

ACADEMIC POLICIES

College of Dentistry Graduate Academic Policies

Appeal of Grades Policy

If an NYU Dentistry student believes he/she has received an inappropriate grade due to an error in calculation or due to capricious grading, he/she may provide a written appeal to the Course Director or Program Director within 5 business days of receiving the contested grade. The Course Director or Program Director will send a written response to the student via email within 5 business days. If the appeal is denied, the student may choose to proceed to the Department Chair.

If a satisfactory resolution is not reached, the Department Chair may submit a request for review of the appeal by the Associate Dean for Academic Affairs (DDS) or Associate Dean of Postgraduate (PG) Programs (PG/MS) who will, in turn respond within 5 business days.

Transfer and Articulation Agreements

Transfer credits for students in graduate programs at the College of Dentistry are not accepted.

Withdrawals

DDS, Advanced Education, and Masters students seeking to withdraw from one, or all courses, should consult his/her program director or associate dean.

Standards of Conduct

Details on the NYU Dentistry Standards of Conduct can be found on each individual program policy page.

Redress of Grievances

The College of Dentistry follows the student grievance policies and procedures set forth by the University. See Student Grievance Procedure (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/student-grievance-procedure.html>) for more information. See Policies and Guidelines (<https://dental.nyu.edu/aboutus/policies-and-guidelines.html>) for additional information specific to the College of Dentistry.

For CODA accredited programs, students have the right to file a formal complaint based on accreditation standards of their program. A copy of the appropriate accreditation standards and/or the Commission's policy and procedure for submission of complaints may be obtained by contacting the Commission at 211 East Chicago Avenue, Chicago, IL 60611-2678 or by calling 1-312-440-4653.

Policies for DDS Program

Residency Requirements

All graduate students at the College of Dentistry are required to take all courses in residence at the College.

Graduation

Requirements for Graduation (DDS Program)

Graduation from NYU Dentistry is based on achievement of the following:

1. Passing all courses and completing all discipline requirements including all clinical assignments and rotations scheduled through the end of the academic year;

2. Passing the INBDE;
3. Meeting the requirements that demonstrate competency in all of the measures defined by the faculty; and,
4. Meeting all obligations to NYU.

Delayed Graduation or Requirement to Repeat the Year Due to Unresolved D3 Clinical Deficiencies

The Class Promotions Committee will monitor D4 didactic and clinical progress throughout the academic year. A student who is found to be significantly clinically deficient at any point in the year may be subject to repeating the academic year or dismissal.

Transfer and Articulation Agreements

Transfer credits for students in graduate programs at the College of Dentistry are not accepted.

Grading

Grading Policy (DDS Program)

Grades

Grades in the College are: A, B, C, D, and F. In order to pass a course that is graded with a letter grade, the student must obtain a "C" in the course. The "D" grade signifies a marginal failure and indicates that the student may be eligible to remediate that course. Students who accrue up to two "D" grades and no "F" grades in an academic semester (based on course end date) are eligible for remediation. Courses that are graded on a pass-fail basis, receive grades of "H, P, P/F and F". A grade of "H" in a P/F course may be offered at the discretion of the course director and department chair.

The "C-" grade is reserved for students who have passed a letter graded remedial course, while P/F is the grade awarded to a student who passes a pass/fail remedial course. Additionally, faculty may use grades of "I, Y, and W". "I" and "Y" grades are conditional grades that indicate coursework has not been completed due to an exceptional circumstance. These are not final grades. W (Withdrawal) is for administrative use only to record the disposition of a course when a student is registered and does not complete the course in accordance with the appropriate College or University policy.

Grade Key

A = 4.0, B=3.0, C = 2.0, C- = 1.7 and F = 0 The "D" grade is not computed in the GPA as it is converted to either a "C-" or an "F" at the end of the remediation period. H = Honors, P = Pass, F = Fail, W= withdrew prior to evaluation.

Modification of Grades

Faculty may use a plus "+" to modify grades of "A", "B" and "C". In addition, faculty may use a minus "-" to modify grades of "A" and "B". The use of a plus with a grade increases the grade point value by 0.3 and a minus will decrease the value by 0.3. Thus, a grade of "C+" = 2.3, "B+" = 3.3, an "A-" = 3.7 and so on. A grade of "A" can be modified with a "+" but without an increase in the grade-point value. A grade of "C" may be modified with a + but may not be modified by a minus as part of an original course grade. The "C"-grade is solely reserved for successfully remediated "D" grades.

Passing Grades

Grade	Description
A+	96.495 - 100
A	92.495 - 96.494
A-	89.495 - 92.494
B+	86.495 – 89.494

B	82.495 – 86.494
B-	79.495 – 82.494
C+	75.495 – 79.494
C	69.495 – 75.494 (69.495 is the minimum PASSING grade)* In certain courses, the minimum passing grade will be 74.495; see section on "Minimum passing grade" below.
C-	highest possible passing grade after didactic course remediation

Failing Grades

Grade	Description
D	59.495 – 69.494 is a FAILURE that IS eligible for remediation (up to a maximum of 2 "D" grades with no "F" grades per academic semester)
F	grade is less than or equal to 59.494 – this is a FAILURE that is NOT eligible for remediation

*This grading table also applies to the didactic portion of pre-clinical courses.

Clinical Course Grades

Clinical courses may be letter graded or Pass/Fail at the discretion of the Course Director and Department Chair. The grading rubric for each clinical course and the specific requirements for achieving specific grades are detailed in each clinical course syllabus. Students MUST successfully pass all competencies that are assessed in a given course in order to achieve a passing grade.

Grading When Coursework is Incomplete

I: (incomplete didactic or pre-clinical course grade) indicates that while the regular course of study has ended, the student has required assignments that have not been completed. An "I" grade can be utilized only for didactic or laboratory/ simulation courses. A grade of "I" in a didactic course requires extra work, which must be completed within 4 weeks after the published course completion date. A grade of "I" in a laboratory/simulation course must be completed by the end of the course's remedial period and/or the academic year in question. After that date the grade is changed to a passing or failing grade. The passing grade for an "I" grade in a laboratory or simulation course can be no higher than a C grade. The passing grade for an "I" grade in a didactic course can be any grade in accordance with the specifications within the course syllabus.

Y: (incomplete clinical course grade) is awarded when a student has not completed a sufficient amount of the course work requirement to permit the evaluation of the student's performance at the end of a clinical course. The D3 clinical course year typically concludes at the end of May in alignment with the beginning of the "Transition to D4 clinics" course which runs through the month of June. The next academic year (D4) begins on July 1, or the first Monday thereafter if July 1 falls on a weekend. Students may carry "Y" grades from June of D3 until the summer break in August without incurring any grade penalty. Students must clear all "Y" grades by the second Friday of August, and a passing course grade entered by the start of Summer Recess (typically, the third Friday in August) in order to be promoted to D4.

Students who fail to clear all "Y" grades by the start of Summer Recess will have a "D" or an "F" entered on their transcript for that course. The course grade determination ("D" vs "F") is made by the course director depending upon the students' progress towards completion of course requirements. All "D" and "F" grades must be cleared in order for a student to be promoted to D4. "D" grades that are not cleared by September 30 will be converted to "F". The highest grade achievable for successful remediation of a failed clinical course between the start of Summer Recess and September 30, is a C-. Students with unresolved "D" or "F" grades in clinical courses CANNOT be promoted to D4 until the deficiencies are cleared and upon full review of the students' academic and clinical record by the CPC. Students with unresolved "D" or "F" grades in clinical courses will be subject to delayed graduation and extension of their course of study by a minimum of one semester, repeat of the D3 year, or dismissal from the program, as determined by the CPC upon full review of the student's clinical and academic record.

Revocation of Preliminary Patient Care Privileges for Clinical Incompetence and Remedies for Return of Clinical Privileges: In keeping with the principles of patient-centered care and patient safety, students who accrue "D" or "F" grades for failing to clear D3 "Y" grades are subject to losing their patient care privileges, and will be required to demonstrate the requisite knowledge and skill by completing specific assignments as determined by the relevant course director, GPD, or designated faculty, before their patient care privileges are re-instated. Students with multiple deficiencies to be rectified should expect a prolonged academic course or more stringent outcomes as detailed above.

Honors or Electives courses: Students who qualify for and are selected to participate in these courses, may do so while carrying a maximum of 2 "Y" grades after the conclusion of D3 clinics in May, but MUST have a passing course grade entered for such courses by July 1, the start of the D4 year in order to continue enrollment in those courses. Enrollment of all students in Honors and Elective courses will be on a probationary basis until July 1st, after which date students will be permitted to continue only if all D3 courses have been successfully passed. Students choosing to withdraw from any Honors or Elective after this date will receive a W on the transcript. In the event that a student fails to clear their "Y" grades by July 1 they MAY NOT continue to participate in those courses. In such cases, the probationary period will end, and there will be no grade or record of the experience entered on the official transcript.

Midterm Grades

The University requires that midterm grades be assigned in courses that run longer than one semester in order to comply with Federal regulations governing financial aid compliance and monitoring of satisfactory academic progress. At the College, these courses are typically clinical courses. These midterm grades are visible by the student on "Albert" but are not recorded on the student's official transcript. These interim grades represent a real-time snapshot of the student's progress and imply neither a passing nor a failing grade at the conclusion of the course. These special midterm grades are:

- S (Satisfactory): An "S" indicates that the student is demonstrating at least the minimal expected progress in the course to date.
- NI (Needs Improvement): An "NI" indicates that the student has not demonstrated the minimal expected progress in the course to date.

Minimum Passing Grade

The pre-doctoral curriculum is based on a competency model. In order for a student to progress at each step, there must be an indicator of satisfactory progress toward competency. Therefore, a grade of C (graded course) and C- (after successful remediation) or P (pass-fail course) and

P/F (after successful remediation) is the minimum passing grade in a course.

The minimum passing grade for the MAJORITY of didactic courses is 69.495. However, a MINIMUM PASSING GRADE OF 74.495 will be applied to specific didactic courses - particularly those in which students must demonstrate the cognitive ability to think critically and apply previously taught foundational science to the clinical context.

The minimum passing grade WILL be raised to 74.495 for the following courses:

- all INBDE prep courses (D1-D4)
- all INBDE mock board examinations
- D3 Clinical Pathologic Correlations
- D3 Care of the Medically Complex Patient

This action is in alignment with the passing grade for the INBDE, which is 75. All courses with a minimum passing grade of 74.495 will publish this requirement in the course syllabus. The mechanism for raising the minimum passing grade to 74.495 for any course not listed above will be by petition to the Curriculum Committee only upon prior approval of the Senior Academic Leadership Team (SALT).

In P/F courses, students will receive a "D" grade before remediation (unless, it is determined that the student cannot remediate, in which case the grade is F). At the end of the remediation period the "D" grade will be converted to a "P/F" if remediated successfully, or to an "F" grade if the student failed the remediation.

A summary of the "D" grade and "F" grade rules for each level of training can be found in the section on remediation below.

Submission of Grades in a Course

The faculty determines grades in any course. Faculty are required to submit grades within five working days after the last day of class or the scheduled final examination, and/or completion of clinical documentation. Incomplete grades (I grades) in a pre-clinical course must be finalized to a letter grade at the end of remedial period that follows immediately after the pre-clinical course and/or at the end of the academic year in question.

Appeal of Grades Policy

If an NYU Dentistry student believes they have received an inappropriate grade due to an error in calculation or due to capricious grading, they may provide a written appeal to the Course Director or Program Director within 5 business days of receiving the contested grade. The Course Director or Program Director will send a written response to the student via email within 5 business days. If the appeal is denied, the student may choose to proceed to the Department Chair.

If a satisfactory resolution is not reached, the Department Chair can submit a request for review of the appeal by the Associate Dean for Academic Affairs (DDS) or Associate Dean of Postgraduate (PG) Programs (PG/MS) who will, in turn respond within 5 business days.

