

THE GRADUATE PROGRAM IN PHARMACEUTICS & PHARMACEUTICAL CHEMISTRY

The Department of Pharmaceutics & Pharmaceutical Chemistry offers a Ph.D. degree program through the Graduate School of the University of Utah. The program seeks to prepare graduate students to function independently, competently and technically in a variety of settings including academic, research, administrative, business management, legal, regulatory and investment career tracks. This goal is accomplished through formal didactic courses, seminars and journal clubs, laboratory research rotations, and dissertation research. Every attempt is made by the faculty to help the student complete the program in a timely fashion. Typically, students graduate within 5 years of entering the program, although the nature of some projects and approaches requires a longer time commitment for full completion of the dissertation work.

Chair's Philosophy: The pursuit of a Ph.D. degree in pharmaceutics and pharmaceutical chemistry is an intensive interdisciplinary professional training experience. Our Department faculty and staff make every effort to provide an enriching and rigorous experience for the student. The doctoral student is expected to be productive, professional, focused and efficient. This student-advisor relationship is augmented by fulfilling the formal didactic training components, the research requirements, and by the regular, critical review and input of the student's doctoral supervisory committee. As the department can only improve through collective work and dedicated group efforts involving students and faculty, consistent student participation in the wide variety of department activities is encouraged. Student leadership, initiative and contributions to Department progress and growth can take numerous forms. In addition to personal research productivity, extra student-based efforts in teaching/curriculum improvement, inter-student networking and morale building exercises, research support and grant writing, interfacing with other graduate student groups, faculty committees and College leaders, and outreach service to the off-campus lay-person and on-campus undergraduate communities are some examples encouraged and facilitated by the Chair. The Department's Fox and College's Wolf prizes as well as the Skaggs Fellowships recognize student leadership, impact and creative contributions.

Department Mission Statement: The Department of Pharmaceutics and Pharmaceutical Chemistry seeks to create highly trained, versatile experts in the diverse sets of scientific and engineering disciplines that together represent the modern field of pharmaceutics. These experts will serve to lead the world's industries and academic institutions to forward the field, foster innovation and progress, and endeavor to improve human therapies to benefit patient quality of life. The Department strives to be internationally recognized as a top-tier education and research program in pharmaceutics through innovative teaching and training, and creative research approaches that provide effective solutions to challenging clinical therapeutic problems. The Department's faculty is centric to achieving these academic performance goals and in fully supporting the mission of the College of Pharmacy and the broader University's academic mission and function as mandated by the State of Utah. Excellence can only be achieved through consistent participation of outstanding students and faculty. The Department seeks to attract the best and brightest students and faculty by creating a welcoming environment to foster success and creativity, and encourage enduring leadership using skills crucial for current global pharmaceutical employment. To capture the unique values and richness that arise from differences of culture and circumstance, as well as contrasting worldviews, we are committed to consistent and dedicated efforts to attract and retain diverse faculty and student populations.

I. GRADUATE STUDENT FINANCIAL SUPPORT AND TUITION

A. Lab Rotation and Stipend

Admission to the Ph.D. program generally includes the opportunity to do two lab rotations during the first semester supported by the Department. By the end of the first semester students need to select a lab based on availability of funding. For academic year 2020-2021 the annual stipend will be \$29,130. Once students finish their rotation and select a lab the stipend level will be based on what faculty can offer. 2020-2021 stipends in the department range from \$28,000 to \$29,130. Note: this stipend is not guaranteed but linked to the availability of research funding from various sources (grants and contracts). A subsidy may be provided for individual health insurance at the research advisor's discretion. With the exception of the

first semester rotation opportunity, stipend support for the period in which the student is conducting dissertation research is the responsibility of the student's faculty mentor and is normally derived from research grants. Departmental funds are not typically available for stipend support, though the Department does attempt to mediate extenuating circumstances and unusual hardships as resources might allow. Hence, the award of a research stipend is considered a privileged position for each student, one to be respected, and should be considered the primary means of support for the primary focus of the student in the program: expedient and efficient pursuit of the graduate degree.

B. Fellowships

When available, the Department supplies special Fellowship support to select students of exceptional qualifications as dictated by resources supplied by extra-university gifts and established endowments. Faculty fellowship committees select students for annual awards, and students are also encouraged to seek out and apply continuously for national and international fellowships to supplement or replace their stipend support. Stipend and fellowship support levels are determined by the faculty advisor although it is recognized that fellowship support is a distinction, and therefore, all fellowship support should remain the property of the student receiving this honorary award, with stipend support adjusted per advisor discretion. Additionally, students are encouraged to continually seek and submit their own fellowship applications from numerous university, national and international agencies that sponsor these awards.

C. Outside Employment

The Department considers award of a research stipend for graduate support to be a full-time traineeship with both the privilege of support and expectation of long irregular hours required for successful degree completion. Responsibilities of such conditions of graduate study preclude pursuit of other gainful employment without interference with doctoral program progress. Therefore, students are strongly discouraged from engaging in employment outside the Department. Such arrangements must be approved in writing in advance of the situation from both the faculty advisor and supervisory committee. If a student is employed outside the Department, the student's supervisory committee and department faculty will monitor whether such employment interferes with the expectations of the program (i.e. the student's progress in course and research work, research or other program requirements). If the supervisory committee or department faculty determines that outside employment is unduly interfering with the student's doctoral progress, the student may be asked to reduce their outside employment commitments or to leave the program.

Internships may be allowed in cases where the internship furthers the student's academic advancement. Internships should be for a defined period agreed upon by both student and supervisor. Complications with internships should be discussed with the student's supervisory committee.

D. Academic Performance, Academic Standards and Standing

All graduate students are required to maintain good academic standing as defined by the Graduate School (<http://gradschool.utah.edu/graduate-catalog/grading-and-credit-policies/>) in addition to other academic standards specified by the Department. Many privileges associated with graduate standing require this minimal academic performance. Students who fall below minimum academic performance requirements are placed immediately on academic probation for one semester. If these students fail to correct their record after one semester with subsequent improvements in academic performance so to maintain minimal standards as defined by the Graduate School, then they will lose benefits, including fellowships, tuition support, and stipend. This may require that they leave the program, either voluntarily or involuntarily.

D.1 Grades. As per the Graduate Student Handbook for the Graduate School at the University of Utah, "Candidates for graduate degrees are required to maintain a 3.0 or higher GPA in course work counted toward the degree (i.e. courses on the program of study). A grade below C- is not accepted for credit toward a graduate degree...". Furthermore, as stated in <https://regulations.utah.edu/academics/6-100.php>:

"Under Rules approved by the Academic Senate, students may elect a limited number of courses in which they will receive the grade "CR" in place of grades "A" through "C-" or the grade of "NC" in the place of

"D+," "D," "D-," "E" and "EU". The "CR" grade shall carry credit toward graduation, but neither the "CR" nor "NC" grades will be included in computing grade point averages."

Hence, any courses graded as CR/NC will only count as generic "credit hours" towards the degree and do not satisfy the doctoral degree didactic coursework requirements where letter grading is required for determination of GPA per the Graduate School and Department policies.

The Department of Pharmaceutics further restricts lower classwork grades: The Department does not accept grades below a B- for credit toward the graduate degree. Note that the 3.0 GPA requirement exists for didactic coursework and is not calculated with any non-didactic (e.g., research/dissertation or independent study) hours. A student whose GPA falls below a 3.0 for any given semester will be placed on academic probation until the GPA is brought above 3.0. Two or more semesters on academic probation are grounds to terminate the student from graduate study at Utah for poor academic performance.

D.2. Academic Standards. Academic standards for students in Pharmaceutics and Pharmaceutical Chemistry:

1. GPA of 3.0 or higher in all didactic coursework is required
2. Laboratory rotations, when applicable, must be satisfactorily completed.
3. Academic dishonesty is not allowed. Dishonesty or misconduct is defined by the National Academy of Sciences, the University of Utah Student Code, or this policy statement. Cheating, plagiarism, and other forms of academic dishonesty are serious offenses and are explicitly defined below (see Section X).

Action will be taken in cases of failure to meet academic standards or violations of academic honesty or integrity that may include grade reduction, failing grade, probation, or dismissal from the University. Note that graduate students have been expelled from the University of Utah for violations in academic dishonesty. In other words, this situation is not to be taken lightly.

E. Tuition

Tuition waivers for full-time matriculated graduate students in good academic standing are available to qualified graduate students compensated through University of Utah research accounts (i.e., from Pharmaceutics faculty member or Departmental fellowship research accounts) under the Graduate School's *Tuition Benefit Program* (TBP). Students must maintain a minimum cumulative GPA of 3.0. Students on academic probation are not eligible for a Graduate School tuition benefit. This benefit covers general graduate tuition and mandatory fees. It does not cover differential tuition or specialized program fees. Tuition for undergraduate courses as assigned for remedial or to satisfy degree pre-requisites is the responsibility of the student. Important details of the TBP can be found at the Graduate School's website <https://gradschool.utah.edu/tbp/tuition-benefit-program-guidelines/>. Highly relevant information is summarized below:

- Students may participate in the TBP for a limited number of semesters, which need not be sequential. Participation limitations in the program are as follows:
 - Students in a Master's program are limited to two years (4 semesters) of tuition benefit support.
 - Students in a doctoral program who entered with a Bachelor's degree are limited to five years (10 semesters) of tuition benefit support.
 - Students in a doctoral program who also received a Master's degree at the University of Utah are limited to five years of tuition benefit support (2 years for a Master's + 3 additional years for a doctorate).
 - Students entering a doctoral program with a Master's degree from another university are eligible for four years (8 semesters) of tuition benefit support.
- A student enrolled in tuition benefit for both Fall and Spring semesters has 24 total credit hours of tuition benefit available over the academic year. The 24 hours may be split over Fall, Spring and

Summer terms. The maximum that TBP will cover in Fall and Spring semesters is 12 credits (minimum is 9). The maximum TBP will cover in summer semester is 6 credits (minimum of 3). If the student wishes to enroll in more than 24 credits, he/she will be financially responsible for the tuition overload. Tuition support for such instances is elective and should be discussed by the student, the mentor, and the Department Chair.

- A student who is not on tuition benefit in the Fall, but is on tuition benefit the Spring, is eligible for 12 credits of tuition benefit over Spring and Summer. If they enroll in just 9 hours in Spring, they would have 3 credits available in summer.
- Students defending their dissertation must register for 3 credit hours of PHCEU 7970 during the semester they defend.
- Under TBP, graduate credit hours are always charged at resident rates, regardless of the student's residency status. However, non-resident research assistants who have exceeded 84 cumulative credit hours will receive a surcharge of the non-resident portion of their tuition. This condition will be implemented in the semester when cumulative registration exceeds 84 credit hours as a University of Utah graduate student. The graduate student is responsible for paying any nonresident surcharges that are incurred due to the 84-credit hour rule. Please ensure that students apply for state residency as soon as they are eligible. Research Assistants who have finished their coursework may register for 9 thesis hours ONLY to avoid being charged nonresident tuition.

II. SAFETY & WELLNESS

Your safety is our top priority. In an emergency, dial 911 or seek a nearby emergency phone (throughout campus). Report any crimes or suspicious people to 801-585-COPS; this number will get you to a dispatch officer at the University of Utah Department of Public Safety (DPS; <https://dps.utah.edu>). If at any time, you would like to be escorted by a security officer to or from areas on campus, DPS will help — just give a call.

