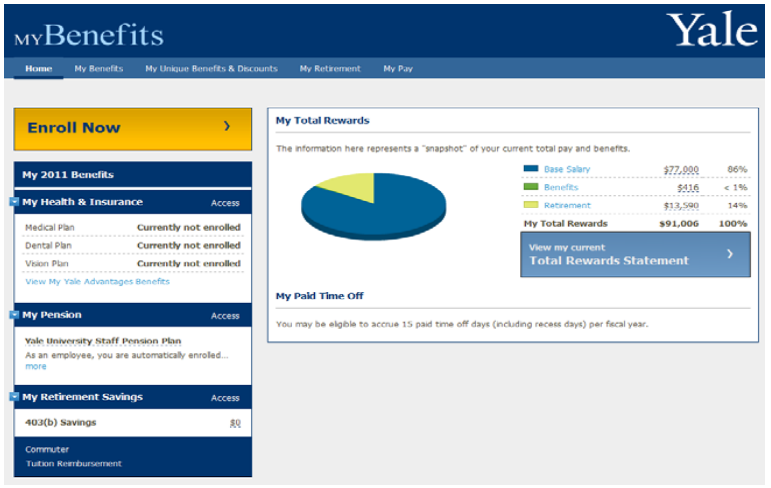
Enroll online through www.yale.edu/portal

#2



#3

#4



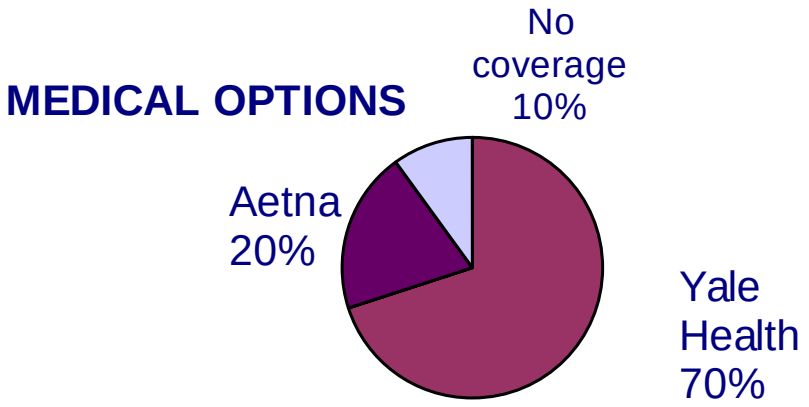
My Benefits

Yale Health
Unified Model of Care

- **Staffed with Yale Faculty and Physicians**
- **Patient Centered, Primary Care**
- **Vision Exams**
- **No Co-Pays for Office Visits**
- **Exclusive arrangement with Yale New Haven Hospital**
- **Round-the-clock Urgent Care** (23-bed Inpatient Care Facility)
- **On-site Diagnostic & Support services** (Lab, Radiology, Pharmacy & Physical Therapy)
- **On-site Specialty Care** (orthopedics, cardiology, oncology, ENT, dermatology)
- **Mental Health & Counseling**
- **JCAHO Accredited**

Aetna Plans

- **National network**
- **Open Access Plan**



Enroll within 30 days of Date of Hire or Qualifying Life Event

Yale

My Benefits

Delta Dental Plan

- **Plan design based on classification of employment**
  - **Delta Dental offers two networks – Delta Dental Premier and Delta Dental PPO**
  - **PPO Dentists – Smaller network, deeper discounts**
  - **Premier Dentists - Larger network of dentists, modest discounts**
- **Automatic claims processing by In-network providers**
- **24 hour access to account information: www.deltadentalnj.com**

Enroll within 30 days of Date of Hire or Qualifying Life Event

Yale

My Benefits

EyeMed Vision Plans

EyeMed Enhanced

- Vision Exams and Contact Lens Fitting
- Frames every 12 months
- Lenses each year

EyeMed Basic

- Frames every 24 months
- Lenses each year

- Both Plans provides a vision hardware benefit (frames, lenses, contact lenses) with co pays, allowances towards frames and lenses, and discounts
- Vision exams are also covered under the medical program (not contact lens fitting)
- 100% Contributory

Enroll within 30 days of Date of Hire or Qualifying Life Event

Yale

My Benefits

Flexible Spending Accounts

Health Care – up to $2,500 annually

Dependent Care – up to $5,000 per household annually

- **Reduce your taxable income (federal, state & social security)**
- **Receive automatic reimbursements of medical, dental and vision out-of-pocket expenses through automatic transfer of claims from Medical and Dental insurance carriers, or**
- **Send claims with supporting documentation to YSA via toll-free fax**
- **Reimbursement options - direct deposit or check mailed to your home**
- **Incur expenses by December 31 (or by "grace period" of March 15 of the following year)**
- **Submit claims to YSA by April 30 to avoid forfeiture**
- **HSA participants are limited to reimbursement of vision and dental out-of-pocket expenses**
- **Minimum Annual Election - $100**

Yale

Enroll within 30 days of employment or qualifying life event

My Benefits

Life Insurance

- **Non-Contributory Policy**
  - Basic Life Insurance
  - AD&D
  - University paid
  - Automatic Enrollment
- **Supplemental Policy**
  - $50,000 coverage or up to 5 x base annual salary
  - Up to 2 x base annual salary guaranteed coverage if elected within first 60 days of employment
  - Election can be made at any time with proof of evidence of insurability
  - Rate schedule for premiums based on age
- **Make Beneficiary Designations for Basic Life Insurance and Supplemental Life Insurance, if enrolled**