Academic Standing and Progress

Clinical Privileges

It is a privilege to provide oral health care to the public. Students must adhere to the standards of care and rules and regulations set forth in the Clinic Manual. Given the trust of the public for the profession, the faculty plays a fundamental role in overseeing the treatment of any patient. As part of the partnership between the faculty and students, faculty

continually monitor student performance in the clinic and supervise patient care. Faculty are expected to withdraw the privilege of patient care at any time if a student fails to demonstrate sufficient preparation, skill, and/or a level of knowledge that is necessary to assure the well-being of patients.

Students who are determined to be deficient in patient care skills may be placed on a Clinical Mentorship plan as a means to improve in a closely-supervised clinical setting. A student placed on a clinical mentorship plan who fails to meet expectations as set forth in their plan may be subject to revocation of patient care privileges or other academic consequences as determined by the appropriate Class Promotions Committee.

Revocation of Preliminary Patient Care Privileges for Clinical Incompetence and Remedies for Return of Clinical Privileges:

In keeping with the principles of patient-centered care and patient safety, students who accrue D or F grades, or fail to clear D3 "Y" grades, as described above, are subject to losing their patient care privileges, and will be required to demonstrate the requisite knowledge and skill by completing specific assignments as determined by the relevant course director, GPD, or designated faculty, before their patient care privileges are re-instated. Students with multiple deficiencies to be rectified should expect a prolonged academic course or more stringent outcomes as detailed above.

A student who neglects or inappropriately treats their patients may lose patient care privileges from all clinics, may receive a grade of "F" in the respective course at any time during the academic year, and may be subject to academic dismissal.

A student with an "I" grade in a preclinical/simulation course is not granted clinical privileges in that discipline until the deficiency is corrected and a passing grade received.

Guidelines for Academic Progress, Promotion, and Graduation*

The educational goal of New York University College of Dentistry (NYU Dentistry) is based on creating a partnership with students in order to assist them in achieving academic excellence. The faculty of the College has designed a rigorous curriculum, which provides didactic, pre-clinical and clinical educational experiences directed towards the development of competent dentists. This Academic Standards and Policies document (Guidelines), defines the standards that students must meet and provides the framework for student evaluation.

Process of Evaluation

The faculty of the College evaluate student progress throughout the academic year and provide constructive feedback. As a result of these evaluations, students receive grades at the end of each semester. Students are expected to monitor their grades on NYU Brightspace and can access grades at any time on the NYU Student Information System (SIS) through "Albert." Clinical progress may be accessed through the NYU Dentistry axiUm site.

The Guidelines were developed by the Committee on Academic Review and Standards (CARS) and the Executive Management Council (EMC) in 2001, and have been periodically modified and updated. All updates are approved and monitored by the EMC.

Decisions on student academic progress, monitored status, academic probation or promotion, and graduation are made by the Class Promotions Committees and are based on these Guidelines. Class Promotions Committees (CPC) meet a minimum of four times a year to monitor student performance and identify at-risk students. When students are identified as at risk of failing one or more courses, they are

placed on Monitored Status and are apprised of resources to assist them. Student progress is monitored by the Class Promotions Committee, the Student Success Network Group, and the Offices of Academic Affairs and Student Affairs and Academic Support Services. Monitored Status is an internal designation, which is changed to either good academic standing or academic probation at the end of the academic year.

Evaluation of Academic Performance: The Role of the Class Promotions Committees (CPC)

The Dean will appoint four Class Promotions Committees (D1-D4), which will be composed of course directors and faculty actively engaged in teaching at that level of training; a representative from the FT or PT Faculty Council; and a representative of the Office of Academic Affairs, and the Office of Student Affairs and Academic Support Services. The committees will meet a minimum of four times each year to review the performance of students in that class and will determine if the students are making satisfactory academic progress. Students not making satisfactory progress are placed on "monitored status" and an action plan is developed. Additionally, the CPC will make judgments concerning academic promotion or academic sanction

The CPC can only take into consideration extenuating circumstances that have previously been reported to either the Office of Academic Affairs or the Office of Student Affairs and Academic Support Services. No student can be promoted to the next year without approval of the CPC, and having passed all courses (with the exception of clinical "Y" grades in D3 into July-Aug of D4). The Office of Academic Affairs will notify students of any CPC decisions including the need for intervention/actions as a result of the student's academic performance. Students MAY NOT contact faculty members of any Class Promotions Committee in an effort to influence CPC decisions, or ask other faculty members to petition for them. Such action is considered a violation of the Honor Code and students who attempt to do so will be subject to sanction as described therein.

Requirements for Promotion

The DDS Program is intended to be completed in four academic years (or two years plus one semester for the Advanced Standing program). The program must be completed within six years of initial matriculation (three years and one semester for the Advanced Standing program), barring extraordinary circumstances.

In order to progress to the next academic year, students must have passed all courses. A student will not progress to the next academic year unless all courses have been completed. (Exception: students with "Y" grades ending the 3rd academic year, see section on "Y" grades, above). Progress in the clinical disciplines is evaluated at a minimum of four times a year. Students should be making progress in each clinical discipline based on their evaluation. A student who is not progressing in a clinical discipline during the D3 year may be required to extend the academic program beyond graduation, repeat the academic year, or be dismissed.

Students with unresolved "D" or "F" grades in clinical courses CANNOT be promoted to D4 until the deficiencies are cleared and upon full review of the students' academic and clinical record by the CPC. Students with unresolved "D" or "F" grades in clinical courses will be subject to delayed graduation, extension of their course of study by a semester, repeat of the D3 year, or dismissal from the program, as determined by the CPC upon full review of the student's clinical and academic record.

Remediation

For the D1, D2 and D3 years, remediation of didactic and pre-clinical courses will be on a semester basis with remediation periods in January

and June. Courses will be remediated in the semester in which they officially end. Students who receive one or two D grades and no F grades in any course in a given semester may be granted the opportunity to remediate those courses based upon their performance in the failed courses and their overall academic record. No student may remediate more than two courses per semester. Students failing any course with an F grade, or three or more courses with D grades, as well as students who are not offered the opportunity to remediate, may be offered the opportunity to repeat the academic year in its entirety or may be dismissed. All academic-action decisions are made on the basis of the entire academic and non-academic record as presented to the Class Promotions Committee.

In the D3 year, students may have didactic or pre-clinical laboratory coursework that is graded as part of a clinical course. Performance on those course components will not "count against" a student's two-course remediation limit, although overall student performance will be evaluated as part of the decision to permit a student to remediate. Third-year clinical course grades are governed by the Y grade policy, above.

In the D4 year, the majority of coursework is clinical in nature and remediation is considered to be ongoing on a per-student ad hoc basis as determined by the Group Practice Director and/or clinical discipline or rotation director. Didactic or pre-clinical coursework that is deemed to be eligible for remediation will be permitted to be remediated in May of the D4 year, prior to the College Graduation date. Students receiving an F grade in any didactic, pre-clinical laboratory or clinical coursework in the D4 year are subject to the possibility of academic action, including delayed graduation by up to one full semester, repeating the academic year or dismissal.

In any year, a student on Academic Probation will be eligible to remediate only one course per semester. Receipt of multiple D grades, any F grades, or unsuccessful remediation in a probationary year subjects the student to consideration for dismissal from the program.

The Remedial Self-Guided Study Period

Description: The DDS curriculum is based on the achievement of competency. Competency is predicated on the demonstration of requisite knowledge, skills, judgment, and values as defined in the Competency Manual. When students have not met the minimum acceptable standard for achievement in a didactic course or have not demonstrated an adequate level of skill in a preclinical course (as indicated by a grade of "I" or "D"), the student must enter a period of remedial self-guided study, assuming they have been deemed eligible based on the criteria described in this document. This opportunity is considered to be a guided self-directed experience to improve the knowledge, competency, and skills of a student. Students are encouraged to identify their weaknesses, seek peer tutors, and work with their academic advisors on study strategies. No structured or formal instruction is provided during the self-study period; however, the faculty may suggest, provide, or assign: review materials, study questions or reading assignments if/as applicable at the beginning of the remedial self-study period. The faculty may guide the student in accessing information and advising in problem-solving strategies.

Students permitted to participate in the remedial self-study period may be placed on a modified schedule to allow for study time depending on the number of courses involved.

The remedial program must be accomplished within a designated "remedial period" which will be at the end of the academic semester, or in May of the D4 year. The Fall remedial period will conclude no later than

the second Friday in January. The Spring remedial period will be held in June.

For Pre-Clinical and Clinical Courses: In preclinical/simulation courses, for students with an "I" grade, the remedial period may start immediately after the course has ended. To be eligible to participate in the remedial period, students must have already participated in a full course of instruction. Successful completion of the remedial period will provide validation of achievement in order to provide a course grade for the experience.

For pre-clinical and clinical courses, the remedial period is an additional period of time in a continuum of clinical instruction. For pre-clinic and/or clinical areas the student will be provided with specific feedback about their present level of performance and a clear description of the skills that the student must demonstrate in order to progress. The role of the faculty is to provide a clear assessment of skill and knowledge in a clinical discipline and to advise students in successful approaches to clinical problems and procedures. As described above, for clinical courses, students are subject to suspension of their patient-care privileges until such time as they can demonstrate the requisite knowledge and skill (as determined by the course director, GPD, or designated faculty based upon criteria specified in course syllabi) to have their patient-care privileges reinstated.

Outcome of Remedial Instruction: At the end of the remedial period, faculty will provide a final grade of "C-", "P/F" or "F" to the student as well as the Office of Academic Affairs and the Office of Student Advising and Academic Support Services. Students earning "C-" and "P/F" grades, which indicate passing in remediation, will be promoted to the next academic year. If any student earns a failing (F) grade in remediation, their full academic and non-academic record will be forwarded to the appropriate CPC for adjudication.

Summary: This plan provides students, who have the potential to achieve, the opportunity to participate in a remedial period. Students who demonstrate an acceptable level of achievement at the end of this period will be promoted to the next academic year. Students who do not achieve a passing grade will be considered for dismissal or will be required to repeat the academic year upon review of the full academic and non-academic record by the Class Promotions Committee (CPC).

A student may appeal dismissal decisions of the CPC solely on the ground that the College materially failed to follow the policy and procedures outlined in these Guidelines (see the section on Dismissal and Petition Procedures below). The decision to repeat an academic year is final and cannot be appealed.

The CPC reviews the student's overall academic and non-academic performance in determining whether to allow a student to repeat the year or be dismissed. Students who are repeating the year are NOT eligible to repeat the year a second time. Students may repeat any given academic year only once. The maximum allowable time to complete the DDS program is 6 years (or three years and one semester for the Advanced Standing program).

Academic Actions

The faculty is committed to the achievement of excellence in every aspect of the pre-doctoral program. As a consequence, students who do not meet the standard for achievement set by the faculty are subject to academic disciplinary action. This may include the placement of a student on *monitored status, academic probation or dismissal* from the College. The Class Promotions Committees (CPC) have been appointed to ensure early identification of students at risk of academic sanctions to

the extent possible, and to provide support and guidance for success (see below).

Monitored Status: This is an internal designation made by the CPC when a student is identified as being at risk for failing. In partnership with the Office of Student Advising and Academic Support Services, the student will develop an action plan for improvement, which will be monitored at least 4 times during the academic year by the CPC. Monitored status may be changed to good academic standing or probation depending on the student's performance throughout the academic year.

Academic Probation: A student is on academic probation under any of the following conditions:

- Has one or more outstanding F grades
- Any student repeating an academic year until the academic year has been successfully completed.

A student on academic probation is not in good academic standing.

Repeat of the Academic Year: The conditions for repeating an academic year are outlined in the Academic Actions descriptions above. Students may not repeat any academic year more than once. Repeat of the Academic Year decisions are not appealable.