The University of Utah seeks to provide a safe and healthy experience for students, employees, and others who make use of campus facilities. In support of this goal, the University has established confidential resources and support services to assist students who may have been affected by harassment, abusive relationships, or sexual misconduct. A detailed listing of University Resources for campus safety can be found at (<https://registrar.utah.edu/handbook/campussafety.php>, also see: <https://safeu.utah.edu>)

Your well-being is key to your personal safety. If you are in crisis, call 801-587-3000; help is close.

The university has additional excellent resources to promote emotional and physical wellness, including the [Counseling Center](#), the [Wellness Center](#), and the [Women's Resource Center](#). Counselors and advocates in these centers can help guide you to other resources to address a range of issues, including substance abuse and addiction.

Safe laboratory conditions and operating procedures are the collective, continuous responsibility of all personnel working in the laboratories: it is each student's obligation to ensure their own safety during the graduate research *and also that* all fellow lab-mates follow safe operating procedures at all times. It is also each individual's responsibility to bring unsafe situations or practices to department attention for immediate mitigation.

Specific University safety requirements for all students are detailed at <https://oehs.utah.edu/topic-category/students>. Students are expected to understand these obligations and their role in preserving a continuously safe laboratory work environment both for themselves and all co-workers around them. Students must complete all [relevant training](#) for their research and remain vigilant in laboratory routines to

abide by these guidelines. See the attached model Safety memo (Section XIII of this document) that outlines PI-specific expectations for members of their lab.

In addition to laboratory environment safety protocols and policies, each student is expected to know emergency evacuation policies, routes, meeting points and procedures in case of a natural disaster or other emergency. Faculty mentors are advised to provide research group-specific guidance to students in addition to Department, College and University protocols in this regard.

III. GRADUATE STUDENT ACADEMIC ENROLLMENT

A. Course Registration

The University of Utah General Course Catalog and Class Schedule is available on-line at: <https://www.utah.edu/students/catalog.php>. Students receive a registration reminder before the start of each semester and can register online. Students are charged a fee for late registration, which is the student's responsibility. Please note that students must maintain **Minimum Continuous Registration** during their graduate studies:

All graduate students must be registered for at least one course from the time of formal admission through completion of all requirements for the degree they are seeking, unless granted an official leave of absence (see Leaves of Absence section, below). Students not on campus and not using University facilities are not expected to register for summer term. Students must, however, be registered during summer term if they are taking examinations or defending theses/dissertations. If students do not comply with this continuous registration policy and do not obtain an official leave of absence, they will be automatically discontinued from graduate study. In this case, students will be required to reapply for admission to the University through Graduate Admissions upon approval of the home department. Students should be registered for graduate level courses (5000-6000 level for masters; 6000-7000 level for doctoral) until they have completed all requirements for the degree including, the defense of the project, thesis, or dissertation. (<https://gradschool.utah.edu/graduate-catalog/registration/>)

Continuing students are **NOT** required to register for **summer semester** unless they intend to take their preliminary examination or defend their dissertation that semester, or if they have to demonstrate continuous registration for student housing, foreign student visa status, or any other reason. In such instances, the student should register for the minimum of 3 credit hours. **Students DO NOT need to register for the summer semester to maintain health insurance coverage.**

Students who have advanced to Ph.D. candidacy (i.e., passed all required comprehensive and preliminary exams) and/or completed course requirements must register for 9-12 credit hours of Pharmaceutics 7970 (Thesis Research: Ph.D.) in fall and spring semesters while supported by the Tuition Benefit Program. After exceeding the specified TBP support maximum hours, they should then register in 3 credit hours of Pharmaceutics 7970 (Thesis Research: Ph.D.) in fall and spring semesters until they graduate.

B. Graduate Program Curriculum

The objectives of the graduate curriculum are (1) to provide a strong background in modern-day, biomedical sciences that provide the underpinning for pharmaceutics and pharmaceutical chemistry, (2) to train students in the fundamental concepts of pharmaceutics and pharmaceutical chemistry as a discipline, and (3) to facilitate more specialized training as needed for the dissertation research. Required coursework (except for electives) is normally completed during the first year and should be aligned with the educational goals of students in their interests and project areas.

B1. Prerequisites

- a. Organic chemistry with laboratories – one year
- b. Physical chemistry – one year

- c. Calculus – one year
- d. Anatomy, biochemistry, cell biology, developmental biology, genetics, molecular biology, or physiology – one semester

B2. Required Coursework (didactic: 25 hours; total hours: 30)

- a. Core Pharmaceutics sequence (PHCEU 7010, 7011, 7020, 7021, 7030, 7040) – 15.5 cr¹
- b. Electives – at least 4 elective courses that total to a minimum of 8 credit hours²
- c. Journal Club (PHCEU 7975) – 1 cr per semester for 4 semesters³
- d. Seminar PHCEU 7890 – 1 cr in the semester only when **presenting** full research seminar
- e. PHCEU 7031 “Lipid Based Drug Delivery” (0.5 cr) when offered
- f. MBIOL 7570 “Case Studies and Research Ethics” (1 cr)

B3. Department Seminar (see also Section IV.B)

All graduate students are expected to attend department seminar each week. In addition, they are **required to present at least two seminars prior to their Ph.D. defense**. One of these must be presented orally to the Department, after they have passed their written comprehensive exam. Students may, however, substitute a podium or poster presentation at a national meeting for the second seminar; alternatively, students may substitute two podium or poster presentations at a local or regional meeting for the second seminar. The Ph.D. defense is considered a department seminar and should be presented during the seminar’s regularly scheduled meeting time (Mondays at 4 PM) if possible.

B4. Highly Recommended Electives

- a. Biocompatibility (PHCEU 7210, 2 cr)
- b. Biomaterials (PHCEU 6020, 3 cr)
- c. Biostatistics (MDCRC 6050, 1-2 cr)
- d. Integrated Drug Development Process in the Pharmaceutical Industry (PHCEU 7055, 1.5 cr)
- e. Nanomedicine (PHCEU 7230, 3 cr)

B5. Recommended Class Schedules for Entering Students

<i>First Semester (Fall)</i>	<i>Second Semester (Spring)</i>
PHCEU 7010 (1.5 cr) Molecular Biology ⁴ (2 nd 7 weeks)	PHCEU 7011 (3 cr) Pharmacokinetics
PHCEU 7021 (2 cr) Formulations (2 nd 7 weeks)	PHCEU 7020 (4 cr) Advanced Physical Pharmacy & Dosage Forms
PHCEU 7030 (2 cr) Macromolecular Therapeutics and Drug Delivery (1 st 7 weeks)	PHCEU 7975 (1 cr) Journal Club
PHCEU 7040 (3 cr) Biotechnology 1 st 7 weeks)	MBIOL 7570 (1 cr), Electives or Ph.D. Thesis Research (PHCEU 7970) (1-3 cr)
PHCEU 7975 (1 cr) Journal Club	

¹ Core sequence (PHCEU 7010 – 7040) is generally taught annually. Comprehensive exam(s) for a given core course(s) must be completed within two weeks of the end of the semester in which the course was offered.

² Students entering from the BC/MB program may count some of their 1st year coursework as electives.

³ Students must take 4 PHCEU 7975 1-credit hour Journal Club courses starting their first semester after matriculation. The sequence should be taken sequentially without interruption unless permission to do otherwise is granted.

⁴ Waived for students entering from the BC/MB Program

MBIOL 7570 (1 cr), Electives or Ph.D. Thesis Research (PHCEU 7970) (0-2 cr)	
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B6. Recommended Elective Courses

Advanced Pharmaceutical Chemistry

CHEM 7000	Introduction to Quantum Mechanics I – 2 cr
CHEM 7010	Introduction to Quantum Mechanics II – 2 cr
CHEM 7020	Introduction to Spectroscopy I – 2 cr
CHEM 7030	Introduction to Spectroscopy II – 2 cr
CHEM 7040	Statistical Thermodynamics – 2 cr
CHEM 7050	Classical Thermodynamics – 2 cr
CHEM 7240	Physical Organic Chemistry I – 2 cr
CHEM 7250	Physical Organic Chemistry II – 2 cr
PH TX 7113	Essentials of Pharmacology and Drug Development – 2 cr
PH TX 7211	Pharmacology I – 1-6 cr
PH TX 7212	Pharmacology II – 1-6 cr

Drug Delivery Systems

PHCEU 7210	Biocompatibility – 2 cr
PHCEU 6020	(BME 6302) Biomaterials – 3 cr w/o lab
PHCEU 7230	(BME 6405) Nanomedicine - 3 cr
BME 7160	Physical Nature of Surfaces – 3 cr
BLCHM 6410	Protein and Nucleic Acid Biochemistry – 2 cr
BLCHM 6460	Protein Chemistry – 2 cr
NEUSC 6500	Advances in Vision Research – 3 cr

Biotechnology

BME 7160	Physical Nature of Surfaces – 3 cr
BLCHM 6410	Protein and Nucleic Acid Biochemistry – 2 cr
BLCHM 6450	Biophysical Chemistry – 2 cr
BLCHM 6460	Protein Chemistry – 2 cr
PH TX 7113	Essentials of Pharmacology and Drug Development – 2 cr
PH TX 7211	Pharmacology I – 1-6 cr
PH TX 7212	Pharmacology II – 1-6 cr

C. Petition for Prior Class Credits to Count Toward Fulfillment of Degree

A student may petition for prior class credits to apply toward the fulfillment of required coursework ([Non-Matriculated Credit Hours form](#)). Credits earned by nonmatriculated students may or may not apply to a graduate degree program. Graduate programs are designed and approved by faculty committees assigned to supervise each graduate student. Decisions on accepting course credit are made initially by these supervisory committees. Only nine semester hours of nonmatriculated credit, taken no more than three years prior to the date of the request for approval to the Graduate School, can be applied toward a graduate degree. Credit for these hours is granted only if a grade of B or better was earned in the specified courses. Any exception to these requirements must be requested by the department chair or supervisory committee chair and approved by the dean of The Graduate School. Any requests for exceptions to these general admission policies should be directed in writing to the Graduate Admissions Committee by the respective college or department.⁵

⁵ <https://gradschool.utah.edu/graduate-catalog/admissions/>

IV. SEMINARS, STUDENT PRESENTATIONS AND JOURNAL CLUB

A. Seminar Attendance

The Department hosts graduate student seminars every week during the Fall and Spring semesters, except during holiday breaks. **It is mandatory that all graduate students attend these seminars each semester, though official registration in PHCEU 7890 is not required except for those students presenting.** Research faculty, research associate and postdoctoral researcher attendance, participation, critique, input and leadership are also expected.

B. Student Seminar presentations

All graduate students are required to present two (2) quality technical research-based seminars in addition to the final defense of their PhD Dissertation as part of their Ph.D. training experience. Students must first pass the written comprehensive exam and also have their own reasonable, credible and sufficient scientific data to present before giving their first research seminar presentation. At least one seminar must be presented formally during the regular scheduled department seminar period, and attended by the Department faculty, postdoctoral researchers, and students. During the semester that the student presents a research seminar to the department, they must register for PHCEU 7890 "Department Seminar", 1 credit, in order to be formally graded for their seminar performance. Students may substitute a podium or poster presentation at a *national meeting* for the second required seminar; alternatively, students may substitute two podium or poster presentations at a *local or regional meeting* for the second seminar.

Students must present an additional department seminar if they have not presented their data a year or more beyond their oral preliminary examination. Students cannot present seminars in two consecutive semesters unless the amount and type of data presented are substantially different, and this is pre-approved by the Department chair. Please plan seminar presentations with sufficient time intervals to allow new data collection and improved technical reporting of sufficient rigor to reward a department audience.