Yale

My Benefits

Long Term Disability Plans (LTD)

- **Long Term Disability**
  - **Automatic Enrollment**
  - **100% University Paid**
  - **Benefit becomes payable after 180 days of approved disability**
  - **Monthly Benefit: 60% of base pay up to max of $7,500 (taxed at time of benefit payment)**
  - **Integrated with SSDI and Worker's Compensation**

- **Supplemental LTD**
  - **Available to Faculty with base annual earnings greater than $150,000**
  - **Enroll without evidence of insurability within 60 days of date of hire**

Yale

My Benefits

Extraordinary Yale Benefits

Scholarship for Sons & Daughters

- For Faculty and Staff Employees

Eligibility criteria:

- Faculty or staff member must complete 6 years of full-time continuous service, 12 months per year (35 hours/wk or 100% appointment)

Child must be:

- Must be under age 25
- Must be a full-time student
- Must be matriculated in a 4 year or 2 year degree granting program

Benefit for Academic Year 2012/2013

- ½ of tuition to a maximum of $15,200 / year ($7,600 / semester)

Yale

My Benefits

Extraordinary Yale Benefits

Adoption Reimbursement Program

Commuter Benefits Program

- Set aside pre-tax dollars to pay for eligible transit and off-campus parking expenses.
- Transit Commuting up to $245 per month: train, bus and van pool
- Off Campus Parking up to $245 per month

MEDEX Travel Assistance Program –

- Emergency medical, security and travel assistance services – when over 100 miles from home
- Visit www.yale.edu/finance/controller/riskman/programs/medex

HomeBuyer Program

Yale

My Benefits

Extraordinary Yale Benefits

Employee Assistance Program

Yale Advantages

- Employee Discounts
- Legal Services

Cultural & Recreational Benefits

- Arts & Culture
- University Libraries
- Sports & Recreation

Yale

My Benefits

Employee Service Center - *Benefits and Payroll Questions/Assistance*

221 Whitney Ave	432-5552	8:30 a.m. to 5:00 p.m.
employee.services@yale.edu		

Parking & Transit - *Yale Parking and Shuttle Services*

Central Campus	432-9790	8:00 a.m. to 3:45 p.m.
School of Medicine	785-6456	8:00 a.m. to 3:15 p.m.

Employee ID Centers - *Yale Photo ID cards*

Central Campus	432-0165	8:30 a.m. to 4:30 p.m.
School of Medicine	785-4286	(call for hours)

Meet with ESC representatives to complete your I-9 Forms

Yale

My Benefits

Yale

My Benefits

Yale University Retirement Account Plan

Helping you save for the Future

Yale

YURAP
Yale University Retirement Account Plan

- **University Core Contribution**
  - 5% on fiscal year salary up to $113,700
  - 7.5% on fiscal year salary above $113,700
- **University Match**
  - Dollar for dollar match on your contributions up to 5% of salary
- **Employee Contribution**
  - Employee can contribute from 1 to 75% of pay or IRS maximum of $17,500 or $23,000 (age 50)

Yale

YURAP
Yale University Retirement Account Plan

- Automatic enrollment with first paycheck
- 5% Employee contribution
- 5% University Core contribution
- 5% University Match contribution
- Contributions invested in Lifecycle fund at TIAA-CREF (unless you choose Vanguard)
- Access My Benefits and TIAA-CREF to make contribution and investment changes

Yale

YURAP Additional Features

- Choice of Vendors: TIAA-CREF or Vanguard
- 100% immediate vesting in all contributions and earnings
- Use both vendors. Yale Core can go to one vendor, employee contributions and Yale Match can go to alternate vendor
- Age 59½ In-service distributions
- Loans available through TIAA-CREF
  - 3 general purpose
- Automatic savings escalation up to 10% (July)

Yale

2013
IRS Pre-tax Contribution Annual Limits

- **Maximum Employee Contribution**
  - **$17, 500 – Age 49 and under**
  - **$23,000 - Age 50 and above (effective first of year in which you attain age 50)**

Please complete the Previous Employer Retirement Savings Contributions form found on the My Benefits site.

Yale

TIAA-CREF and Vanguard Plan Disclosure Information

Get detailed information about investment options, rates of return and expenses associated with the funds offered through our 403(b) plans.

- **Go to the Yale Benefits site at *Yale.edu/hronline/benefits/benforms***
- **Click on *Plan Documents & Notices***
- **Scroll to the bottom of the page to *Summary Annual Reports & Required Disclosures***
- **Click on *2013 YURAP Investment Options Comparative Chart* and *2013 YURAP Summary of Plan Services and Costs***

Yale

457(b) Deferred Compensation Plan

- **Opportunity to defer up to $17,500 in TIAA-CREF or Vanguard**
- **To be eligible for this plan you must:**
  - **Be contributing the IRS maximum allowable amount based on your age to your Yale 403(b) plan ($17,500 if age 49 or under, $23,000 if age 50 or over);**

    AND
  - **Hold the position of tenured Professor or;**
  - **Hold the position of Professor on continuing appointment in the School of Medicine or;**
  - **Be an employee whose base salary equals at least 1.5 times the Social Security Wage Base (2013 SSWB is $113,700 – salary must be $170,550).**

Yale