Dismissal: The conditions for being dismissed from the College are outlined in the Academic Actions descriptions above. Failure of any course during a repeat year results in dismissal. Students may also be dismissed for violation of the NYU College of Dentistry Honor Code or the NYU Code of Ethical Conduct. Dismissal decisions are appealable only on the allegation that the College failed to follow its published policies.

Definition of "In Good Academic Standing." Being "In Good Academic Standing" indicates that the student has received passing grades in all academic courses (does not include "Y" grades during the June - 1st Tuesday in September clearance period), is not subject to academic discipline, has no outstanding obligations to the University, and has no complaints pending against him/her for violation of the NYU College of Dentistry Honor Code or the NYU Code of Ethical Conduct. In addition, the student is not under sanction of the Peer Review Boards for violation of any disciplinary or conduct code nor on probation for violation of any University policy.

Attendance

NYU Dentistry expects that students will attend all classes, clinics, labs, and rotations, that they will submit all projects and assignments in a timely manner, and that they will demonstrate the requisite professional demeanor and conduct in all activities.

Specifically, the policy is:

1. Participation through attendance is required, is considered a critical part of education, and will be monitored. The attendance policy for each course is established by the faculty and course director and is published in the course syllabus. Students who are absent from classes must complete all course work (including projects and assignments) and must make up missed clinic, rotation and pre-clinical sessions as directed by the course director. Excessive absence or lateness from courses, as defined in the course syllabus, will impact the final grade earned, up to and including failing a course.
2. Attendance in didactic courses will be monitored intermittently in accordance with the attendance policy set forth in the course syllabus. The mechanism and frequency for monitoring attendance is at the discretion of the course director and department chair and may

include but is not limited to utilization of audience response tools, attendance sheets, unannounced quizzes, etc. Attendance may be monitored at any time during a scheduled session. Falsification of attendance records by signing in for another student is considered a violation of the NYU Dentistry Honor Code by all parties involved and may result in sanctions including failing the course or dismissal from the College.

3. Students must take required examinations. A missed examination will be factored into the final course grade in accordance with the grading policy set forth in the course syllabus. An absence from a required examination may result in the student failing the course. In rare instances when the absence results from a serious illness or other circumstance beyond the control of a student, it is at the discretion of the course director and department chair, in accordance with the established course policy, to determine the appropriate course of action. Students will be required to present proof of exigent circumstances beyond their control in order for the course director and chair to make a determination as to the course of action to be taken.
4. Participation through attendance at preclinical and clinical sessions, community outreach assignments, and clinical rotations is mandatory. Students must advise the course or rotation director of an absence due to illness or circumstance beyond their control prior to the session to be missed, unless they are physically unable to do so. Students who accrue absences in clinics must make arrangements with the course director to attend substitute sessions to make up for the absences on their unassigned time. At the discretion of the course director and department chair, the number of makeup sessions required may exceed the number of sessions missed. In some instances, this may result in make-up sessions during break periods, or require the student to complete make-up sessions beyond the expected graduation date. In rare instances course directors or department chairs may waive make up sessions where students have demonstrated competence and patient care obligations are otherwise fulfilled.
5. A student who is absent from a scheduled clinic session for any reason is responsible for assuring that a patient scheduled for an appointment that session is notified in a timely manner before the appointment.
6. NYU Dentistry follows the University Calendar Policy on Religious Holidays. Students requiring an excused absence for a religious observation should contact the Office of Student Engagement for more information.
7. For information regarding the difference between excused and unexcused absences and for procedure to request an excused absence, students may refer to the Student Handbook.
8. D3 and D4 students may refer to the Student Handbook for protocol and procedures to request excused absence for residency interviews, externships, presenting at professional meetings, or participating in NYU Sponsored Outreach programs.

If a student is absent for three (3) or more consecutive school days, the Office of Academic Affairs must be informed and will require documentation that the student is medically cleared to return to the academic program, or documentation supportive of the resolution of any other cause for absence from the program. Requests for excused absences from mandatory assignments and examinations for absences of less than 3 days should be made directly to the appropriate Course Director and Chair. Do not report absences of one to two days to the Office of Academic Affairs.

Rules for Repeating an Academic Year

A student may be required to repeat an academic year as a means for the student to demonstrate overall competence in the curriculum, to gain additional skills, or to improve their knowledge base in dentistry before moving on to the next level of the curriculum. Students who are required to repeat an academic year must repeat all courses. The decision to repeat an academic year is final and cannot be appealed.

Dismissal from the College: For AY 2023-2024 and Beyond

Dismissal from NYU Dentistry is based on a student's failure to perform at an acceptable academic level. The decision to dismiss can only be appealed on the ground that NYU Dentistry materially failed to follow its published policies and procedures. The student may submit any relevant information to the Senior Vice-Dean for Research Development and Academic Affairs for review in their consideration of the appeal. Any extenuating circumstance cited by a student in the appeal, **MUST** have been contemporaneously reported to the Office of Student Affairs or the Office of Academic Affairs to share with the CPC in order to be considered in the appeal. An extenuating circumstance is considered to be contemporaneously reported when the information is shared by the student as it is occurring, or immediately thereafter (concomitant with the occurrence to the extent practicable).

Petition Procedure

The Class Promotion Committees (CPC) evaluate the academic performance of all students and makes decisions regarding promotion and graduation. The Office of Academic Affairs notifies students of the CPC dismissal decision. After such notification, the student may appeal this decision to the Senior Vice-Dean for Research Development and Academic Affairs on procedural grounds ONLY, i.e., that NYU Dentistry has not followed its published policies.

The following procedures must be followed for submitting information an appeal. The written petition should be sent to: Senior Vice-Dean for Research Development and Academic Affairs, NYU Dentistry, 345 East 24th St, New York, NY 10010. To be considered, the petition must be submitted electronically, by trackable mail or delivered by hand, within five (5) business days after the student is notified of the dismissal.

At a minimum, a petition must include a detailed justification of the reason for the request.

The Senior Vice-Dean will consider appeals based on deviation from published policies in these *Guidelines*. The rules described in course syllabi cannot be challenged as part of an appeal after dismissal. A student may challenge policies described in individual course syllabi no later than 5 (five) business days after the respective course is over and final grades have been submitted. The Senior Vice-Dean will consider the student's request for reconsideration of a dismissal decision within 21 working days of receiving the request.

The decisions of the Senior Vice-Dean are based on the academic performance of a student, the CPC's findings, and the facts set forth in the student's petition. In the unusual situation where clarification is needed, the Senior Vice-Dean may request additional information from the student.

Students MAY NOT ask faculty members to petition the Senior Vice-Dean on their behalf.

Students who have been dismissed and who choose to appeal the dismissal decision are considered suspended from all clinical activity until a final decision has been rendered.

Appeals: The decision of the Senior Vice-Dean is final and cannot be appealed.

Policy on Extended, Returning or Repeating Seniors

Students who have passed the Integrated National Board (INBDE) as well as all didactic requirements but are still deficient in clinic requirements at the time of expected graduation will be categorized as follows:

1. Extended Seniors: Students who complete all requirements by mid-August of the same academic year will graduate in September. No additional tuition or fees are assessed during this period.
2. Returning Seniors: Students who will complete all requirements by December 31 following their senior year and will graduate in January of the following year. These students will be assessed full registration fees and ½ of the senior year tuition.
3. Repeating Seniors: Students who will complete all clinical requirements within one year of the original graduation date. A student, except those on approved leave of absence who does not complete all clinic requirements within 14 months (July 31) following their original expected graduation date will be dismissed from the University. Repeating students will be assessed full registration and tuition fees.

Interruptions in Matriculation

DDS Program Duration

The four-year DDS program must be completed in a maximum of 6 years total (1.5 times the expected completion period). The DDS Advanced Standing program must be completed in a maximum of 3.5 years, or 1.5 times the length of the curriculum following the one-semester introductory program. This is inclusive of leaves of absence and repeating an academic year. This is based on the reason for the interruption in matriculation and adequate clinical resources for the student to return in a given year. A student may not repeat the same academic year more than once. A student who fails any course in a repeat year will be dismissed.

Leave of Absence

Description: A student may encounter difficulties during his or her matriculation and find it necessary to leave school for a period of time. The faculty of the College is aware of such circumstances and will assist students through such difficult periods. A leave of absence may be considered under special circumstances. All leaves of absence must be requested in writing and addressed to the Associate Dean for Academic Affairs. This written application should include the general reason for the request and the proposed duration of the leave. All medical leaves of absence should be substantiated with appropriate medical documentation. The decision to grant a leave of absence will rest with the Associate Dean for Academic Affairs. A Leave of Absence is not official until it is so granted by the Associate Dean for Academic Affairs and will be effective as of the date specified in the official notification letter. At the time of requesting the leave, students are evaluated for their academic record. In the absence of final grades for courses underway, interim evaluations through the CPC will reflect if the student leaves in good academic standing or not in good academic standing.

In order to maintain continuity in the curriculum, in most instances an absence from the program cannot extend more than one academic year. In exceptional circumstances, approval or extension for one additional year of the leave of absence will be considered provided the student requests it in writing four months prior to the start of the next academic year. Approval of an extension will be based on (a) the exceptional extenuating circumstance; (b) the length of time the student has been in the program; (c) the academic performance of the student; and (d)

changes in the curriculum that may have occurred or will occur during the leave of absence.

Failure to request an extension in writing will result in permanent de-enrollment of the student.

Medical or Personal Leave of Absence: If a student's leave of absence is based on a health problem it is required that the Office of Academic Affairs receives information about the need for the leave from either the NYU Health Center or the NYU Counseling Services (212-443-9999). Under unusual circumstances, validation for the need of a health-related leave of absence may be accepted from an external source. This validation should be submitted to the appropriate University health service, with a copy to the Associate Dean for Academic Affairs. At the time of the request, the student should be in good academic standing.

Maternity Leave: Maternity leave is considered a leave of absence. Students who request such a leave are under the jurisdiction of all stated requirements in this document. During this period it is required that the student comply with the following:

1. Contact the Associate Dean for Academic Affairs and the Director of Academic Advising and provide them with the anticipated first day of the leave and the approximate return date to the University.
2. Contact all faculty and departments, especially those where an exam or clinic experience is scheduled. Inform the faculty of your leave and make arrangements for any required makeups. Students on maternity leave are responsible for all requirements as specified by the course director.
3. Contact the Associate Dean for Academic Affairs and the Director of Academic Advising with your return date, and provide evidence of medical clearance to return to the program.

Parental Leave (non-birth parent): Parental leave is considered a leave of absence. Students who request such a leave are under the jurisdiction of all stated requirements in this document. The College recognizes the need/desire of parents to bond with their new infant and/or provide necessary emotional support to their partner. It is recommended that parental leave for purposes of bonding not extend beyond a 2-week period. Longer parental leaves will be considered in unusual circumstances and/or for the student's own medical recovery following childbirth. Parental leave of longer than two weeks must be requested in writing. As soon as practical during the period of leave, it is required that the student comply with the following:

1. Contact the Associate Dean for Academic Affairs and the Director of Academic Advising and provide them with the anticipated first day of the leave and the approximate return date to the University.
2. Contact all faculty and departments, especially those where an exam or clinic experience is scheduled. Inform the faculty of your leave and make arrangements for any required makeups. Students on parental leave are responsible for all requirements as specified by the course director.
3. Contact the Associate Dean for Academic Affairs and the Director of Academic Advising with your return date (students on parental leave for medical recovery reasons must provide evidence of medical clearance to return to the program)

Mandatory Leave of Absence: The College of Dentistry reserves the right to require a student to take a leave of absence when there is a concern for the welfare of the student, or for the public, should the student be allowed to continue in the program. Request to return from

a mandatory leave of absence must be substantiated by appropriate medical documentation that the student may return to their duties.