In general, these seminar talks are expected to follow a conference presentation format, with an introduction, discussion of methods, results obtained and overall discussion for the presentation and then end with the integrative section. Students are strongly encouraged to practice the entire talk before mentors or group members prior to the actual seminar. Research mentors are expected to assist the student in the preparation of the presentation as it will be graded. Presenters are required to bring the [Research Seminar Evaluation Form](#) to their talk to give to attending faculty for written critique.

In addition to the Pharmaceutics Department Seminar, the College of Pharmacy offers a weekly seminar series during the Fall and Spring semesters in which graduate students from all four of the College's academic departments present their research in progress (RIP). Students typically present annually, after initiating their initiated their PhD research projects. Attendance is expected at the weekly RIP seminars and is a great way for students to meet their peers in the College's other academic departments and learn about their research.

C. Journal Club

Students are required to enroll in department journal club (PHCEU 7975) for their first four semesters following matriculation. The purpose of these journal clubs is to provide focus on special topics, enable students to stay abreast of broad areas of research and to foster critical analysis of scientific work. A faculty moderator will choose the scientific topic and assign research articles for the students to read. Each student enrolled in journal club is expected to present at least one article each semester. Presenters will summarize the scientific problem addressed by the article, experimental methods, results and interpretation. They will lead a peer critique and discussion of the relative scientific merit of the paper including strengths and weaknesses. Students will be graded (credit/no credit) based on their participation, presentation of their assignments and their participation in the discussion of other students' presentations.

V. TEACHING ASSISTANTSHIPS

Graduate students in the Department of Pharmaceutics and Pharmaceutical Chemistry are required to engage in one term as a didactic course teaching assistant (TA). The expectation is that the teaching assistantship provides a valuable pedagogical leadership experience and mentoring opportunity for the graduate student. TA assignments will be selected from the department's core courses or other graduate-level courses as determined by faculty.

The TA requirement is normally fulfilled during the student's third year but can be satisfied prior to this time if the student is asked to assist any class.

TA obligations include:

1. Exhibiting English language proficiency to interact effectively with students in a leadership and pedagogical manner. The Graduate School requires all non-native English-speaking graduate students to be cleared by the ITA Program in advance of any teaching exposure in order to be eligible for a tuition benefit for teaching assistantships. Participation in the annual ITA training workshop is therefore a compulsory requirement for all department international students upon formal graduate program initiation.
2. Meeting with the instructor of record before the semester begins to initiate organization and expectations for roles and duties.
3. TAs should attend all lectures and be sufficiently familiar with materials covered in class and homework to be able to tutor the content.
4. TAs should contribute in a substantive way to the pedagogical needs of the course. This will be determined by the instructor and the particular nature of the course. For example, TAs would be expected to undertake one or more of the following activities: (a) deliver one or more lectures; (b) lead problem-solving or discussion sessions prior to exams; (c) homework and exam grading.
5. TAs should plan on spending 3-4 hours/week in class and an average of 3 to 5 additional hours per week for other pedagogical activities related to the course.
6. Financial support will continue by the student's research advisor during the first and required TA assignment. When students TA for a second or even third time, additional support is provided by the Department in the form of a one-time stipend.

Additional TA training is encouraged, especially for students considering a career in academia. The University's Center for Teaching and Learning Excellence (CTLE) offers the following [Resources for Teaching Assistants](#):

- Annual Teaching Symposium
- Courses
 - CTLE 6000 Teaching in Higher Education
 - CTLE 6510 Cyber Pedagogy
- Instructor Resources
 - Information about a number of different pedagogical topics including: active learning, assessment, classroom civility, community engaged learning, "flipping" your course, hybrid course design, ice breakers, large classes, lesson planning, problem-based learning, second language writers, service learning, teaching philosophy, teaching portfolio, and veterans in the classroom.
- Observation & Consultation Services
- Student Course Feedback

VI. STUDENT SUPERVISORY COMMITTEE

The Department faculty collectively assumes mentoring responsibilities for all graduate students until their Supervisory Committee is formed in consultation with their faculty advisor. **All graduate students should formally establish their Supervisory Committee within one month after successfully passing their comprehensive exam.** This also is best timed with corresponding selection of a dissertation research topic near the completion of coursework. Since the Supervisory committee is very important to the outcome and progress of the research project, and ultimately responsible for both the Preliminary Exam and Dissertation Defense judgments, careful selection of Supervisory Committee members is very important. This selection should consider faculty expertise best suited to support and advise the student on their topic. Until a Supervisory Committee is established, faculty will provide the student with an annual review of progress in the form of a written memorandum assessing progress and concerns, placed in the student's file.

The student's Supervisory Committee, chaired by the research advisor, **forms the primary departmental faculty contact, review, and advisory group for each student.** Each supervisory committee consists of five faculty members. The committee chair and the majority of the committee must be tenure-line faculty in the student's department. One member of the committee must be appointed from outside the student's major department. The outside member is normally from another University of Utah department. However, the Dean of The Graduate School may approve requests to appoint a committee member from another university where appropriate justification and supporting documentation is provided. The supervisory committee is responsible for approving the student's academic program, preparing and judging the qualifying examinations (unless delegated to a departmental examination committee), approving the dissertation subject and final dissertation, and administering and judging the final oral examination (dissertation defense).⁶

Each student is required to convene their supervisory committee **annually** to evaluate their research progress and strategies, technical problems and success, and coursework advancement. An [Annual Committee Meeting Form](#) must be signed by the Committee and filed by the student with the Department office to go into the student's file annually. As the primary research review mechanisms, advocate and ombudsman for the student, the supervisory committee should also be consulted in cases of student-advisor conflict, or impasse, misconduct, or failure to progress, and can render impacting recommendations to the research advisor, and if necessary, to the Department Chair, to resolve such issues. Lastly, the **Supervisory committee** must read, edit, review and approve the student's dissertation drafts and final edition **prior to** (1) the Chair's review of the approved dissertation document, and (2) submission to the University Thesis Editor for format approval.

For conducting the student's preliminary exam, committee chair duties temporarily shift to another member of the student's supervisory committee, rather than the research advisor. The specific oral exam chairperson is specified at the time of the preliminary exam, generally by consensus of the supervisory committee. The student's research advisor may attend the oral technical presentation during the first part of the exam, but is not present for the closed second part of the exam (see Section VII E).

VII. COMPREHENSIVE AND PRELIMINARY EXAMINATIONS

The department administers two major exams required of all Ph.D. students.

A. Requirements and Scheduling

The comprehensive exam(s) for a given core course(s) must be completed within two weeks of the end of the semester in which the course was offered. This deadline is generally not flexible but can be changed under extenuating circumstances (e.g., if one or more core courses are cancelled within a given academic year due to insufficient enrollment) with Department chair's approval.

B. Comprehensive Exam Topics

⁶ <https://gradschool.utah.edu/graduate-catalog/degree-requirements/>

Students will be evaluated for their written performance and demonstrated advanced proficiency on questions relating to relevant topics in the field and core course content, including:

1. Physical chemistry, physical pharmacy, and dosage forms, including solvent theory, equilibria, thermodynamics, mass transport, colloids and surface science.
2. Physical organic and polymer chemistry, chemical kinetics and reaction mechanisms.
3. Drug delivery, including targeting, internalization and intracellular trafficking.
4. Pharmacokinetics and pharmacodynamics.
5. Pharmaceutical Biotechnology.
6. Appropriate pharmaceutical characterization and analytical methods.
7. Appropriate data handling, statistical methods and experimental design.

C. Comprehensive Exam Procedures

There will be one question for each of the core Pharmaceutics core courses (PHCEU 7010, 7011, 7020, 7021, 7030 & 7040). Questions will be written and graded by Department faculty members selected by the Chair or exam coordinator. Students are required to submit their own independently worked electronic file responses to the exam questions as separate, clearly identified .pdf file answers to each exam question. These would best come from computer-generated (text-typed, equation-edited, but not hand-written and scanned) documents. Students have three days to answer each question (e.g., a total of six days for 2 questions) from the date of exam distribution to the exam coordinator in the department. A student-named electronic folder containing all .pdf-generated answer files with identifiers linked to each submitting student can be conveyed to the department coordinator using .ftp, email or memory-stick mechanisms (i.e., use a filename format such as "STUDENT_NAME_PHCEU7020.pdf" for each answer submission). No paper hardcopies of answers are accepted for exam answers (note: all photocopying required for any exam needs is not done at department expense). No answer revisions will be accepted after the submission deadline. Students are expected to conform to all policies regarding academic honesty and integrity in producing their answers: essentially that ***all work submitted is their own with all external supporting materials and resources clearly cited in the exam answers.***

D. Comprehensive Exam Grading

Faculty will have two weeks from the date the exam answers are received to grade them. Grading of each question will be on a scale of 0-100, with a score of 80 considered to be a minimum passing score for each question. Results will be conveyed to the student in writing by the exam coordinator. Students may appeal the grading of a particular question. In such cases, three faculty members (other than those who wrote the question) will be selected by the exam coordinator to re-grade the question being challenged.

Students passing all written questions will receive an unconditional pass for the comprehensive exam.

Students failing to pass one or two of six cumulative written questions will receive a conditional pass for the comprehensive exam and will have one month to submit correct answer(s). The faculty will then have one month from the date that the revised answers were submitted to re-evaluate them. Failure to answer one or two questions correctly in the resubmission, or missing any deadlines, will require the student to repeat the entire comprehensive exam at the next scheduled date. The second comprehensive exam will be the final opportunity to pass this requirement.

Students failing to pass three questions will fail the comprehensive exam. These students will be required to repeat the entire comprehensive exam at the next scheduled exam date. The second comprehensive exam will be final.

Students who fail the second exam are no longer eligible to continue in the doctoral program.

E. Qualifying Exam Procedures

To advance to Ph.D. candidacy, all students must pass a qualifying examination that consists of both an original written research proposal and an oral examination by their supervisory committee. This must be completed within one year of passing the comprehensive exam. This deadline is generally not flexible but can be changed under extenuating circumstances with Department chair's approval. Circumstances

including a sudden radical change of research support or project theme could justify such a change. The student should consult first with his/her research advisor to confirm a suitable topic for their research proposal. The research proposal topic may be based on either (1) their own research but with **new aims not proposed by or originating from their advisor** (see below), or (2) new original pharmaceutically relevant research (not previously submitted for funding by anyone) that falls within the broad categories listed above (under comprehensive exam topics, see Section VII.B.).

The **written research proposal** will be evaluated for content, significance, accuracy, technical proficiency and maturity by a qualifying exam committee comprising four faculty from the student's supervisory committee, but not the student's research advisor. The supervisory committee shall select one of these four as the chair of the qualifying exam committee at the time of the oral examination. Committee member substitutions are allowed at the discretion of the department chair.

To satisfy this requirement, the student's research proposal follows the current [NIH's current SF424 instructions for submitting an R01 grant application](#) (see this [link](#) for the SF424 forms for various proposal components). The following sections are required: *proposal abstract, table of contents, detailed first-year budget, budget justification budget for entire project period, biographical sketches for student as PI and advisor as consultant or co-I, other research support, resources and facilities, specific aims, full research strategy section* per the current NIH SF424 proposal format, *vertebrate animals justification section* if appropriate, and *complete references* in required format, including article titles.