Outstanding Financial Obligations: A student with outstanding financial obligation to the College/University may be de-enrolled, which is in essence an involuntary administrative leave of absence, subject to the general rules of a leave of absence. Before a student can be considered for the possibility of return to the college, all outstanding financial obligations must be satisfied.

Grades in Courses at the Time of the Granting of a Leave of Absence: Students may request a leave of absence when courses have not been completed. Students cannot obtain partial credit for courses that are interrupted. A record of the student's performance in courses that have not been completed at the time of the leave of absence will be maintained by the course directors and the CPC.

Returning from a Leave of Absence: When a student is able to return from a leave of absence, the request for reinstatement must be in writing and submitted, on or before March 1 of the academic year for readmission. When returning from a medical leave of absence, including maternity leave, students must provide evidence that they are fit to return to a full-time program. Before returning to the College, the student is subject to an academic review by the Office of Academic Affairs to determine when or if the student is eligible to return. The academic review will consider the following factors in determining when or if the student may return: 1) the student's academic record, 2) changes that may have occurred in the curriculum during the time when the student was on leave, 3) the current status of courses in the overall continuum of instruction and where the student's educational progress is most reasonably accommodated, and 4) available space. In addition, the Office of Academic Affairs will determine: 1) evidence that the circumstances that initiated a leave of absence have been resolved; and, 2) evidence that other relevant circumstances, if any, have been addressed. There is no guarantee of reinstatement.

Failure to request in writing a return to the next academic year will result in permanent ineligibility for reinstatement of the student. A student who returns to the program from a leave of absence is considered a full-time student.

Withdrawals

DDS, Advanced Education, and Masters students seeking to withdraw from one, or all courses, should consult their program director or associate dean.

Standards of Conduct

Code of Ethics and Professional Conduct (DDS Program)

Introduction

NYU Dentistry acknowledges the respect that the public holds for our profession. Accordingly, all members of NYU Dentistry community should comply with local, state and federal standards, regulations, and policies that pertain to health and health care. In addition, New York University College of Dentistry (NYU Dentistry) adheres to the principles of conduct set forth within the following Code of Ethics and Professionalism (referred to as the "Code" throughout this document). The Code applies to all Doctor of Dental Surgery (DDS) students, faculty, researchers, administrators, and professional staff of NYU Dentistry. Throughout this document, "Dean" refers to the Dean of NYU Dentistry or the Dean's designee, and "Associate Dean of Student Affairs & Academic Support Services" refers to this person or their designee. This document also

establishes the process to be followed by NYU Dentistry for adjudicating instances of alleged noncompliance with the Code.

Alleged compliance violations of the Code by DDS students will be reviewed by the Peer Review Board (PRB) on Ethics and Professional Conduct.

Similarly, alleged violations of the Code by postgraduate and masters students will be adjudicated by the Graduate Council for Ethics and Professionalism.

Alleged violations of the Code by dental hygiene students will be adjudicated by the Dental Hygiene Council for Ethics and Professionalism.

Alleged violations of the Code by staff employees will be referred to the Office of Human Resources and alleged violations of the Code by faculty will be handled in accordance with the procedures set forth in the NYU Faculty Handbook.

Allegations of non-academic misconduct, as outlined in the University Student Conduct Policy, against a student of NYU Dentistry, shall be addressed pursuant to the procedures set forth in the NYU Student Conduct Procedures and administered by the Office of Student Conduct and Community Standards under the authority of the Vice President for University Life and Global Engagement. Allegations of academic and/or clinical misconduct (including, but not limited to, plagiarism, cheating, violations related to clinical education and patient care) against a student of NYU Dentistry shall continue to be addressed by the school in accordance with the Code.

Policies Regarding Standards of Conduct

The standards described in this section set forth the expectations for the conduct of all members of the NYU Dentistry community. The standards are modeled on the current ADA Principles of Ethics and Code of Professional Conduct: <https://www.ada.org/en/about-the-ada/principles-of-ethics-code-of-professionalconduct>.

1. Academic and Professional Conduct: Courtesy, respect and academic integrity create and maintain an atmosphere conducive to learning and high-quality patient care. These attributes also promote understanding within the community. Members of the NYU Dentistry community must know and comply with the rules and regulations of NYU Dentistry and New York University. They must maintain high academic standards and professional integrity. They should respect the rights, privileges and property of other members of the NYU Dentistry community as well as guests of NYU Dentistry. Members of the NYU Dentistry community should refrain from actions that would interfere with official New York University functions or endanger the physical or emotional health, safety or welfare of other persons. They should seek appropriate advice and guidance when unresolved ethical dilemmas arise. Actions that are dishonest, unethical, or otherwise not in accordance with New York University or NYU Dentistry academic policies or procedures are violations of the Code of Ethics and Professional Conduct. Violations of the Code include, but are not limited to, the following examples:
 - a. Any action that interferes with teaching, research, administration, or clinical activity at NYU Dentistry
 - b. Treating others disrespectfully or engaging in unprofessional behavior
 - c. Cheating or plagiarism during an exam, quiz, or assigned academic activity; misrepresentation of one's own academic or clinical work; using proprietary materials without the

authorization or consent of the owner; or falsifying, tampering with, or destroying an academic or clinical record, document, or file

- d. Providing false, incomplete or misleading information during admissions or the financial aid applications process, or in documentation provided in relation to clinical privileges, such as proof of health status and immunization records
- e. Interfering with the reporting, investigating, or adjudication of an alleged violation of this Code or failing to report a violation of the Code
- f. Aiding another person in committing any of the acts described in this Section (Policies Regarding Standards of Conduct - Academic and Professional Conduct)

2. Clinical Conduct: The guidelines for clinical conduct and patient care are set forth below. Any violation of the policies and/or procedures contained in these documents are considered a violation of this Code. Postgraduate and dental hygiene students should refer to the postgraduate and dental hygiene documents for their respective programs posted on the academic card on NYUHome.

3. Compliance with other New York University policies and obligations including, but not limited to the following:

- a. University Student Conduct Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/university-student-conduct-policy.html>)
- b. Non-discrimination and Anti-harassment Policy and Complaint Procedures for Students (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/non-discrimination-and-anti-harassment-policy-and-complaint-proc.html>)
- c. Sexual Misconduct, Relationship Violence, and Stalking Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/sexual-misconduct-relationship-violence-and-stalking-policy.html>)
- d. Social Media Policy (<http://dental.nyu.edu/content/dam/nyudental/documents/intra/policies/social-media-policy.pdf>)

Disciplinary Measures

Process for Handling Alleged Violations of the Code of Ethics and Professional Conduct by DDS Students

Matters involving alleged violations of this Code by a DDS student will be brought before the PRB and reviewed by the College Review Board in accordance with the following procedures.

1. The Peer Review Board: The PRB shall comprise twelve (12) student members; five (5) members are necessary to reach a quorum. Members of the PRB will be known as student adjudicators.
 - a. Designation and appointment of members to serve on the PRB.
 - i. Three (3) members from each of D1, D2, D3, and D4 classes will serve on the PRB.
 - ii. Students must apply for initial appointment on the PRB through the Office for Student Affairs & Academic Support Services. Appointment as a student adjudicator is subject to final confirmation by the Associate Dean for Student Affairs & Academic Support Services.
 - iii. Students selected for appointment to the PRB must be in good academic standing when chosen, and must maintain good academic standing throughout their appointment. Good academic standing is defined in the NYU Dentistry Academic Standards and Policies (<http://dental.nyu.edu/aboutus/policies-and-guidelines.html>).
 - iv. The Office of Student Affairs & Academic Support Services will select the student adjudicators.
 - v. For each convening and hearing of the PRB, the Associate Dean for Student Affairs & Academic Support Services (or their designee) will assign a facilitator from among the PRB members serving in their second term. Once selected, this facilitator shall be the presiding officer at all meetings of the PRB for the case to which they are assigned.
 - vi. Student adjudicators cannot be elected class officers or elected officers of the Student Council.
 - vii. Student adjudicators cannot have a history of ethical violations.
 - viii. Student adjudicators appointed to the PRB shall serve for a term of one year; a maximum of two consecutive terms is allowed.
 - ix. If a student member of the PRB does not fulfill their term, the PRB application process will be re-opened by the Office of Student Affairs & Academic Support Services to recruit and fill the vacancy with a student from the respective class. The procedures for filling such vacancies will be the same as those for an initial appointment and will be subject to an identical process of confirmation.
 - x. Each member of the PRB will participate in an orientation program coordinated by the Associate Dean for Student Affairs & Academic Support Services that emphasizes the importance and responsibilities of the student adjudicators. The orientation program will, at a minimum, include presentations by the Associate Dean for Student Affairs and Academic Support Services and/or their designee and a representative from the New York University Office of Student Conduct & Community Standards. The orientation program will include relevant information on NYU Dentistry's policies and procedures. At the conclusion of the orientation program, each member will sign a written pledge in furtherance of the deep and abiding principles of integrity and ethics of the dental profession and NYU Dentistry. They will also certify that they will faithfully execute their responsibilities as a member of the PRB.
 - b. The Associate Dean for Student Affairs & Academic Support Services or their designee will assist with the administrative coordination of the PRB meetings and will be privy to all correspondence and materials seen by the PRB and will attend all meetings of the PRB.
2. The College Review Board: The College Review Board will consist of three (3) NYU Dentistry faculty. Three (3) additional NYU Dentistry faculty will serve as alternates. All members of the College Review Board will be appointed by the Dean.
3. Disciplinary Proceedings Involving Students: All members of the NYU Dentistry community are obligated to uphold and enforce this Code. It is expected that any member of the NYU Dentistry community who observes or becomes privy to a violation of this Code by a DDS student will file a Report of Unethical or Inappropriate Behavior Including Academic Misconduct with the Associate Dean for Student Affairs & Academic Support Services of NYU Dentistry, using this online form (https://nyu.qualtrics.com/jfe/form/SV_1Xm0Ho7tBD5Yj8F/). The complaint should set forth the alleged act(s) of misconduct in specific terms and include relevant supporting documents. The complainant should be an individual who has observed or experienced this possible violation of the Code first-hand. The complainant must sign the complaint. This online form

(https://nyu.qualtrics.com/jfe/form/SV_1Xm0Ho7tBD5Yj8F/) will also be available for printing to encourage efficient reporting.

- a. In certain aggravating circumstances, the Dean may suspend a student against whom a complaint has been filed pending consideration of the case. As a general rule, a student should not be suspended except for reasons relating to their physical or emotional safety and well-being; the safety and well-being of students, faculty, staff, administrators, and or patients; and/or effective continuation of the educational process or maintenance of public order.
- b. As soon as reasonably practical, the Associate Dean of Student Affairs & Academic Support Services of NYU Dentistry or their designee shall appoint an Investigating Panel of two (2) PRB student adjudicators, to conduct an investigation to ascertain facts and recommend a disposition for the complaint.
- c. Any student against whom a complaint has been filed shall be advised of the commencement of disciplinary proceedings by the Associate Dean for Student Affairs & Academic Support Services and/or their designee upon activation of the Investigating Panel and shall be informed that they may seek the counsel of an advisor from within the University.
- d. At the conclusion of its investigation, the Investigating Panel shall submit a written report to the facilitator and the PRB. The report shall consist of a summary of the Investigating Panel's findings and one of the following recommendations for disposition of the complaint:
 - i. Dismissal of the complaint
 - ii. Resolution of the complaint without initiating formal disciplinary proceedings wherein the student(s) charged admits to having violated the Code, and the Investigating Panel has determined that the conduct charged is not serious enough to consider either suspension or dismissal from NYU Dentistry. In this case, the Investigating Panel may recommend appropriate sanctions from the list of sanctions set forth below in Section IIIF, except the sanctions of suspension or dismissal from NYU Dentistry. The student at any time may decline to admit responsibility for a violation and request that the complaint be presented before the PRB in the form of a hearing. When sanctions of suspension or dismissal from NYU Dentistry are under consideration by the Peer Review Board, a hearing before the PRB is mandatory.
 - iii. Initiation of formal disciplinary proceedings involving a hearing, by filing charges against the student(s) when the Investigating Panel determines that the alleged conduct is serious enough to warrant consideration of either suspension or dismissal from NYU Dentistry or if the accused student denies responsibility for a violation.
- e. After review, discussion, and acceptance of the Investigating Panel's report by the PRB, and, when indicated, completion of formal disciplinary proceedings involving a hearing, the facilitator shall communicate the PRB's recommendation(s) and their rationale, to the Associate Dean for Student Affairs & Academic Support Services (or their designee), who will transmit the report to the College Review Board to determine whether the process used by the PRB followed the procedures as outlined in this policy and whether the conclusions and recommendations reached by PRB were reasonable in light of the charges and evidence presented throughout the entire investigation and hearing process, if a hearing takes place. The College Review Board may either:

- i. Accept the conclusions of the PRB
- ii. Modify recommendations
- iii. Refer the matter back to the PRB for further deliberations/ actions
- f. When completed, the College Review Board will submit the final report to the Associate Dean for Student Affairs & Academic Support Services of NYU Dentistry.