The complete **research strategy** component shall consist of these sub-sections from a typical NIH R01 proposal format: **specific aims (max. 1-page), plus a 12-page maximum section of significance, innovation, research design and methods, and preliminary data** (typically from relevant literature, but could be the student's own data, or a mix). Preliminary data should be clearly designated as taken from cited literature, work from others in the lab, or the student's own work. A well-designed, detailed, scientifically credible experimental design with appropriate modern procedures is essential in this 12-page research strategy description (note: specific Aims are one additional page). Expected technical deliverables and brief alternative approaches are also encouraged. Timeline table and NIH-style budget and justification components are required. A vertebrate animal section and co-personnel vitae are to be supplied when necessary. Proposals not following the prescribed formats or page limits for the R01 format will be returned. Students may use proposals developed for a grant writing class, but all written research proposals submitted for the exam will contain at most, one (1) currently existing technical aim taken from a currently existing research proposal. Remaining aims (at least one or more) must be distinctly new with sufficient original research plan development to support them and address their technical requirements.

Importantly, all students must receive pre-approval from their supervisory committee for all aims and their working hypothesis in the written proposal before proceeding to independently write their research proposal. Student-drafted aims and hypothesis (one page maximum, NIH format) must be submitted to their committee at least 10 days prior to a scheduled supervisory committee meeting seeking full committee approval to proceed to writing the proposal. The student must attempt to convene the entire committee for consensus and recommendations on hypothesis and aims for approval before writing their own original research proposal.

Any data or text material taken from another existing proposal or any other source must be clearly cited as such to avoid plagiarism issues. Proposals should be written for a 3-year timeline with the student as principal investigator (PI). A budget considering expected personnel, equipment, services, supplies and expendables, and other necessary items for research should be included. This budget can be itemized or modular but should be clear, accurate and descriptive of the proposed work. The student's advisor (or other committee members) may read the written proposal and provide limited and general recommendations and feedback *once* without explicitly altering or substantially re-writing the proposal for the student. However, the student must develop the entire proposal on their own without appropriating substantially from an existing proposal, as well as their original technical aims (as stated above) or the original research (as stated above on his/her own). Philosophically, the entire proposal should represent the student's own original writing, technical analysis and ideas, not that of a faculty mentor. Copying text

or materials from other proposals without formal citation or attribution is considered plagiarism and punishable under University guidelines.

The complete written research proposal is assembled according to the order of the required pieces specified in the NIH table of contents document and in electronic format as a single .pdf file. This research proposal in electronic (single .pdf file) and (optional, by faculty agreement only) hard copy (printed) format should be distributed to the supervisory committee members ***at least one week before the scheduled oral exam meeting.***

Oral exam on the written research proposal. The student must orally defend their research proposal within a year from the date that the student was informed of his/her comprehensive exam grade. In the case of a conditional comprehensive exam pass, the oral exam deadline ***will not*** be extended to one year beyond the time required to comply with the comprehensive exam conditions. Students who do not comply with the deadline will have only one chance to pass their exam. The student should arrange a mutually acceptable oral exam date for the oral proposal defense with their committee and then schedule it through the department staff seminar coordinator. Additionally, an announcement of the oral exam should be posted to the department's electronic seminar website and e-mailing list at least one week before the proposal defense. Please contact the department's graduate student coordinator about preparing this announcement with these timelines.

On the day of the oral proposal defense, the student will first provide a detailed oral technical presentation (approximately 45 minutes in duration) of the proposal. This presentation is open to the public. Following the presentation, the exam committee conducts the oral examination in a closed session with the student. Each committee member will question the student about the proposal and/or other scientific concepts and topics related to the broad categories listed above. The student's research advisor may observe the closed portion of the oral examination, but may not actively participate. There is no strict time limit on the exam, but a duration of 90 minutes in the closed session is often appropriate. Immediately after the oral examination, the committee will meet and evaluate the student's performance. Three outcomes are possible – pass, conditional pass and fail. These outcomes are described below. The student must provide the official Department form ([Supervisory Committee Report on the Ph.D. Qualifying Exam](#)) to the committee to report the outcome of the qualifying examination. The chair of the qualifying examination committee will write a letter summarizing the consensus of the committee's critique and informing the student of the outcome, and what revisions (if any) are required for any conditional pass. This letter will also document specific reasons for a conditional pass or failure. The letter will be sent within one week of the examination to the student, advisor and department chair, and be filed in the student's official dossier.

F. Qualifying Exam Possible Outcomes

1. Pass: Students who receive a pass will advance to Ph.D. candidacy. No further work will be required – the student has completed the exam in full. The committee must unanimously agree upon a pass.
2. Conditional Pass: Students judged to be deficient in certain areas of the proposal and/or the oral examination committee will receive a conditional pass and will have 4 weeks from the date of issue of their committee's proposal defense evaluation letter to correct deficiencies in the proposal and/or fulfill other requirements as stipulated by the committee. Students may solicit feedback from their committee members and advisor while revising their proposal. The revised proposal should include an introduction section that details specific changes made in the revised proposal (see <https://grants.nih.gov/grants/policy/amendedapps.htm> for detailed instructions). The revised proposal should be submitted to both committee members and the department office on or before the 4-week deadline. This submission will be final (i.e., subsequent revisions will not be considered). Committee members will then have 3 weeks to review and judge the revised proposal. Un-reviewed proposals will automatically receive a pass. The final decision (pass or fail) will be decided by a majority of the committee. In case of a split vote, the committee chair will make the final decision. In the event of failure, or if the student's 4-week resubmission deadline is missed, the student will have one more opportunity to retake the exam.

3. Failure: Students who fail the qualifying exam will be required to submit and defend a new research proposal. The second submission will be final. The due date of the second submission is at the discretion of the committee, but no longer than 6 months from the date of the original proposal examination date.

VIII. STUDENT RESEARCH PUBLICATION REQUIREMENTS FOR DEFENSE ELIGIBILITY

The Department's official [Defense Clearance Form](#) mandates that no student can request to schedule their dissertation defense without first submitting at least **two full first-authored original research manuscripts** to quality, reputable, recognized peer-reviewed scientific journals in the field. While this is the department's standard, each faculty advisor has their own requirements in this regard that can and may exceed this requirement and should be followed instead. Extreme circumstances that require a student to attempt to by-pass their research advisor's requirements in this regard mandate a Supervisory Committee meeting to resolve the issues and present a memo to both the Chair and Research Advisor describing the conditions and proposing a solution. Under no circumstances will less than 2 publishable and submitted full scientific manuscripts qualify for a Ph.D. degree.

IX. PREPARING FOR GRADUATION, THE FINAL Ph.D. DEFENSE AND DISSERTATION SUBMISSION, TIME LIMIT FOR DEGREE COMPLETION

A. Preparing for Graduation

Applying for Graduation. All graduate students must apply in advance for graduation to receive a degree from the University of Utah. Application deadlines for the University's three Graduation dates each year (May, August, December) are posted [here](#). These deadlines are generally 3-4 months before each graduation date.

Program of Study. The Program of Study is an electronic record of each student's doctoral coursework entered into their Electronic Graduate Record by our Department Coordinator. Programs of Study need to be approved by each student's Supervisory Committee no later than one semester before they intend to graduate.

B. The Final PhD Defense and Dissertation Submission

Before a Ph.D. degree can be conferred, the student is required to prepare a formal written description (the thesis dissertation), present the work in a public seminar and successfully defend the work during a formal dissertation defense. The dissertation must follow the established University of Utah format. The University's [Thesis Office](#) has posted an electronic publication entitled [A Handbook for Theses and Dissertations](#) with guidelines for writing Ph.D. dissertations. They have also posted downloadable [Templates](#) for Microsoft Word and LaTeX that can help with formatting. In addition, they have posted [Frequently Asked Questions](#) about writing and submitting dissertations that provide a great resource for nearly all steps in dissertation writing, review and submission. Further questions should be referred to the Thesis Editor or Assistant Thesis Editors in the Thesis Office.

Thesis Office's Thesis Submission Procedure. This [link](#) provides a step-by-step guide to the writing, review and submission of your dissertation, along with suggested amounts of time to allocate for some steps.

Preliminary dissertation format review. As described in Step 3 of the above Thesis Submission Procedure, doctoral candidates may submit a preliminary draft to the thesis editor's office prior to the oral defense where a precursory check for style and accuracy will be performed.

Prior to scheduling their defense, the student must first obtain full approval for all dissertation content and complete initial editing by their research adviser.

Prior to scheduling their defense, the student must also complete the aforementioned Department's official [Defense Clearance Form](#) and obtain an official copy of their transcripts from the Registrar's office (with appropriate lead time, students may also ask the Department Coordinator to obtain a copy of their transcripts from the Registrar's office). The student should then give both the completed *Defense Clearance Form* and a sealed copy of the official transcripts to the Department's Director of Graduate Studies for review. If the student has completed all requirements for defending their dissertation, the Director of Graduate Studies will sign the *Defense Clearance Form* and forward it to the Department Chair for review and signature. As soon as both signatures are obtained (and not prior), and the student has received full dissertation reading approval from their adviser, the student can proceed to arranging a defense date. **Only then** can their dissertation defense date be scheduled for a mutually agreeable date with their committee, not in conflict with usual department functions and consistent with all timelines specified herein.

The Department requires (as per the *Defense Clearance Form*) that copies of the adviser-approved draft dissertation for committee use be spiral-bound (two-sided copying is acceptable), and that an additional inspection copy be filed with the Department Coordinator fully two weeks before the scheduled oral thesis exam date. Also, an announcement of the student's defense with title using an approved department format should be posted to the department's electronic seminar mailing list **at least two weeks** before the defense date. Please contact the Department Coordinator about student requirements for preparing this announcement for posting. Student credit for the thesis defense as one of three required student seminars requires: 1) proper department notice to attend defense, and 2) majority of department students attending final defense. **Violations of these requirements and timelines will result in a postponement of the student's defense at the student's expense.**

Prior to the defense, Ph.D. candidates should download one copy of the [Supervisory Committee Approval](#) and [Final Reading Approval](#) forms. Prepare the signature forms by typing in student and faculty full legal names and avoiding use of degrees and titles, such as M.D., Ph.D, Dr., Professor, etc. Candidates should take their Supervisory Committee Approval form to their dissertation defense, as all committee members will need to sign it. The Final Reading Approval form should be saved until all corrections mandated by their supervisory committee have been made and the corrected copy of the dissertation given to the chair of their supervisory committee for final review. If the committee chair is satisfied with the dissertation, he/she will sign the Final Reading Approval Form and forward the dissertation to the Department Chair for review. **The student should allow two weeks for each of these reviews.** The signature of the dean of The Graduate School is given after the final manuscript is approved by the thesis editor, not before the first submission to the Thesis Office. The signature forms are not included in the published manuscript. They are replaced by the Statement of Approval, which is not signed.

Submission of Final Draft to Thesis Office. Submit a single-sided copy of the thesis or dissertation that has been publicly defended and approved by the supervisory committee, the supervisory committee chair, and the department chair to the Thesis Office for Format Approval. To be considered for graduation in a particular semester, the defended and committee-approved thesis or dissertation must be submitted 7 weeks prior to the closing date of the semester, 8 weeks for manuscripts in excess of 200 pages. **IMPORTANT: The manuscript submitted must adhere to the formatting guidelines in this handbook in order to qualify as meeting the deadline.** If manuscripts are submitted after the Format Approval deadline, they will not be considered for graduation in that semester. **Manuscripts are reviewed in the order in which they are received.**⁷ Please see this [Calendar](#) for Format Approval deadlines for each of the University's three annual graduations.

Submission of Approved Manuscript to ProQuest. Once the dissertation has passed successfully through format check, the student should then submit the final PDF version to both the supervisory committee chair and the Department office, and upload the fully approved PDF version to ProQuest. Additionally, graduates must provide any member of their supervisory committee who requests it, a PDF copy of their final, corrected and University-accepted dissertation. Additionally, individual faculty may have

⁷ <https://gradschool.utah.edu/thesis/thesis-submission-procedure/>

their own group policies that require additional dissertation copies to be furnished after successful thesis defense.

Final Graduate Check Out Procedures. Students must also return all intellectual property (i.e. data, spectra, chemicals, apparatus, disks, notebooks and all other devices and equipment being utilized in the research project associated with their research at the University of Utah) to their research advisor: **by university policy for sponsored research, none of this can be taken from University property.** NOTE: *All department keys are university property and are to be returned to the department at student completion and exit. All safety hazards and hazardous substances in the student's possession from research use must be responsibly identified and passed to the research advisor prior to exit. The student is required to supply informational to the Department including the student's non-University of Utah email address (e.g., Gmail, Hotmail, etc.), termination dates for payroll, and future employment information.*

Students who fail to comply with these requirements may at the behest of their advisor or department chair, have their transcripts put on hold at the Registrar's Office and/or will not have completed their degree requirements and will not receive their degrees until all degree requirements, including proper check out procedures from the department and research group are met.

Requesting letters of recommendation from university sources (FERPA): The Family Educational Rights and Privacy Act of 1974 (FERPA), sets forth the privacy requirements for student academic records. The University has a web page describing the Act (<https://registrar.utah.edu/faculty/ferpa-resources.php>), and the responsibilities of faculty and staff to safeguard information contained in student records. An important procedural element to comply with FERPA is that all **students must formally grant written permission to release information pertaining to grades, GPA, or class rank.** A sample release form is provided on the FERPA web page referenced above and also as an appendix to this handbook. To comply with FERPA, **all students must complete and sign a release form** if they or the faculty anticipate the disclosure of protected information for any outside request. This includes letters of recommendation that contain information disclosed on the student formal academic record (e.g., GPA, transcript, class grade or rank, formal class records). This form should be filed BOTH with the faculty or staff letter-writer and also placed in the student's official file in the Department office. From that point forward, **students need only notify** that faculty if additional letters are to be provided. Email documentation in this regard is sufficient, as long as it is clear that the student wishes letters of recommendation to be provided, and provides contact information to send those letters. If formal academic or confidential records information is **not to be disclosed**, then the FERPA release is **not necessary.** Nevertheless, faculty should always exercise good judgment about disclosing any personal information provided in evaluation and recommendation letters.

C. Time Limit for completion of the Doctoral Degree

Graduate degree completion time includes all final sign-off processes by all University officials regarding the student oral defense and approval of their completed written dissertation. Getting this process completed in a timely matter is the student's responsibility.

Official Department of Pharmaceutics policy stipulates a maximum of 7 years from their first date of entry in graduate school to 100% completion of the Ph.D. degree with all sign-offs.

Delinquent students will be requested to perform any or all of the following actions if they have not finished their degree requirements after 7 years from their program entry date:

- Retake the qualifying exam per normal routines
- Orally defend their thesis again in official form
- Re-register and pay for credits in the semester they intend to complete their degree, defend again or submit their dissertation for final consideration;
- Be dismissed from the graduate program without receiving a degree.

This is based on the academic premise that all thesis research is dated, and therefore, that prompt timely oral disclosure and written peer-reviewed publication in the public domain is both expected and required for Ph.D. degree completion.

X. ORDERLY STUDENT DISMISSAL BASED ON SUB-OPTIMAL PERFORMANCE AND FAILURE TO PROGRESS

Research creativity, persistent efforts, consistent productivity, evident progress and motivation are the hallmarks of successful graduate student performance. Those students who perform in their academics and research generally succeed and proceed expediently through the graduate program. Unfortunately, unsatisfactory student performance and progress in their graduate research program can result in their dismissal from the program and loss of stipend support. The Department faculty reserves the right to dismiss students who, after notice of their suboptimal performance and deficiencies, fail to either perform to expected standards or to exhibit an acceptable trajectory of substantial improvement, effort and motivation, or progress toward degree requirements. University policy 6-309 (<https://regulations.utah.edu/academics/6-309.php>, Section III.D Orderly Dismissal) provides a basis for this evaluation and dismissal process. Section III.D.1 states:

“Performance Evaluation. Any person appointed according to the provisions of this section may be dismissed for cause. The individual's designated supervisor shall provide timely informal evaluations of the individual's job performance and make conscientious efforts to assist the individual to correct any unsatisfactory aspects of job performance. If unsatisfactory aspects of job performance persist, the supervisor must provide the individual with a written statement of difficulties and a reasonable time in which to correct them.”

Dismissal Policy for Pharmaceutics and Pharmaceutical Chemistry

Matriculated graduate students in the program who fail to comply with performance expectations in either their graduate research or didactic course work, and/or with codified university policies for graduate conduct (including plagiarism) can be dismissed from either the Department's academic program or from the Graduate School, or both. Student performance is evaluated annually through student and faculty input, and discussed at Faculty Meeting, typically in May. These are formal reviews of student progress in the program and, if there are any issues regarding continuation in the program, these issues will be discussed and documented with the student, first in a formal letter emanating from the Director of Graduate Studies (with input from the faculty advisor after faculty meeting discussions) followed by discussion with the faculty advisor. However, individual faculty, requesting through the Director of Graduate Studies, may initiate dismissal processes of a student from the PHCEU graduate program and/or the Graduate School at any time for failure to meet the academic requirements of the program and for academic or professional misconduct. An ad hoc committee of faculty may be called to arbitrate if necessary. Final decision is provided to the student by the Department Chair. If concerns arise due to behavioral misconduct, these issues are adjudicated through the Dean of Student's Office. In any such event, the procedures outlined in the “Code of Student Rights and Responsibilities” shall be followed (<https://regulations.utah.edu/academics/6-400.php>).

Academic requirements:

Per University policy, PHCEU students must remain in good academic standing with the Graduate School (i.e., GPA \geq 3.0; <https://gradschool.utah.edu/graduate-catalog/grading-and-credit-policies/>) or risk probation and/or dismissal. If the student is on probation from the Graduate School, one semester is

allowed to increase the student's GPA to meet the minimum GPA requirements before termination of the Tuition Benefit Plan (TBP, <https://gradschool.utah.edu/tbp/tuition-benefit-program-guidelines/>) and dismissal from the Graduate program. In addition, students must pass each of the core PHCEU courses and electives with a B-minus or better grade. If a student does not achieve a B-minus grade or better in all PHCEU core courses, one additional opportunity is allowed for remediation prior to dismissal from the PHCEU program. The student will be informed that there is a student academic deficiency as delineated in the Department Policies and Procedures and the Code of Student Rights and Responsibilities. The student, thesis advisor, Director of Graduate Studies, and Department Chair will be notified in writing. If the situation is not remedied, the Director of Graduate Studies will provide a letter of notification that the student has not remedied the deficiency, resulting in his/her termination.

Below is a list of common conditions that cause a student to be academically deficient within the Ph.D. program. If a student satisfies any of the conditions below, then the student is academically deficient unless a previous formalized arrangement is signed off with the Director of Graduate Studies for approved deviation from the corresponding academic requirement(s). Problem areas for dismissal concerns include:

- Failing a written comprehensive exam on the same subject twice.
- Failure to have taken comprehensive exams within 6 months of passing required core courses.
- Failure to pass comprehensive exams within 1 year of passing required core courses.
- Failure to have passed comprehensive exam on the 2nd attempt.
- Failure to form their supervisory committee within 1 year of passing the comprehensive exam.
- Failure to schedule their qualifying exam, within 1 year of passing the comprehensive exam.
- Failure to have passed comprehensive or qualifying exams by the time specified by the Director of Graduate Studies, Department Chair, or Supervisory committees.
- Failure to graduate by the date specified in their most recent letter of support, or within 7 years of matriculation into the PhD program.
- Failure to meet other individualized requirements specified in letters of support or other letters written by the Supervisory Committee or Director of Graduate Studies.
- Failure to select an advisor by the end of their first year.
- Failure to maintain a 3.0 grade point average as required by the Graduate School if the student wishes to continue to receive tuition benefit.
- Failure to conduct independent research at a level needed to complete the Ph.D degree in a timely manner. Also, see the guidelines on the student/advisor relationship below.

Students who are remiss in satisfying any of these categories, or who fail to meet other requirements specified for their program, can be dismissed from the program. In these cases, students must promptly appeal to the Director of Graduate Studies and Department Chair if they wish to continue in the program (these deficiencies may be pointed out to the student earlier). Dismissal from the PHCEU graduate program shall result in termination of graduate student support, stipends or funding.

Departmental qualifying exam:

A student who fails the Pharmaceutics and Pharmaceutical Chemistry qualifying exam will be allowed one additional opportunity to achieve a passing assessment by the Supervisory Committee. If the student is academically in good standing but does not pass the qualifying exam a second time, s/he will be dismissed from the PhD Program but may petition the Department through the Director of Graduate Studies to request a Master's degree, either 'Thesis' or 'Non-Thesis'. Funding for completion of the Master's degree will be coordinated with the thesis advisor and is optional. A student will not be eligible to obtain a Master's degree

unless they have satisfied all Department and Graduate School requirements for the degree, and the thesis mentor agrees that the degree should be granted. If this path is approved in writing and taken, a three-member faculty supervisory committee must be formed. The role of the supervisory committee will be to examine the qualifications of the student and determine if a Master's degree should be awarded from the department based on the Thesis or their research contributions and course work.

Students wishing to leave the Graduate Program:

Students should contact the Director of Graduate Studies and Department Chair as early as possible if they are considering leaving the graduate program. The timing of a student's departure from the program impacts both whether tuition must or can be reimbursed and their eligibility for a degree. Reimbursement for tuition is delineated on the description of the Tuition Benefit Plan on the Graduate School website: **“IMPORTANT: Students adding and/or dropping courses after the semester's published add/drop deadlines are responsible for any and all charges incurred, including withdrawals. Tuition benefit will not pay for withdrawn credit hours, and if registration falls below nine credit hours at any time during the semester, a student becomes ineligible for TBP participation and will be billed the full tuition for that semester.”**

Students will not earn and receive a Master's or PhD degree if the Graduate School and Department of Pharmaceutics and Pharmaceutical requirements have not been met when they leave the Graduate Program. As such, students are advised to discuss degree requirements with the Director of Graduate Studies by requesting a special interview before they consider leaving the Graduate Program. The student should recognize that they would be required to re-apply should they wish to continue in the program and work on another advanced degree after initial departure.

Termination of student-faculty research relationship:

The following guidelines have been jointly approved by the Department Chair, Director of Graduate Studies, and Faculty of the Department of Pharmaceutics and Pharmaceutical Chemistry for the rare occasions when it becomes necessary to terminate a graduate student-faculty advisor research relationship.

Either the graduate student or the faculty advisor may terminate a student/advisor research relationship because of dissatisfaction. It is important that both parties respect the needs of the other. The following guidelines are designed to help accomplish this.

If a faculty advisor is dissatisfied with the research efforts or progress of a graduate student, the advisor should make every effort at an early stage of the dissatisfaction to communicate to the student the concerns s/he may have about the quality of research performance and document this communication. If the deficiencies persist, the faculty advisor should identify in writing to the student the unsatisfactory aspects of their research performance. Upon meeting with the faculty advisor, the student should sign this document to acknowledge the date of notification (whether or not they agree with the assertions made in the document), and this document will be placed in their graduate student file.