4. Hearing of the PRB Involving Consideration of Suspension or Dismissal or if the Accused Student Denies Responsibility

- a. Any accused DDS student facing possible suspension or dismissal from NYU Dentistry and any accused DDS student who denies guilt shall have the right to be accompanied at the hearing by an advisor. The advisor must be a member of the NYU Dentistry community. The advisor will not be permitted to make a statement or address the PRB or witnesses at the hearing. The student shall advise the facilitator of the name of their advisor no later than four (4) days before the initial hearing.
- b. The hearings shall be conducted in a fair and impartial manner and shall not be restricted by the rules of evidence used in a court of law. Members of the PRB may address questions to any party to the proceedings or to any witness called by the parties or by the Investigating Panel. Each side shall have a fair opportunity to question the witnesses of the other. Questions shall be posed through the facilitator, unless the facilitator determines otherwise. The PRB may in its discretion limit the number of witnesses and may accept affidavits. All matters of procedure not specified shall be decided by the PRB at its discretion.
- c. The hearing shall be confidential. In hearings involving more than one student, in which one or more students, but not all, request a private hearing, severance shall be allowed at the discretion of the PRB.
- d. The charges and supporting evidence shall be presented by the Investigating Panel.
- e. The hearing will be recorded.
- f. No recommendation for the imposition of disciplinary penalties shall be based solely upon the failure of the student charged with misconduct to answer the charges or appear at the hearing. In such a case, all other evidence in regard to the charges shall be presented to and considered by the PRB.
- g. In all hearings and convening of the PRB, a quorum shall be considered as minimum of five (5) members of the PRB, including the facilitator or interim facilitator, each of whom has a single vote. A majority vote of the PRB members present shall be required to impose any sanction.
- h. At the conclusion of the hearing, the PRB shall prepare a written summary to the Associate Dean for Student Affairs & Academic Support Services of NYU Dentistry consisting of the PRB's determination of whether a violation of the Code occurred and, where appropriate, the PRB's recommendation of a sanction.

5. Appeal of Decision

- a. A DDS student may appeal the decisions of the PRB, as accepted or modified by the College Review Board, to the Dean of NYU Dentistry within fifteen (15) calendar days from the date on which the final decision was sent to the student. Grounds for an appeal are limited to: material procedural previously unavailable relevant evidence that could affect the outcome, and/or the sanction being substantially disproportionate to the violation. The appeal shall be initiated by the filing of a written notice to the Dean, which shall set forth the ground(s) upon which the appeal is based and the arguments in support of the appeal. Unless

otherwise specified by the decision maker, imposed sanctions shall be held in abeyance ("stay of sanctions") until any applicable appeal process has concluded.

b. The Dean may either: Accept the conclusions and sanction(s) without modification, Accept the conclusions subject to a specified reduction in the sanction(s) imposed, Dismiss one or more of the charges entirely, Remand the case for additional proceedings. The Dean's decision will be final and without further recourse.

6. Sanctions

- a. The recommendations of the PRB in all circumstances shall be discretionary and may include any one or more of, but not limited to, the following sanctions:
 - i. Warning: notice to the student in writing that continuation or repetition of the conduct found wrongful, or participation in similar conduct, within the period of time stated in the warning, shall be cause for disciplinary action.
 - ii. Censure: written reprimand for violation of a specified aspect of the code, including the possibility of more severe disciplinary sanction in the event of conviction for a similar violation within a period of time stated in the letter of reprimand.
 - iii. Transcript Notation: A notation indicating that the student was found responsible for violating the College's Code of Ethics will be placed on official transcript by the NYU Office of the Registrar. The PRB will include, as part of their written outcome, whether this transcript notation is to be removed after a specific date or academic milestone prior to degree completion, or whether it will remain until or after conferral of the DDS degree.
 - iv. Disciplinary Probation: exclusion from participation in privileges or extracurricular university activities, including being prohibited from holding any leadership position in any student club or organization at the university for a specified period of time. As a condition of disciplinary probation, a student may also be deemed ineligible for academic honors, including honors courses, and/or other awards, as set forth in the PRB report, for a specified period of time.
 - v. Educational Project: a research and reflection paper focusing on the impact of ethics violations on the profession of dentistry. The paper guidelines and expectations, including length, use of research sources, and deadline will be determined by the PRB and included in the details of the PRB report and outcome letter presented to the respondent(s).
 - vi. Restitution: reimbursement for damage to or misappropriation of property; reimbursement may take the form of appropriate service to repair or otherwise compensate for damages.
 - vii. Suspension: exclusion from classes and/or other privileges or activities as set forth in the notice of suspension for a specified period of time.
 - viii. Dismissal from NYU Dentistry: permanent termination of student status without the possibility of readmission.
- b. The decision as to responsibility for a violation of the Code shall be based upon the preponderance of the evidence. After deciding upon a sanction, the PRB may officially note any prior convictions for violation of the Code and may increase the severity of the sanction upon the majority decision of the PRB.
- c. Sanctions involving suspension or dismissal from NYU Dentistry shall be entered on the student's official transcript. Other

sanctions may be entered in the official transcript at the discretion of the Dean, or PRB as indicated in sanction (c) above.

d. If a student is suspended by the Dean but later acquitted by the PRB for the alleged violation, the student shall be allowed the opportunity to makeup whatever academic assignments and clinical contact they have missed due to the suspension, to the extent practicable.

7. Duration of the Process

a. Matters involving alleged violations of this Code by a DDS student should be undertaken in a deliberate manner. However, all community members involved should strive to complete the process related to an incident in sixty (60) days or less. Wide flexibility in timing may be utilized to accommodate a variety of circumstances and practical issues.

Policies for Master's Programs

The Student Evaluation Process

Students enrolled in the Graduate Programs are evaluated on a continuous basis. Each course director evaluates student performance using quizzes, homework assignments, midterm and final exams, and other assignments or projects. Formal oral and/or written evaluations will be conducted by course instructors each semester, and by the program director each academic year. Performance indicators may include, but are not limited to course grades, faculty assessment of the student based on the transcript and other communications, professional and ethical interactions with other students and faculty, and the quality and progress of research or scholarly activity (practicum experience etc.). Evaluations may occur on a more frequent basis as needed, particularly if a student is not progressing as expected.

The Program Director will maintain a record of evaluation for each student. These evaluations will be accessible to the student. The official academic record for graduate students is the transcript, which is maintained by the University Registrar. Course grades are reported to the Registrar's office at appropriate intervals during the academic year. Students have access to their transcripts online through the Student Information Service ("Albert"), by logging on to NYU Home (<http://home.nyu.edu/>) and selecting "Albert". Students should review their transcripts at the end of each semester to ensure accuracy.

All written notifications of academic status change MUST be copied to the Associate Dean for Postgraduate Programs and to the Registrar for inclusion in the student/resident's academic file.

Master's Programs Grading Policy

Letter grades are used for all courses in the Graduate Programs as specified in each course syllabus. Each course director will distribute this information to the students at the beginning of each course. The goal of education at the graduate level is to ensure a level of competency and proficiency of the student in relation to the competencies established by each Graduate Program.

Grades for courses in the graduate programs will be indicated on transcripts as follows:

A = 91-100; B = 81-90; C = 70-80; F = 69 and below

Definitions of each grade category are as follows:

A, A-: Earned by work whose excellent quality indicates a full mastery of the subject and, in the case of the grade of A, is of extraordinary distinction.

B+, B, B-: Earned by work that indicates a good comprehension of the course material, a good command of the skills needed to work with the course material, and the student's full engagement with the course requirements and activities.

C+, C: Earned by work that indicates an adequate and satisfactory comprehension of the course material and the skills needed to work with the course material and that indicates the student has met the basic requirements for completing assigned work and participating in class activities.

F: Fail

I: Indicates that the student has not demonstrated a level of achievement and/or has not completed required coursework at the time of evaluation when the course of study has ended, and that the student may not have been in control of the cause of this deficiency. A grade of "I" requires extra work, which must be completed within four (4) weeks after completion of the course. After that time, the grade must be changed to a passing or failing grade. An extension may be granted for documented medical, personal, or accessibility reasons through consultation with the Senior Vice Dean for Research Development and Academic Affairs.

W: Withdrawal

Modification of Grades

Faculty may use a plus "+" to modify grades of A, B and C. In addition, faculty may use a minus to modify grades of A and B. The use of a "+" with a grade increases the grade point value by 0.3 and a minus will decrease the value by 0.3. A grade of A can be modified with a "+" but without an increase in the grade point value. A grade of C may be modified with a + but may not be modified by a minus.

"F" grades must be corrected within one academic year.

Students with "I" or "F" grades on their transcript will be placed on academic probation and must correct the deficiency by taking and passing the course the next semester the course is offered (generally the following year).

Students with more than one "I" or "F" grades on their transcripts in any given academic semester or year, may not be promoted to the next level of training.

Failure to correct any grade deficiencies may result in academic actions that could include dismissal from the program.

Transcript Policy and Repeating a Course

If a student fails a course, he/she must repeat the course the next time it is offered (often the following year). The "F" remains on the transcript but is not computed into the student's GPA (credits are not counted). The grade earned for the repeated course is computed in the GPA.

Only two attempts per course are permitted. Any student who does not pass a course that is required for his/her degree after two attempts, will be required to withdraw from the program.

A student may not repeat a course that he/she has passed with a grade of "C" or higher in an effort to improve their GPA.

Dropping a Course

Students must file the necessary paperwork to drop courses within the accepted deadline, generally 2 weeks after the start date of the course. Courses that are not formally dropped by submitting the necessary forms to the Registrar will appear on the transcript as "W" (withdrawal). Such

courses must be repeated with a passing grade in order for the student to be certified for graduation.

Grades in Courses at the Time of Being Granted a Leave of Absence

Students may request a leave of absence when courses are still in progress.

Faculty will be required to provide an assessment of student progress at the time of the leave.

- Where course work is not completed, and it is not possible to determine the student's level of achievement, a grade of "W" (Withdrawal) will be assigned.
- If it is possible to determine the student level of achievement in a course that is not completed, the following grades will be assigned:
 - "WP" (Withdrawal Passing) will designate that the student was passing at the time of the leave.
 - "WF" (Withdrawal Failing) will designate that the student's level of achievement was sub-standard at the time of the leave.

Appeal of Grades Policy

If an NYU Dentistry student believes he/she has received an inappropriate grade due to an error in calculation or due to capricious grading, he/she may provide a written appeal to the Course Director or Program Director within 5 business days of receiving the contested grade. The Course Director or Program Director will send a written response to the student via email within 5 business days. If the appeal is denied, the student may choose to proceed to the Department Chair.