The student can lodge a protest with their supervisory committee first, then with the Chair, and also use the University's appeal process (<https://regulations.utah.edu/academics/6-400.php>) if desired to counter these assertions. Following this meeting, the student will be given a probationary period not to exceed 6 weeks to change their research performance as prescribed and produce tangible evidence of improvement and productivity. A second student-advisor meeting at this probationary (max. 6-week) time point will produce a second written evaluation of the student's performance and evidence asserting either improvements, further concerns or non-improvements as evidence of failure to progress. Another second

probationary (max. 6–week) period will be the final evaluation period. If performance or productivity deficiencies persist at the end of the formal (maximum) 12-week probationary period, it is the prerogative of the research advisor to terminate the student-advisor research relationship. At termination of both probationary periods (maximum 12 weeks), the student is provided a written permission from the advisor to either continue in their specific research program or for dismissal from that advisor/mentor's group based on specific cited criteria for poor productivity, poor performance, sub-optimal motivation or failure to progress. The faculty advisor will notify the student (as well as the supervisory committee), in writing, giving reasons for the termination of the student-advisor relationship, indicating a formal termination date at least 15 days after the date of the letter. A copy of the letter should be sent to both the Director of Graduate Studies and Department Chair. If the student is being paid as a Research Assistant (R.A.), the student should be kept on the payroll for 15 days after the date of the notification letter to allow time to obtain a new research director, unless a new research director puts the student on a payroll before the end of the 15 days.

A student who wants to leave a research group should give the faculty advisor 30 days written notice outlining the reasons for leaving the group. During the 30 days, all experimental work should be brought to a point where it could be easily passed on to a new person through full disclosure of technical details in writing, and know-how in person if relevant. All notebooks and data should be returned to the research advisor before the student is put on another faculty member's payroll or within the 30-day notice period, whichever comes first. Students should be aware that it is impossible to make T.A. appointments for surrogate support measures in mid-semester and should plan accordingly.

When changing a thesis lab, the student (in good academic standing) must contact the Director of Graduate Studies as early as possible before they make arrangements to leave a thesis lab. This is to ensure the student understands the potential liabilities of the transition, including issues obtaining a degree, tuition support, stipends, health insurance and potentially visa status. Faculty must provide their student up to 4 weeks of financial support to facilitate their active search/transition to another lab. The former faculty supervisor must submit to the Department Office, an email detailing the length of support the parties have agreed upon. However, as soon as the new lab/PI has agreed to take the student, the student and PI must contact the Department office, and financial responsibility for student support transfers to the new PI/advisor. The student is ultimately responsible for ensuring all Graduate School and departmental requirements are met and forms are submitted for the transition. As a matter of policy, the Department does not provide or guarantee on-going stipend support for students as they rotate to find a new thesis lab. Under rare circumstances, the Department may consider such support, but this must involve discussions in advance with the Department Chair.

It is the student's responsibility to identify a faculty advisor willing to advise and mentor the student during the pursuit of their PhD. If, after the termination of a student-faculty research relationship, the student is unable to identify a new faculty member willing to undertake this role, the student will be dismissed from the program. Upon dismissal, any remaining program funding to the student will cease.

Teaching Assistant Performance

Students holding Teaching Assistant positions are expected to perform competently and conscientiously in that role. TA's will receive periodic evaluations of their job performance, will be notified of any deficiencies, and will be monitored for improvement in job fulfillment. TA's who fail to meet their responsibilities after notice of deficiencies and an opportunity to improve may be terminated from their TA position. The Department of Pharmaceutics and Pharmaceutical Chemistry follows University of Utah policies delineated in University Policy 6-309 for the termination of an educational trainee position (<https://regulations.utah.edu/academics/6-309.php>).

This policy does not supersede current student rights accorded by the University's Policy and Procedures Manual (PPM), and its references to student participation in formal Family Leave or Medical Leave policies and procedures.

XI. ACADEMIC MISCONDUCT

All students matriculated at the University of Utah have specific rights and important professional responsibilities and expectations. The purpose of this document and the associated department academic integrity pledge is to inform students of these rights and responsibilities, as well as due process for accusations of violations of policy and procedure. Please refer to [Policy 6-400: Code of Student Rights and Responsibilities](#), here forth referred to as "Student Code".

Academic standards for all students in Pharmaceutics and Pharmaceutical Chemistry:

1. GPA of 3.0 or higher must be maintained.
2. Students must earn a grade of B- or higher in all core and elective courses. Core courses with lower grades than B- must be repeated.
3. Laboratory rotations, when applicable, must be satisfactorily completed.
4. The Department has a 'zero tolerance' policy for academic misconduct. To this end, students are expected to sign the Department's academic integrity pledge (provided in Section XIV of this document) upon matriculation, in which they pledge to conduct their graduate studies in a manner consistent with academic integrity in thought and deed, in coursework and in research. Students should be particularly aware of the implications and consequences of plagiarism and data falsification. Dishonesty or misconduct is defined by the National Academy of Sciences, the University of Utah Student Code, or this policy statement. Cheating, plagiarism, and other forms of academic dishonesty are defined below. Academic integrity in all work associated with your degree program (i.e., didactic coursework, research, representation of the university as a professional scientist) is expected.

Action will be taken in cases of failure to meet academic standards that may include grade reduction, failing grade, probation, or dismissal from the University. Note that several students have been expelled from the University of Utah in recent years for academic honesty violations. In other words, this situation is not to be taken lightly. There are expectations and due process associated with academic integrity and professional conduct as a graduate student.

DEFINITIONS

National Academy of Sciences Definition of Misconduct in Science:

Misconduct in science is defined as fabrication, falsification, or plagiarism, in proposing, performing, or reporting research. Misconduct in science does not include errors in the recording, selection, or analysis of data; differences in opinions involving the interpretation of data; or misconduct unrelated to the research process.

Definitions as used in the Student Code (see Section 1.B):

A. "Academic action" means the recording of a final grade (including credit/no credit and pass/fail) in a course, on a comprehensive or qualifying examination, on a culminating project, or on a dissertation or thesis. It also includes a decision by the appropriate department or college committee to place a student on academic probation, or to suspend or dismiss a student from an academic program because the student failed to meet the relevant academic standards of the discipline or program. Academic action does not include academic sanctions imposed for academic dishonesty or for specific violations of professional and ethical standards of the profession or program for which the student is preparing.

B. "Academic dishonesty" includes, but is not limited to, cheating, misrepresenting one's work, inappropriately collaborating, plagiarism, and fabrication or falsification of information, as defined further below. It also includes facilitating academic dishonesty by intentionally helping or attempting to help another to commit an act of academic dishonesty.

1. "**Cheating**" involves the unauthorized possession or use of information, materials, notes, study aids, or other devices in any academic exercise, or the unauthorized communication with another person during such an exercise. Common examples of cheating include, but are not limited to, copying from another student's examination; submitting work for an in-class exam that has been prepared in advance; violating rules governing the administration of exams; having another person take an exam; altering one's work after the work has been returned and before resubmitting it; violating any rules relating to academic conduct of a course or program.
2. "**Misrepresenting one's work**" includes, but is not limited to, representing material prepared by another as one's own work; submitting the same work in more than one course without prior permission of both faculty members.
3. "**Plagiarism**" means the unacknowledged use or incorporation of any other person's work in, or as a basis for, one's own work offered for academic consideration or credit, or for public presentation. Plagiarism includes, but is not limited to, representing as one's own, without attribution, any other person's words, phrasing, ideas, sequence of ideas, information or any other mode or content of expression. It does not include honest error.
4. "**Fabrication or falsification**" includes reporting experiments or measurements or statistical analyses never performed; manipulating or altering data or other manifestations of research to achieve a desired result; falsifying or misrepresenting background information, credentials or other academically relevant information; and selective reporting, including the deliberate suppression of conflicting or unwanted data. It does not include honest error or honest differences in interpretations or judgments of data and/or results.

C. "Academic misconduct" includes academic dishonesty, violations of the professional or ethical standards for the profession or discipline for which the student is preparing or other specific misconduct that demonstrates unfitness for such profession or discipline.

D. "Academic sanction" means a sanction imposed on a student for engaging in academic misconduct. It may include, but is not limited to, requiring a student to retake an exam(s) or rewrite a paper(s), a grade reduction, a failing grade, suspension or dismissal from the program or the University. It may also include notification of the appropriate professional or licensing body of the profession or discipline for which the student is preparing.

More on Plagiarism:

Copying verbatim from some source without demarking the text is considered to be plagiarism. If copying word-for-word from a source (textbook, literature, web, thesis, etc.), short phrases should be put in quotes, followed by the source. Longer phrases (couple of sentences) should be indented, followed by the source. Copying verbatim of large sections of text from other sources is discouraged. Use of material that constitutes "common knowledge" may not require citation but this must be carefully considered. Graphics, figures, schemes, and tables published by others may be used with appropriate citation and attribution (and also with permission of the publisher where required). *It is safer to attribute graphic, tables, definitions and technical descriptions to previously published work as formal citations.* Wikipedia and many other web-based resources are not peer-reviewed, validated sources of technical or scientific information and *should not be cited* as primary sources. All URL sourcing should include the full URL address and date accessed. When in doubt about plagiarism, please ask the advice of the instructor in charge of the class.

Plagiarism also can occur in seminars. Sometimes a student will present data or a diagram in a seminar that is not his/her own work, and not reference where the data comes from. This is also a form of plagiarism.

Consequences of Academic Misconduct

The University Student Code allows some flexibility on consequences. In particular, it states that sanctions *"including but not limited to a grade reduction, failing grade, probation, suspension or dismissal from the program or the University, or revocation of the student's degree or certificate"*

Regarding sanctions that can be imposed by an individual faculty member who observed misconduct in his/her course(s), the University Student Code states that *"Such sanctions may include requiring the student to rewrite a paper(s) or retake an exam(s), a grade reduction, a failing grade for the exercise, or a failing grade for the course (8). In no event shall the academic sanction imposed by the faculty member be more severe than a failing grade for the course."* More serious sanctions (e.g., "suspension or dismissal from the program or the University") require more levels of due process: *"If the faculty member, chair or vice president believes that the student's academic misconduct warrants an academic sanction of probation, suspension or dismissal from a program, suspension or dismissal from the University, or revocation of a student's degree or certificate, he/she may, within thirty (30) business days of receiving notice of the misconduct, prepare a complaint with recommendations, refer the matter to the chair or dean's designee of the student's home department or college,(12) and notify the student of the complaint and recommendation. The chair and/or dean's designee of the home department/college may undertake an investigation of the allegations and recommendations set forth in the complaint. Within ten (10) business days of receipt of the complaint, the chair and/or dean's designee shall forward the complaint and recommendation to the Academic Appeals Committee of the home college for proceedings in accordance with Section C, below, and so notify the student in writing."*

Section V of the **Student Code** covering student academic conduct is included below in its entirety for your perusal. This document serves to inform all graduate students in the Department of Pharmaceutics and Pharmaceutical Chemistry of their rights and responsibilities in their academic conduct.

Section V: Student Academic Conduct

A. Standards of Academic Conduct

In order to ensure that the highest standards of academic conduct are promoted and supported at the University, students must adhere to generally accepted standards of academic honesty, including but not limited to refraining from cheating, plagiarizing, research misconduct, misrepresenting one's work, and/or inappropriately collaborating.

B. Academic Misconduct

A student who engages in academic misconduct as defined in Part I.B. may be subject to academic sanctions including but not limited to a grade reduction, failing grade, probation, suspension or dismissal from the program or the University, or revocation of the student's degree or certificate. Sanctions may also include community service, a written reprimand, and/or a written statement of misconduct that can be put into an appropriate record maintained for purposes of the profession or discipline for which the student is preparing.