If a satisfactory resolution is not reached, the Department Chair may submit a request for review of the appeal by the Associate Dean for Academic Affairs (DDS) or Associate Dean of Postgraduate (PG) Programs (PG/MS) who will, in turn respond within 5 business days.

Criteria for Promotion to the Next Academic Year

For MS programs with a duration of more than one year, a student will be promoted to the next academic year when he or she has fulfilled the following criteria:

1. the student is in good standing:
 - passed all courses in the current academic year or has an "F" grade in a required course that must be taken within the next academic year
 - maintained an overall GPA of 3.0
 - is under no academic or disciplinary sanctions
 - has no outstanding obligations with the University Offices of the Bursar or with Health and Immunization
2. the student has repeated any course in which an "F" was awarded the previous year, and has successfully passed that course
3. the student has demonstrated a level of knowledge/proficiency as evaluated by the faculty and the Program Director

Definition of "in good standing":

The term "in good standing" indicates that the student has received passing grades in all courses (or has an "F" grade in a required course that must be taken within the next academic year), maintains the necessary minimum GPA, is not subject to academic discipline, and has no outstanding obligations to the University. Furthermore, the student is not under sanction for violation of any disciplinary or conduct code, or on a probationary period for violation of any University policy, such as the NYU policies on sexual harassment, ethical misconduct, or non-discrimination.

All written notifications of academic status change must be copied to the Associate Dean for Postgraduate Programs and to the Registrar for inclusion in the student/resident's academic file.

Academic Actions

Based on the evaluation of academic progress at the end of a semester or the academic year, students are subjected to one or more of the following academic actions:

Promotion: a student will be advanced to the next academic year.

Academic Warning: a student may be given an academic warning when a Course or Program Director believes that the student is not progressing as required in the course/program, and may be in danger of failing a course, or performing below the minimum required GPA. Academic warning is unofficial in that it is not reported to the Office of Postgraduate Programs or the Registrar, and does not appear on the student's official transcript. Documentation of Academic Warning is placed in the student's evaluation folder. Failure to improve could lead to Academic Probation.

Academic Probation: a student will be placed on academic probation at the end of a semester for "F" grades in any course, for a GPA less than 3.0, or if the Program Director or the Course Director has issued an unsatisfactory evaluation. The student can be removed from academic probation when appropriate improvement of the deficiency has been properly documented. Academic Probation must be remedied within one academic year. Academic probation is recorded on the student's transcript and reported to the Office of Graduate and Postgraduate Programs and the Registrar.

Extension of Time: a student may be given additional time beyond the time in which the program is usually completed when the student is returning from a leave of absence, or if it is determined by the Program Director that the student needs additional time to fulfill the requirements of the academic program for valid reasons supported with evidence. Part-time students are required to complete the program within twice the time it takes full-time students to complete the program (i.e., a 2-year full-time program should be completed within 4 years after matriculation), unless otherwise specified by the Program Director.

Dismissal: a student will be dismissed from a graduate program if:

1. two or more "F" grades are earned in any semester,
2. the student earns an "F" in a course that is being repeated for prior unsatisfactory performance, or
3. the Program Director determines that the student's overall lack of satisfactory academic and/or professional performance warrants dismissal.

Procedures to Remedy Unsatisfactory Performance and Maintain Academic Due Process

If a student's performance is deemed unsatisfactory:

1. The Program Director will document all interactions with the student in writing (both emails and hard copies).
2. The Program Director will notify and advise the student of the area(s) of unsatisfactory performance.
3. The Program Director will outline corrective measures, and establish the criteria and timeline for the correction of the deficiencies.
4. At the end of the stated time, the Program Director will evaluate the student's progress.
5. If the student's performance is deemed satisfactory, the Program Director will notify the resident in writing in a timely manner.
6. If deficiencies continue to exist beyond the time frame established for corrective action, the Program Director will notify the student and will make a recommendation for further academic action which may include:

- i. extension of time
- ii. repetition of the academic year
- iii. dismissal

Procedure for Dismissal from the Program for Academic Reasons

When, based upon the evaluation of student performance, a decision is made to dismiss a student from the program, the Program Director will review the student's record with the Department Chairperson and the Associate Dean for Postgraduate Programs. Upon completion of the review, the Program Director will notify the student of the action taken and dismissal will take effect following notification, pending any appeal. The notification to the student will include the following:

1. reason(s) for the dismissal
2. effective date of the dismissal
3. process for appeal

Should the student wish to appeal the dismissal, participation in all didactic and research programmatic activities will be suspended until the appeals process is completed.

Procedure for Dismissal from the Program for Non-Academic Reasons

The procedure for dismissal from the Program for Non-Academic Reasons, and the associated appeals process can be accessed on the Global NYU Home site, along with the NYU Code of Ethical Conduct.

Appeal of a Dismissal

A student must be provided the opportunity to appeal the decision for dismissal. This appeal must be made in writing to the Associate Dean for Postgraduate Programs within five working days of having received written notification of dismissal. Upon receipt of the appeal, the Associate Dean for Postgraduate Programs will refer the appeal to the Senior Vice Dean for Research Development and Academic Affairs for review and decision.

The Senior Vice Dean for Research Development and Academic Affairs will review the appeal and will render a final decision within five working days of receiving the appeal. The Senior Vice Dean will notify the student, the Department Chair, the Program Director, the Associate Dean for Postgraduate Programs, and the Dean of the College of the results of the appeal review. After the appeal review process has been completed, the decision is final and not subject to further appeal.

Interruptions in Matriculation

In recognition that a student may encounter difficulties during his/her matriculation and find it necessary to leave the program for a period of time, the faculty of NYU Dentistry will make efforts to assist students through such difficult periods.

General Leave of Absence: A leave of absence may be considered under special circumstances. All leaves of absence must be requested in writing addressed to the Program Director, with copies to the Department Chairperson, and the Associate Dean for Postgraduate Programs. This document must include the general reason for the request and the proposed duration of the leave. The decision to grant a leave of absence will rest with the Program Director in consultation with the Senior Vice Dean for Research Development and Academic Affairs.

Students are advised that a leave of absence may impact their student loans and they must report their leave of absence to the Office of Financial Services at NYU Dentistry in order to be apprised of the financial ramifications of the action.

To maintain continuity in the curriculum, and ensure continued student competence, an absence from the program of more than one year is strongly discouraged. Approval for extensions beyond one year will be based on:

1. the length of time the student has been in the program
2. the academic performance of the student, and
3. changes in the curriculum that may have occurred or will occur during the leave of absence.

Medical Leave of Absence: All medical leaves of absence must be substantiated with appropriate medical documentation. If a student's leave of absence is based on a health problem, the University must receive confirmation through either the NYU Health Center (993-1000) or the NYU Counseling Services (998-4780). This validation should be submitted to the Associate Dean for Postgraduate Programs.

Returning from a Leave of Absence: When a student is able to return from a leave of absence, the request for reinstatement must be in writing to the Program Director, with copies to the Department Chairperson and the Associate Dean for Postgraduate Programs. Before returning to the College, the student is subject to an academic review by the Program Director.

The Associate Dean for Postgraduate Programs will coordinate the review with the Program Director and Department Chair. The review will determine when, or if, the student is eligible to return. The following factors will be considered in determining when or if the student may return:

1. the student's academic record
2. the changes that may have occurred in the curriculum during the period that the student was on leave
3. the current status of courses in the overall continuum of instruction and where the student's educational progress will be most reasonably accommodated

In addition, the Office of Graduate and Postgraduate Programs will determine if:

1. the circumstances that initiated a leave of absence have been resolved,
2. any outstanding obligations to the University have been met, and
3. any other relevant circumstances have been remediated.

There is no guarantee of reinstatement.

Withdrawals

Masters students seeking to withdraw from one, or all courses, should consult their program director or associate dean.

Requirements for Graduation

At the completion of their program, graduate students will be deemed eligible to receive their degree or certificate when all of the following requirements have been met:

1. All course work and discipline requirements have been met with a passing grade.
2. All obligations to the University have been met (Office of the Bursar, Library, Health and Immunization, Credit Manager, or other).

Residency Requirements and Transfer of Credit

A student is in residence at NYU Dentistry when the student is matriculated in a NYU Dentistry master's program. Only credits from

NYU Dentistry courses earned while the student is in residence at NYU Dentistry count toward fulfilling program residency requirements, with exceptions only as outlined below.

MS in Biomaterials Science

One-year Program: The completion of 30 credits is required for the one-year MS in Biomaterials program. Of the 30 credits required, 26 must be from the Biomaterials Division of the Department of Molecular Pathobiology at NYU Dentistry or from courses taught in conjunction with the department. Only 4 credits may be transferred from outside the University and other departments outside of NYU Dentistry.

Two-year Program: The completion of 36 credits is required for the two-year MS in Biomaterials program. Of the 36 credits required, 28 must be from the Biomaterials Division of Department of Molecular Pathobiology at NYU Dentistry or from courses taught in conjunction with the department. Only 8 credits may be transferred from outside the University and other departments outside of NYU Dentistry.

Process for Transferring Credit:

1. The request to transfer credit from courses completed at another institution must be made by the student within the first academic year of attendance at NYU Dentistry.
2. The request should be made directly to the Program Director using the Transfer of Credit Form. Final approval of credit transfer will be made by the Associate Dean for Graduate and Postgraduate Programs.
3. Quarter versus Semester:
 - a. If courses are transferred individually, external credits earned on the semester system will be transferred credit for credit (e.g., if transfer is requested for a three-credit course at another institution, then only a maximum of three credits will be granted by NYU) up to the maximum amount allowed.
 - b. An external credit earned on the quarter system is worth a maximum of two-thirds of a NYU credit. Individual courses must be rounded down to the nearest half credit.
4. A grade below B is not eligible for transfer credit.
5. A pass/fail type grade such as P or S is not eligible for transfer credit.
6. International credit is not eligible for transfer credit.
7. Courses completed more than 10 years prior to the student's matriculation into the Biomaterials program at NYU Dentistry are not eligible for transfer credit.
8. Courses used to fulfill the requirements of a previously awarded degree (unless part of a registered dual degree program) may not be applied toward a Biomaterials Master's degree.
9. It is the student's responsibility to work with the Office of Financial Aid regarding any impact that transferring credit may have on loan eligibility.

MS in Clinical Research

To earn the Master's Degree in Clinical Research, all thirty (30) credits must be earned in residence at NYU Dentistry.

Standards of Conduct

Code of Ethics and Professional Conduct (Masters and Advanced Certificate Programs)

Introduction

NYU Dentistry acknowledges the respect that the public holds for our profession. Accordingly, all members of NYU Dentistry community should comply with local, state, and federal standards, regulations, and policies that pertain to health and health care. In addition, New York University College of Dentistry (NYU Dentistry) adheres to the principles of conduct set forth within the following Code of Ethics and Professionalism (referred to as the "Code" throughout this document). The Code applies to all NYU Dentistry students, faculty, researchers, administrators,

and professional staff of NYU Dentistry. This document outlines the principles of the Code that pertain specifically to the Advanced Education Postgraduate Certificate and Master's Degree students. Throughout this document, "Dean" refers to the Dean of NYU Dentistry or the Dean's designee.

Alleged violations of the Code by postgraduate certificate and masters students will be adjudicated by the Graduate Council for Ethics and Professionalism.

Allegations of non-academic misconduct, as outlined in the University Student Conduct Policy, against a student of NYU Dentistry, shall be addressed pursuant to the procedures set forth in the NYU Student Conduct Procedures and administered by the Office of Student Conduct and Community Standards under the authority of the Vice President for University Life and Global Engagement. Allegations of academic and/or clinical misconduct (including, but not limited to, plagiarism, cheating, violations related to clinical education and patient care) against a student of NYU Dentistry shall continue to be addressed by the school in accordance with the Code.