- 1. Any person who observes or discovers academic misconduct by a student should file a written complaint with the faculty member responsible for the pertinent academic activity within thirty (30) business days of the date of discovery of the alleged violation.*
- 2. A faculty member who discovers or receives a complaint of misconduct relating to an academic activity for which the faculty member is responsible shall take action under this code and impose an appropriate sanction for the misconduct.*

3. Upon receipt of a complaint or discovery of academic misconduct, the faculty member shall make reasonable efforts to discuss the alleged academic misconduct with the accused student no later than twenty (20) business days after receipt of the complaint, and give the student an opportunity to respond. Within ten (10) business days thereafter, the faculty member shall give the student written notice of the academic sanction, if any, to be taken and the student's right to appeal the academic sanction to the Academic Appeals Committee for the college offering the course. Such sanctions may include requiring the student to rewrite a paper(s) or retake an exam(s), a grade reduction, a failing grade for the exercise, or a failing grade for the course⁽⁸⁾. In no event shall the academic sanction imposed by the faculty member be more severe than a failing grade for the course.
4. If the faculty member imposes the sanction of a failing grade for the course, the faculty member shall, within ten (10) business days of imposing the sanction, notify in writing, the chair⁽⁹⁾ of the student's home department⁽¹⁰⁾ and the senior vice president for academic affairs or senior vice president for health sciences, as appropriate, of the academic misconduct and the circumstances which the faculty member believes support the imposition of a failing grade. If the sanction imposed by the faculty member is less than a failing grade for the course, the faculty member should report the misconduct to the dean or chair of the student's home department or college.⁽¹¹⁾ Each college shall develop a policy specifying the dean and/or the chair as the appropriate person to receive notice of sanctions less than a failing grade for the course.
5. A student who believes that the academic sanction given by the faculty member is arbitrary or capricious should discuss the academic sanction with the faculty member and attempt to resolve the disagreement. If the student and faculty member are unable to resolve the disagreement, the student may appeal the academic sanction to the Academic Appeals Committee for the college offering the course within fifteen (15) business days of receiving written notice of the academic sanction.
6. If the faculty member, chair or vice president believes that the student's academic misconduct warrants an academic sanction of probation, suspension or dismissal from a program, suspension or dismissal from the University, or revocation of a student's degree or certificate, he/she may, within thirty (30) business days of receiving notice of the misconduct, prepare a complaint with recommendations, refer the matter to the chair or dean's designee of the student's home department or college,⁽¹²⁾ and notify the student of the complaint and recommendation. The chair and/or dean's designee of the home department/college may undertake an investigation of the allegations and recommendations set forth in the complaint. Within ten (10) business days of receipt of the complaint, the chair and/or dean's designee shall forward the complaint and recommendation to the Academic Appeals Committee of the home college for proceedings in accordance with Section C, below, and so notify the student in writing. The chair and/or dean may accompany the complaint with his/her own recommendation supporting or opposing the sanction sought in the complaint. The person initiating the original complaint continues as the complainant in the case unless that person and the chair/dean's designee both agree that the latter shall become the complainant. If the student has appealed the academic sanction imposed by the faculty member, the time periods set forth in this paragraph may be extended until ten (10) business days after the resolution of the student's appeal.
7. If a department chair, the dean, the senior vice president for academic affairs and/or the senior vice president for health sciences, become aware of multiple acts of academic misconduct by a student, they or their designees may, within thirty (30) business days after receiving notice of the last act of misconduct,⁽¹³⁾ prepare a complaint with recommendations for probation, suspension or dismissal from a program, suspension or dismissal from the University, or revocation of a degree or certificate, and refer the matter to the Academic Appeals Committee of the student's home college⁽¹⁴⁾ for proceedings in accordance with Section C, below, and so notify the student in writing.

C. Proceedings Before the Academic Appeals Committee

1. *Written Complaint and Recommendations or Appeal.* The written complaint and recommendations or the written appeal shall be delivered to the chair of the Committee, with a copy to the other party.
2. *Response to Complaint and Recommendations or Appeal.* The person responding to the complaint and recommendations or the appeal may deliver his/her response to the chair of the Academic Appeals Committee, with a copy to the other party, no later than five (5) business days after receipt of the complaint and recommendations.
3. *Makeup of the Committee.* The dean of each college shall ensure that an Academic Appeals Committee is constituted according to college procedures, subject to the following parameters. Two faculty members shall come from the college. The Personnel and Elections Committee of the Academic Senate shall appoint one faculty member from outside the college. The faculty members shall be appointed to the Committee for staggered three-year terms. The dean shall appoint two undergraduate student members and two graduate student members who are either from the relevant Student Advisory Committee or listed as a major within the college. Undergraduate student and graduate student members will be appointed for staggered two-year terms.⁽¹⁵⁾ No more than one faculty member and two Committee members in total may come from the same department in a multi-department college. The members of the Committee who shall hear the case are the three faculty members and the two students from the peer group of the student accused of academic misconduct (i.e., undergraduates or graduates). The dean shall designate one of the faculty members to serve as chair of the Committee. The Committee shall establish internal procedures consistent with the Student Code.
4. *Conflicts of Interest.* Upon written request of one of the parties or Committee members, the dean may excuse any member of the Committee if the dean determines that the member has a conflict of interest. The dean shall select an appropriate replacement for the excused member (i.e., student or faculty member).
5. *Scheduling Hearings Before the Committees.* When a complaint and recommendations or an appeal, together with a response, are filed in a timely manner, the Committee chair shall schedule a hearing date if:
 - a. The documents raise material issues of disputed fact;
 - b. The Committee chair determines that a hearing is necessary or otherwise desirable to aid in the resolution of the issues; or
 - c. The possible sanctions against the student may include dismissal from the University, dismissal from a program, suspension from either for longer than ten (10) business days, or revocation of the student's degree or certificate.

If the Committee chair determines that no circumstances exist that require a hearing, as provided above, the chair shall notify the student and the faculty member (the parties) in writing of this determination and convene a closed meeting of the Committee to consider the documentation submitted by the parties. The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the dean of the college, or designee, within ten (10) business days after the Committee meeting.
6. *Notice of Hearings Before Committees.* If the Committee chair determines that a hearing is required, the chair shall schedule a hearing date and notify the parties in writing of the date of the hearing, the names of the Committee members, and the procedures outlined below at least fifteen (15) business days prior to the hearing.
7. *Hearing Procedures.* Hearings shall be conducted according to the following procedures:
 - a. Hearings shall be conducted within a reasonable time after the Committee's receipt of the written complaint and recommendations or the written appeal, and the response.

- b. *At least five (5) business days prior to the date of the hearing, the parties shall make available to each other and to the Committee a list of their witnesses and a list of the documents to be offered at the hearing. In exceptional circumstances, the Committee may allow a party to call witnesses not listed or submit additional documents at the hearing.*
- c. *The parties have a right to be accompanied by any person as advisor, including legal counsel, who will be permitted to attend, but not directly participate in, the proceedings.*
- d. *Hearings shall be closed to the public.*
- e. *All hearings, except Committee deliberations and voting, shall be recorded and a copy made available to any party upon request. Committee deliberations and voting shall take place in closed sessions.*
- f. *The Committee must have a quorum present to hold a hearing. A quorum consists of three (3) members, including at least one (1) student and the faculty member from outside the college. If there is more than one hearing in a matter, or if the hearing continues over more than one session, the same three members must be present for all sessions. All findings and recommendations of the Committee shall require a majority vote of the Committee members present at the hearing.*
- g. *At the hearing, the parties shall have the right to present questions to witnesses through the Committee chair, to present evidence and to call witnesses in their own behalf, in accordance with the Committee's established internal procedures.*
- h. *The Committee shall not be bound by strict rules of legal evidence or procedure and may consider any evidence it deems relevant.*
- i. *University legal counsel shall serve as a resource to the Committee and may be present at the hearing to provide guidance on substantive law and procedural matters.*
- j. *In the hearing, the Committee must determine, by a preponderance of the evidence, whether the student engaged in the alleged academic misconduct. If the Committee answers this question in the affirmative, the Committee may then recommend any academic sanction it deems appropriate under the entire circumstances of the case, including but not limited to suspension or dismissal from the program or the University, or revocation of a student's degree or certificate.*
- k. *The Committee shall make its findings and recommendations based only on evidence and testimony presented by the parties at the hearing. Committee members shall not conduct their own investigations, rely on prior knowledge of the facts or develop their own evidence.*
- l. *If either party presenting to the Academic Appeals Committee fails to attend the hearing without good cause, the Committee may proceed with the hearing and take testimony and evidence and report its findings and recommendations to the dean of the college, or designee, on the basis of such testimony and evidence.*
- m. *The Committee chair shall prepare a written report of the Committee's findings and recommendations and present it to the dean of the college, or designee, within ten (10) business days after the conclusion of the hearing. A report that recommends sanctions no more serious than a failing grade, shall be presented to the dean of the college offering the course. Reports recommending sanctions greater than a failing grade (e.g. suspension or dismissal) shall be presented to the dean of the student's home college.⁽¹⁶⁾*

D. Review and Decision by the Dean or Designee

1. *The dean of the college, or designee, shall consider the documentation submitted to the Committee and the findings and recommendations of the Committee in making a decision.*

Based upon such review, and without conducting further hearings, the dean of the college, or designee, shall, within ten (10) business days, take one of the following actions:

- a. *For any recommendation other than dismissal or suspension from the University or revocation of a degree or certificate, accept the Committee's findings and recommendations and impose the recommended sanctions;*
 - b. *For a recommendation of dismissal or suspension from the University or revocation of a degree or certificate, concur with the Committee's findings and recommendations and refer the matter with a confirming recommendation to the cognizant vice president for a decision;*
 - c. *Return the report to the Committee chair⁽¹⁷⁾, requesting that the Committee reconvene to reconsider or clarify specific matters, materials, and issues, and forward to the dean of the college, or designee, a second report of its findings and recommendations relating to the specific matters referred by the dean of the college, or designee, for further consideration. (If a report to the dean recommends sanctions greater than a failing grade and has originated from a Committee outside of the dean's college, the dean may refer the matter to the chair of his/her own college Academic Appeals Committee for further review and recommendations.); or*
 - d. *Reject all or parts of the Committee's findings and recommendations, stating reasons and actions to be taken therefore. The dean may impose (or recommend to the cognizant vice president) a greater or lesser sanction than recommended by the Committee.*
2. *Written notification of the dean's, or designee's, decision shall be communicated to the parties, to the chair of the Academic Appeals Committee and to the cognizant senior vice president within ten (10) business days of receipt of the Committee's findings and recommendations.*
 3. *The dean's, or designee's, decision is final unless appealed to the cognizant senior vice president within ten (10) business days.*
- E. *Appeal to Cognizant Senior Vice President (or to the President when appropriate)⁽¹⁸⁾*

Within ten (10) business days of receipt of the dean's, or designee's, decision, any party may appeal the decision by filing a written notice of appeal with the senior vice president for academic affairs or the senior vice president for health sciences, as appropriate, and delivering a copy to the other party. The other party may file a response to the appeal with the vice president within five (5) business days of receipt of the appeal. In the case of an appeal:

1. *The vice president shall consider the appeal and response to the appeal, and may solicit whatever counsel and advice the vice president deems appropriate to arrive at a final decision. The vice president may also convene an ad hoc committee composed of students and faculty members from outside the college or department to determine if there were substantial defects that denied basic fairness and due process. After receiving the appeal, the vice president shall, within ten (10) business days, or within twenty (20) business days if an ad hoc committee is formed, take one of the following actions:*
 - a. *Accept the decision of the dean of the college or his/her designee;*
 - b. *Return the report to the dean of the college, or his/her designee, requesting that he/she clarify specific matters, materials and issues, and forward to the vice president a second report of his/her decision relating to the specific matters referred by the vice president for further explanation; or*
 - c. *Reject all or parts of the dean's, or designee's, decision, stating reasons and actions for imposing a greater or lesser sanction than determined by the dean.*
2. *Written notification of the vice president's decision and the basis for that decision shall be communicated to the parties, to the chair of the Academic Appeals Committee and to the*

dean within ten (10) business days after receipt of the appeal, or within twenty (20) business days after receipt of the appeal if an ad hoc committee is formed.