Policies Regarding Standards of Conduct

The standards described in this section set forth the expectations for the conduct of all members of the NYU Dentistry community. The standards are modeled on the current ADA Principles of Ethics and Code of Professional Conduct: <https://www.ada.org/about/principles/code-of-ethics>

1. Academic and Professional Conduct: Courtesy, respect, and academic integrity create and maintain an atmosphere conducive to learning and high-quality patient care. These attributes also promote understanding within the community. Members of the NYU Dentistry community must know and comply with the rules and regulations of NYU Dentistry and New York University. They must maintain high academic standards and professional integrity. They should respect the rights, privileges, and property of other members of the NYU Dentistry community as well as guests of NYU Dentistry. Members of the NYU Dentistry community should refrain from actions that would interfere with official New York University functions or endanger the physical or emotional health, safety, or welfare of other persons. They should seek appropriate advice and guidance when unresolved ethical dilemmas arise. Actions that are dishonest, unethical, or otherwise not in accordance with New York University or NYU Dentistry academic policies or procedures are violations of the Code of Ethics and Professional Conduct. Violations of the Code include, but are not limited to, the following examples:
 - a. Any action that interferes with teaching, research, administration, or clinical activity at NYU Dentistry
 - b. Treating others disrespectfully or engaging in unprofessional behavior
 - c. Cheating or plagiarism during an exam, quiz, or assigned academic activity; misrepresentation of one's own academic or clinical work; using proprietary materials without the authorization or consent of the owner; or falsifying, tampering with, or destroying an academic or clinical record, document, or file
 - d. Providing false, incomplete or misleading information during admissions or the financial aid applications process, or in documentation provided in relation to clinical privileges, such as proof of health status and immunization records

- e. Interfering with the reporting, investigating, or adjudication of an alleged violation of this Code or failing to report a violation of the Code
- f. Aiding another person in committing any of the acts described in this Section (II.A)

2. Clinical Conduct: The guidelines for clinical conduct and patient care are set forth in the following:
 - a. NYU Dentistry Clinic Manual: <https://dental.nyu.edu/aboutus/leadership-and-administration/intra/clinical-affairs/clinic-manual.html>
 - b. Academic Standards and Policies document for:
 - i. Postgraduate Programs: <http://dental.nyu.edu/content/dam/nyudental/documents/AEPolicies.pdf>
 - ii. Master's Programs: https://dental.nyu.edu/content/dam/nyudental/documents/MS_Policies.pdf

Any violation of the policies and/or procedures contained in these documents is considered a violation of this Code.

1. Student Honor Code: All postgraduate certificate and master's students are required to acknowledge and agree to the principles of the NYU Dentistry Code of Ethical Conduct by signing the Student Honor Code prior to the start of their respective programs.
2. Compliance with other New York University policies and obligations including, but not limited to the following
 - a. University Student Conduct Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/university-student-conduct-policy.html>)
 - b. Non-discrimination and Anti-harassment Policy and Complaint Procedures for Students (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/non-discrimination-and-anti-harassment-policy-and-complaint-proc.html>)
 - c. Sexual Misconduct, Relationship Violence, and Stalking Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/sexual-misconduct-relationship-violence-and-stalking-policy.html>)
 - d. Social Media Policy (<http://dental.nyu.edu/content/dam/nyudental/documents/intra/policies/social-media-policy.pdf>)

Disciplinary Measures

Process for Handling Alleged Violations of the Code of Ethics and Professional Conduct by Advanced Certificate and Master's Students

Disciplinary policies, process, and procedures (adapted from the NYU Disciplinary Policies, Process, and Procedures - October 2014). Approved by EMC: August 5, 2015. Updated and Approved by EMC: May 1, 2024.

The following policies and procedures are those by which alleged violations of NYU Dentistry Code of Ethics and Professionalism will be reviewed and resolved through the NYU Dentistry Graduate Council on Ethics. [Please note that these procedures do not apply in matters of complaints of alleged sexual misconduct (e.g. sexual assault, relationship violence, and/or sexual harassment). Such complaints are addressed through the University process for Reporting, Investigating, and Resolving Sexual Misconduct, Relationship Violence, and Stalking Complaints Against Students].

General

1. The Complaint: At NYU Dentistry, a disciplinary action against a graduate or post-graduate student is commenced when a complaint

is filed with the Office of the Associate Dean for Graduate and Postgraduate Programs. Any member of the faculty, administration, or staff or any student may file a complaint against any student for an alleged violation of the NYU Dentistry Code of Ethics. Although a complaint may be filed at any time, it is strongly preferred that the complaint be submitted as soon as possible after the reporter/complainant became aware of the matter. A complaint should include a description of the incident giving rise to the complaint, the identity of the accused student(s), and the names of others who may have been present, observed the incident, or who otherwise have information related to the matter. Notice of the filing of a formal complaint shall be emailed to the student within 48 hours.

2. Consideration of Interim Suspension: The Dean, or their designees may determine to suspend the student who is accused of having violated University policy pending consideration of their case through the disciplinary process. A student should not summarily be suspended either completely, or for certain purposes (e.g. a suspension from a University class, program, building, Study Away Site, or other University activity/facility) except for reasons relating to his/her physical or emotional safety and well-being, the safety and well-being of students, faculty, or staff, or University property, the maintenance of public order, or the effective continuation of the education process. When this occurs, the student shall be afforded the opportunity to expedite disciplinary proceedings so as to enable the determination of the appropriate resolution at the earliest possible time. Any period of interim suspension shall be deducted from any ultimate sanction involving suspension. A student who has been subject to interim suspension and who is found "not responsible" shall be allowed full opportunity to make up whatever work was missed due to the suspension.
3. Preliminary Review and Disposition: The Associate Dean for Graduate and Postgraduate Programs will review the complaint, report, and other materials submitted to that office. Based upon the preliminary review, he/she, in consultation with the other University offices where appropriate, may make the determination to dispose of the matter as follows:
 - a. Dismissal: The matter may be dismissed if the facts alleged in the complaint, even if they are true, do not constitute a violation of a University policy or an NYU Dentistry policy.
 - b. Non-Judicial Intervention: The matter may be resolved through a non-judicial intervention (e.g. mediation, educational interventions, administrative actions) if it is deemed to be of a minor nature that is appropriately addressed in such a manner.
 - c. Referral to Alternate University Venue: The matter may be referred to a University office or process (e.g. Office of Equal Opportunity, etc.) that is deemed to be the appropriate venue through which to address the matter, as follows:

Phase 1 - Investigation: The Associate Dean for Graduate and Postgraduate Programs (or his/her designee), will refer the complaint to the Chair of the Graduate Council for Ethics and Professionalism who will commence the process of investigating the matter by contacting the Complainant or the person filing the report. The Chair and an investigative committee, (appointed by the Chair and consisting of 2 members of the Council) will then notify the student(s) named in the complaint or report to inform the student(s) of the filing of the complaint/ report and request to meet with those individuals. During the respective meetings/ discussions, the students (Complainant and Accused) shall be informed of their rights and responsibilities within the student conduct process, be apprised of the University's related procedures, and asked to discuss the incident giving rise to the report/complaint. The students may also

be asked to submit (by a designated date) a written statement about the incident and to provide the name and contact information of any witnesses/others who might be able to offer information regarding the matter.

Phase 2 - Consensual Resolution: Based upon the results of the investigation, an attempt may be made to address the complaint through the acceptance of a set of terms proposed by the University in lieu of a formal Graduate Council of Ethics and Professionalism hearing. The acceptance of the terms of such a Consensual Resolution is considered to constitute an agreement of responsibility for the stated behavior/violation on the part of the accused student and the terms shall be considered to be "disciplinary sanctions." If, for any reason, a consensual resolution is deemed to be unattainable or inappropriate, the case will be referred for a formal hearing in front of the Graduate Council for Ethics and Professionalism.

1. Terms: The terms of a Consensual Resolution may be rendered directly by the Associate Dean for Graduate and Postgraduate Programs, or their designee, provided that a suspension, withdrawal, or dismissal from the University is not among the terms. If the terms include a suspension, withdrawal, or dismissal from the College, the consensual resolution shall be rendered by the Senior Vice Dean for Research and Academic Affairs. The terms by which the College proposes to resolve the matter in lieu of a hearing will be set forth in a letter of Consensual Resolution.
2. Consent: In most matters, only the consent of the student accused is required. Although a complainant/victim may be consulted as to the nature of the terms, their approval is not required.
3. Response: The student(s) from whom acceptance of the terms is required (as noted above in II.B.2), will be afforded a reasonable period of time, typically not less than 3 calendar days, within which to respond to the letter to indicate their acceptance or rejection of those terms.
4. Disposition: If the proposed terms are accepted, those terms shall be implemented and the matter deemed to be resolved as an agreement of responsibility and resolution. If the terms are rejected, the matter will be referred to the Graduate Council for Ethics and Professionalism for a hearing to be convened on the matter.
5. Appeal: The terms of a Consensual Resolution are not subject to an appeal by either the complainant or the student accused of the violation. Should a party from whom consent is required (as noted above in II.B.2) decline the terms, the matter is referred to the Graduate Council for Ethics and Professionalism.
6. Notification:
 - a. In that disciplinary actions are considered part of a student's education records, the release of such records is subject to the provisions of the Family Educational Rights and Privacy Act (FERPA). Accordingly, in most cases, the terms of the consensual resolution will be communicated to the complainant only to the extent that the complainant needs to be aware of those terms in order to report violations. Examples of such may include an order that the accused student is to have no contact with the Complainant.
 - b. The Family Educational Rights and Privacy Act (FERPA) permits a postsecondary institution to disclose, to both the accused student and the complainant/victim, the final results of a disciplinary proceeding involving an alleged crime of violence regardless of whether the institution concluded that a violation was committed.

Phase 3 - The Graduate Council for Ethics and Professionalism Hearing Process (if necessary):

1. General: A Graduate Council for Ethics and Professionalism hearing is an internal administrative process through which those involved in a matter before the Council are afforded an opportunity to present information and perspectives on the event/s in question so that the hearing panel can come to a decision as to whether the student against whom a complaint has been filed should be held responsible for a violation of NYU Dentistry policy. Such a hearing fundamentally differs in terms of purpose and procedures, from legal proceedings. Some examples of such differences are:
 - a. A Graduate Council for Ethics and Professionalism (GCEP) consists of 16 representatives appointed by the Dean of the College. It shall include one faculty member and one student from each of the 8 Graduate and Postgraduate Programs.
 - b. Each Council will be chaired by one member who has been selected by the Dean to serve in that capacity. The Chairperson will select 6 additional members of the GCEP (excluding the student and faculty members from the accused's program) to conduct the hearing in an orderly manner, state the charges, rule on the relevancy of matters discussed and evidence presented, coordinate the questioning process, be sure that the accused student has been provided with a summary of any written statements made by witnesses, call witnesses, lead the questioning process, and prepare a summary of the hearing and report of the findings.
 - c. The GCEP has the authority to determine the format of hearing and the manner in which all advisors, if they wish to do so, are to conduct the questioning of witnesses.
 - d. The purpose of the hearing process is to elicit relevant information, to afford the participants an opportunity to express their perceptions, and to allow the Council members to compare and contrast the various points of view and information.
 - e. The role of the panel is to listen and to ask questions to clarify what has been said or to elicit additional information from witnesses, to reach a decision as to the degree of responsibility of the student for each of the violations with which he/she has been charged, and to determine sanctions, as appropriate and necessary.
 - f. The panel expects those appearing before it to be forthcoming and honest in their presentations. The panel should not be expected to engage in concerted efforts to discredit the testimony or integrity of any witness and, likewise, participants are expected to refrain from engaging in questioning that the panel deems to be irrelevant, harassing, or unnecessarily repetitive.
 - g. The standard of evidence utilized in decision-making is that of "preponderance," whether it is more likely than not that the accused student/group is responsible for engaging in behavior that violates NYU Dentistry policy. In reaching a decision, the panel will consider the totality of the evidence/information presented in the hearing, including statements that might be considered "hearsay" and/or evidence that might be construed as circumstantial in a civil or criminal proceeding.
 - h. The complainant may be the student directly affected by the alleged actions of the accused or an NYU Dentistry faculty or administrator who has been involved in the matter or has supervisory responsibility for the students or location of the event at which the incident occurred.