3. The decision of the vice president is final.

F. *Suspension or Dismissal from a Program or from the University, or Revocation of a Degree or Certificate*

The sanctions of suspension and dismissal and revocation for academic misconduct may be imposed: (1) if recommended by the Academic Appeals Committee to the dean; (2) if deemed appropriate by the dean notwithstanding the recommendation from the committee; or (3) by the cognizant vice president notwithstanding the decision (or recommendation) of the dean. A student who has been suspended or dismissed from the University shall be denied all privileges accorded to a student.

1. *Suspension from a Program or from the University.*

- a. *Suspension shall be for a minimum time of one semester following the semester the student is found responsible for academic misconduct.*
- b. *The dean of the relevant college shall notify the student in writing of the suspension, conditions for reinstatement, and of the obligation of the student to petition for reinstatement.*
- c. *Petitions for reinstatement shall be submitted to the relevant dean and shall explain how the conditions for reinstatement have been met.*
- d. *The relevant dean shall consider the petition and shall issue a decision regarding the student's reinstatement within fifteen (15) business days of receipt of the petition.*
- e. *The relevant dean may grant conditional reinstatement contingent upon the student meeting written requirements specified in the original sanction (e.g., minimum grade point average requirement, ineligibility to participate in specified student activities or on specified student committees).*
- f. *The notice of the dates for which the student is suspended will remain on his/her transcript until he/she has been reinstated to the program or to the University, or for five (5) years if he/she is not reinstated to the program or to the University. [See [Procedure 6-400-Sec.VII #1](#)]*

2. *Dismissal from a Program or from the University.*

- a. *Dismissals from a program or from the University are final. A student dismissed from a program or from the University for academic misconduct may not petition for reinstatement.*
- b. *Permanent records of dismissal shall be kept in the office of the registrar.*
- c. *The dismissed student's transcript will reflect his/her dismissal. [See [Procedure 6-400-Sec.VII #1](#)]*
- d. *Dismissal should be reserved for only the most egregious of offenses.*

3. *Revocation of a Degree or Certificate.*

- a. *Decisions to revoke a degree or certificate are final.*
- b. *Permanent records concerning the revocation of a degree or certificate shall be kept in the office of the registrar.*
- c. *The revocation of a degree or certificate shall be noted on the student's transcript. [See [Procedure 6-400-Sec.VII #1](#)]*
- d. *Revocation of a degree or certificate should be reserved for only the most egregious of offenses.*

G. Copies of Documents to Department Chair

During the appeals process and at the time they are submitted, the following documents should be copied to the chair of the department considering the academic misconduct: the first written complaint and recommendations, the first written appeal, all subsequent appeals, all responsive documents, and all written recommendations or decisions made at each level of the appeal.

H. Programs That Do Not Report to Academic Deans

In cases where a program does not report directly to an academic dean, the program director will serve as department chair, and the cognizant associate vice president will serve as dean for purposes of these proceedings. Any ambiguity concerning procedures set forth in this policy for courses offered in a program (e.g. determination of the relevant Academic Appeals Committee) shall be resolved by the program director, in consultation with the cognizant associate vice president, and in a manner that preserves the spirit and intent of this policy.

I. Implementation of Sanction for Academic Misconduct

At the conclusion of the appeals process, the chair of the department or dean of the college considering the academic misconduct shall take appropriate action to implement the final decision. If the student is found responsible for academic misconduct, the chair or dean shall notify, in writing, the student's department or program of study of the violation, the proceedings, and the final decision.⁽¹⁹⁾ If the sanction involves suspension or dismissal from a program or from the University or revocation of a degree or certificate, the chair or dean shall also convey the decision to the office of the registrar for notation on the transcript. [See [Procedure 6-400-Sec.VII #1](#)]

J. Reporting of Academic Misconduct

No University employee shall provide information to a person or entity concerning a student's academic misconduct without fully complying with The Family Educational Rights and Privacy Act ([20 U.S.C.A. § 1232g](#)) and the Government Records Access and Management Act ([Utah Code Title 63G - Chapter 2](#)). In most circumstances, such as requests from a licensing body or an employer, information may only be provided with the prior written consent of the student. In some circumstances, however, such as requests from other institutions where the student seeks or intends to enroll, information may be provided without the consent of the student but only after following appropriate procedures outlined in these statutes.

K. Other University Proceedings

If the filing of a complaint or an appeal relating to academic misconduct raises other issues concerning behavioral or professional misconduct, the cognizant senior vice president, or designee, the dean of students, and the involved University administrator shall determine the appropriate procedure(s) for processing the complaint or the appeal.

L. Retention of Records of Proceedings

Records of proceedings under the Student Code shall be confidential to the extent permitted by law. Records of academic misconduct shall be kept in the office of the registrar, and a copy may be retained in other academic departments as appropriate.

NOTE: While some content herein is recommendation for best practices as a graduate student in the Department, other university and department policies described in this Handbook are intended to be read, understood and followed by all department graduate students. Violations of university and department policies are grounds for immediate dismissal from the program.

XII. Useful Department Hyperlinks

1. [Pharmaceutics & Pharmaceutical Chemistry Course Listings](#)
2. [Pharmaceutics and Pharmaceutical Chemistry Ph.D. Program Timeline](#)
3. [Pharmaceutics and Pharmaceutical Chemistry Department Forms](#)

XIII. Safety Memo

MEMORANDUM FOR ALL LAB MEMBERS, including rotation students

To: Owen Research Group

From: Shawn C. Owen, Ph.D.

Subject: Lab and Group Safety

September 1, 2020

Remarks: Safe laboratory conditions and operating procedures are primarily the collective responsibility of all personnel working in the laboratories: it is your obligation to see that both you and your fellow lab-mates follow safe operating procedures at all time. It is also your individual responsibility to bring unsafe situations or practices to my attention for mitigation.

Specific safety requirements are detailed at <http://oehs.utah.edu/> for all research workers. You are asked to remain vigilant in your routines to abide by these guidelines:

1. Laboratory benches, hoods, and aisles will be kept neat, clean, and free of obstructions. Glassware will be cleaned and returned to its proper storage area at least daily. Solvent cans will be returned to safety cabinets immediately after use, if flammable, or stored under benches out of the way if not. Common areas (balances, vacuum ovens, cell culture room) will be kept free of clutter and sharps.
2. All condenser hoses will be pinch-clamped or double clamped to prevent the possibility of loosening and causing flooding.
3. All gas cylinders will be secured at all times, and capped when not in use.
4. Toxic chemicals will be handled with care and in hoods at all times.
5. All waste will be placed in appropriate containers, records of content will be maintained, and procedures for removal will be instituted regularly, so that waste does not accumulate in the labs.
6. Safety glasses will be worn at all times in the labs. Food is allowed only in designated areas.
7. Belt guards will remain in place on vacuum pumps at all times. Vacuum oil will be disposed of.
8. Worn equipment will be repaired or discarded; frayed electrical cords will be replaced when detected.
9. Hazardous chemicals and radiation will be labeled, handled, and stored in a manner consistent with Utah policies.
10. You will remain vigilant to possible sources of safety problems and attempt to remedy them.

- I have read and understood the above, as well as safety policies at the University of Utah as described at <http://oehs.utah.edu/>.
- I understand the chemical hygiene plan, radiation and biosafety issues in the lab.
- I am committed to maintaining a safe working environment and accept the responsibility for safe laboratory practices as mandated by the University safety policies and procedures.
- I have also taken the required training and refresher courses as mandated under University policy.

Sign _____

Date: _____

Print Name: _____

Sign _____

Date: _____

Print Name: _____

XIV. **ACADEMIC STANDARDS, INTEGRITY AND PROFESSIONAL CONDUCT
PLEDGE FOR ALL STUDENTS IN THE DEPARTMENT OF PHARMACEUTICS
AND PHARMACEUTICAL CHEMISTRY**

I acknowledge that I have received a copy of the Academic Standards Policy for Students in the Department of Pharmaceutics and Pharmaceutical Chemistry, and that it is my responsibility to read and understand this statement and to follow the rules described for academic conduct. I also acknowledge and agree that it is my responsibility to ask questions about anything I do not understand.

I pledge to follow the Honor Code below and to obey all rules for (1) taking exams and performing homework assignments as specified by the course instructor; (2) taking the Department's written comprehensive exam as specified by the Department's comprehensive exam coordinator; (3) undertaking the duties of a Teaching Assistant for any specified course; (4) taking the Department's preliminary exam (research proposal defense) as specified by the chair of my preliminary exam committee; and (5) writing and defending my M.S. thesis and/or Ph.D. dissertation. I understand that when asked to follow the Honor Code on exams, homework, other assignments, comprehensive exam, preliminary exam, and writing and defending my M.S. thesis and/or Ph.D. dissertation, I must follow the rules below:

1. In my classwork, I will work entirely alone on homework assignments and examinations, and will NOT plagiarize text from any other person's work. I will NOT share information about any aspect of the exam with other students, other faculty members, or other scientists. I will direct all questions concerning the exam or homework/assignment to the course instructor or teaching assistant. All work I submit for my grading shall be a product of my own creation, analysis, formulation and thinking, and all work otherwise assisted by others shall be so designated clearly in writing.
2. As a teaching assistant I will only divulge information necessary for the student's understanding of a specific question on the exam (as opposed to information that directly provides the answer). In order to maintain fairness, I will provide any such information to other students as well. If I am in doubt about such questions, I will consult the course instructor for clarification.
3. For my comprehensive exam, I will work entirely alone on the assigned questions and will NOT plagiarize text from any other person's work. I will NOT share information about my comprehensive exam questions with other students at ANYTIME while enrolled as a graduate student in the Department. I will direct all questions concerning the exam to the Department's comprehensive exam coordinator. All work I submit for my grading shall be a product of my own creation, analysis, formulation and thinking, and all work otherwise assisted by others shall be so designated clearly in writing.
4. For my preliminary exam, I will write the proposal entirely on my own and will NOT plagiarize text from any other person's work. I will direct all questions concerning the exam to the chair of my preliminary exam committee. All work I submit for my grading shall be a product of my own creation, analysis, formulation and thinking, and all work otherwise assisted by others shall be so designated clearly in writing.
5. I understand that all student work for coursework assignments and dissertation research must conform with University and department plagiarism policies.
6. I understand that plagiarism is grounds for dismissal from the department, program, and university.
7. In addition, I realize that professional conduct and integrity also extend to all of my research work, my representation of scientific data and results, my interpretation of results, and my professional descriptions of data and results as they are published in the peer-review

literature. This process has been described in National Academy of Science definitions and descriptors that I have read and understood.

8. In writing and defending my M.S. thesis and/or Ph.D. dissertation I will NOT fabricate or falsify my data, misrepresent my work, or plagiarize text from any other person's work.
9. I understand that it is my responsibility to obtain clarification from the Department's director of graduate studies or other cognizant faculty member if there are questions concerning the requirements of the Honor Code, and my rights and responsibilities as a student enrolled at the University of Utah.

Student signature: _____

Student name (print): _____

Date: _____