- i. The panel prefers to hear directly from the students involved in the matter and the procedures utilized by a panel should afford students to opportunity to do so. However, a student cannot be compelled to testify.
- j. The accused student and the complainant have the right to have an advisor at the hearing. The role of an advisor, who may be an attorney, may be limited at the discretion of the hearing panel, to assisting the accused student in understanding the process, responding to questions, or formulating questions. If the complainant is a faculty or staff member, and if the student against whom the complaint has been filed has retained an attorney as their representative, the complainant may be provided with an attorney through the University Office of Legal Counsel.
- k. GCEP hearings are considered as confidential matters and as such are open only to the accused, the complainant, witnesses, and designated staff members from the Dean's Office or the Office of Legal Counsel of the University. Witnesses will be called to present their testimony and will be asked to leave the hearing room after doing so. They are not allowed to remain in the hearing room to hear testimony from other witnesses.
- l. The GCEP may be advised/assisted by the NYU Dentistry Office for Student Affairs in the preparation and administration of the judicial hearing process.
- m. The GCEP may be advised/assisted by the Office of Legal Counsel in the preparation and administration of the judicial hearing process.
- n. An audio recording will be made of the hearing. The recording will be preserved by the Chair of the GCEP until the appeal period has elapsed or until all appellate procedures have been completed. A written transcript of the hearing will not be prepared.

2. Graduate Council for Ethics and Professionalism Procedures
 - a. The student will be notified in writing of the date, time, and location of the hearing as well as the specific charges to be reviewed by the GCEP.
 - b. The GCEP hearing will be scheduled for no sooner than seven days after the sending of a written notice to the student advising him/her of the date, time, and location of the hearing except upon the consent of the accused student.
 - c. If despite being notified of the date, time, and location of the hearing, the student is not in attendance, the hearing may proceed as scheduled and sanctions may be imposed in his/her absence. In doing so, the GCEP will consider the available testimony, evidence, and materials. Only if there is clear evidence that emergency circumstances beyond the control of the accused student or the complainant prevented either from being present, will the decision be set-aside pending a reconvening of the hearing.
 - d. Permission to postpone a hearing may be granted provided that the request to do so is based on a compelling emergency and is presented in writing to the Chair of the GCEP at least 24 hours prior to the time of the hearing.
 - e. All evidence in the form of written statements or other physical evidence should be provided to the Chair of the GCEP at least one week prior to the scheduled hearing so that the evidence may be made available to the accused student, the complainant, and the GCEP panel members.
 - f. Members of the GCEP panel, the accused student, and the complainant will be provided with the same set of written statements and other documents related to the incident and the related charges.

g. If either the accused or complainant intends to use audio or video or other such forms for presentations at the hearing, it is their responsibility to provide such equipment. If the student is unable to provide such equipment and wishes to request assistance by having the GCEP make such equipment available, he/she should make such a request at least 3 days prior to the date and time of the hearing. Although every effort will be made to do so, the GCEP cannot guarantee the availability of requested audio, video, or other such equipment at the hearing.

h. It is the responsibility of the accused student and the complainant to contact and ensure that all witnesses on their respective behalves are present at the hearing. The Chair of the GCEP should be given the names of all such witnesses who are expected to present information at the hearing as well as any available written statements from those witnesses at least 48 hours prior to the hearing.

i. The accused student and the complainant, with the assistance of their respective advisors, may (at the discretion of, and through a process to be determined by, the GCEP panel) examine and cross examine witnesses either directly or through members of the GCEP panel. Legal counsel for either complainant or accused, if present, may act in an advisory capacity, but will not be directly involved in the questioning of witnesses.

j. At the end of the hearing process, a final written report will be prepared and submitted to the Dean of the College, the student against whom the complaint was filed within seven (7) calendar days. The report shall state the GCEP panel's finding of fact and the reasons for its decision. In accordance with the Family Education Rights and Privacy Act (FERPA), a complainant is not notified of the outcome of a hearing unless there are sanctions of which that person needs to be aware in order to take an action. (e.g. the accused is ordered not to contact the complainant/victim and would be required to be aware of that and to report any further violations; the complainant/victim is to be reimbursed for damages, etc.).

NOTE: The Family Educational Rights and Privacy Act (FERPA) permits a school to disclose, to a harassed student, information about the sanction imposed upon a student who was found to have engaged in harassment/violence when the sanction directly relates to the harassed student. This includes an order that the harasser stay away from the harassed student, or that the harasser is prohibited from attending school for a period of time, or transferred to other classes or another residence hall.

3. The Hearing Process: As noted above, the GCEP Panel is empowered to conduct hearing proceedings as the panelists deem appropriate. The following is presented only as an example of a typical format. It should not be construed as the process that a panel is obliged to follow.

- Call to Order: The Chairperson will formally call the hearing to order.
- Introductions: The Chairperson will introduce the members of the Panel and ask others in the room (e.g. accused student and adviser, complainant and adviser, media assistant, University representatives to introduce themselves).
- Description of the hearing process and procedures. The Chairperson explains the process by which the hearing will be conducted.
- Reading the Charges: The Chairperson will read a copy of the official charges and ask the Accused Student if he/she understands the nature of those charges.

e. The Complaint: The allegations will be presented as follows:

- The complainant will be asked to present their information.
- The Accused Student or their adviser (in accordance with the process established by the Panel), may ask questions of the complainant.
- The Panelists may ask questions of the complainant.
- Each witness who has information supporting the allegations will be called in sequence to provide their information and to respond to questions from the Accused Student (or their adviser if the panel allows), the Complainant (or their adviser if the panel allows), and the Panelists.

f. The Response: The accused student may respond to the allegations as follows:

- The Accused Student will be asked to present their information.
- The Complainant or their adviser (in accordance with the process established by the Panel), may ask questions of the Accused Student.
- The Panelists may ask questions of the Accused Student.
- Each witness who has information supporting the accused student will be called in sequence to provide their information and to respond to questions from the Accused Student (or their adviser if the panel allows), the Complainant (or their adviser if the panel allows), and the Panelists.

g. Re-examination: The Panelists may request to re-question any of those who have provided information at the hearing. If that is done, the accused and the complainant (or their respective advisors) will also have an opportunity to re-question in accordance with the process established by the Panel.

h. Final Statements: The complainant or their advisor, the accused student or their advisor may be allowed to make a brief summary statement. The terms of such statements may be set forth at the discretion of the Panel

i. Adjournment: The Chairperson formally declares the hearing to be adjourned.

4. The Post-Hearing Process:

- Deliberation: The GCEP Panelists will consider the evidence presented at the hearing and will make a determination as to whether the student against whom the complaint has been filed is responsible for the policy violation(s), as charged. Although this phase will typically occur immediately subsequent to the hearing, the Board may decide to meet at a later time.
- Sanctioning: The sanctions available to the GCEP Panel for recommendation to the Dean, include:
 - Warning: A notice to the student, orally, or in writing, that continuation or repetition of the conduct found wrongful, or participation in similar conduct, within a period of time stated in the warning, shall be a cause for disciplinary action.
 - Censure: A written reprimand for violation of specified regulation, including the possibility of more severe disciplinary sanction in the event of conviction for the violation of an NYU Dentistry regulation within a period of time stated in the letter of reprimand.
 - Disciplinary Probation: Exclusion from participation in privileges (clinical or didactic) or other activities as set forth in the notice of disciplinary probation for a specified period of time.
 - Restitution: Reimbursement for damage to or misappropriation of property. Reimbursement may take the

form of appropriate service to repair or otherwise compensate for damages.

- Monetary Fine: For any offense.
- Suspension of Privileges: Exclusion from activities or other privileges as set forth in the notice of disciplinary probation for a specified period of time. (this may include restrictions on access to certain areas of campus or suspension of other rights and services typically afforded University students).
- Suspension from the University: Exclusion from the University, in full or in part, and all related student privileges as set forth in the notice of disciplinary probation for a specified period of time.
- No Contact Directive: A directive ordering a student to refrain from any effort to contact, communicate or interact with another individual through, but not limited to, any of the following means: in person, in writing, by phone, by email, by texts, or other electronic messaging, through social media, or through a third-party.
- Dismissal from the University: Termination of student status for an indefinite period. The conditions for readmission, if any are permitted, shall be stated by the Panel in the order of dismissal.
- Transcript Notation: A notation affixed to a student's internal or external transcript indicating their involvement in a disciplinary proceeding. May be permanent or for a designated time period.

5. Written Report: At the end of the hearing process, a final written report will be prepared and submitted to the Dean, and the student against whom the complaint was filed, within five (5) working days. The report shall state the Board's finding of fact and the reasons for its decision.
6. Appeal Process: An accused student shall have the right to appeal the decision of the hearing panel on the ground that the decision or the proceedings at the hearing were arbitrary or unfair. In most matters, the Complainant does not have the right to appeal the decision. The following appeal procedures shall apply:
 - a. Request for appeal must be submitted to the Associate Dean for Graduate and Postgraduate programs within five (5) working days of issuance of the final report.
 - b. The appellate process shall not consist of a new hearing and shall be limited to a review of the written report of the proceedings by the Associate Dean for Graduate and Postgraduate Programs.
 - c. The Associate Dean may accept the report without modification, accept the report but reduce the sanction imposed, dismiss one or more of the charges entirely, or remand the case for further proceedings.
 - d. When the Associate Dean accepts the report, the matter shall be deemed finally decided without further recourse as of right.
 - e. Only upon the discovery of new and previously unavailable evidence, which might have had a substantial bearing on the decision rendered, the GCEP panel may reconsider the case.

Policies for Advanced Certificate Programs

Policy Statement

Since its founding, NYU Dentistry has been dedicated to providing high quality education for a diverse student/resident body. University faculty value the maintenance of high academic standards that underpin

institutional commitment to excellence. Additionally, the faculty endeavor to provide instruction in a learning environment that fosters professionalism, respect, intellectual inquiry, life-long learning, and a patient-centered approach to care.

It is in this spirit of dedication, excellence, and a commitment to achievement, that these Guidelines will be applied in the decision making process regarding the progress of postgraduate students/residents towards promotion and graduation.

Grading Policy

Grades and Grading Formats

A pass-fail grading system is used at NYU College of Dentistry for all Advanced Education Programs. Postgraduate students/residents enrolled in these programs have been selected through a competitive application process based on their academic pre-doctoral dental records and strict criteria for admission. The goal of education at the postgraduate level is to assure a level of competency and proficiency of the student/resident in their chosen field. Grades for courses in the Advanced Education Programs will be indicated on transcripts as follows:

Letter Grades

Grade	Description
H	Honors
P	Pass
F	Fail
F/New Grade	Initial Failure followed by subsequent New Grade
I	Incomplete

Letter Grades Used When a Resident Takes a Leave of Absence

Grade	Description
W	Coursework not completed
W/S	performance in course satisfactory at time of leave
W/U	performance in course unsatisfactory at time of leave

Definition of Grades

H: Indicates performance well above the level expected of a postgraduate student/resident.

P. Indicates the expected level of performance at a postgraduate level.

F. Indicates performance that is below the level expected from a postgraduate student/resident. Students/residents who receive a grade of F are placed on academic probation and may be subject to dismissal from the program.

F/P. Indicates that postgraduate student/resident performance was initially below the expected level, but subsequently reached an acceptable level.

I: Indicates that the postgraduate student/resident has not demonstrated a level of achievement, and/or has not completed required coursework or patient care assignments at the time of evaluation and that the student/resident may not have been in control of the cause of this deficiency.

Grades in courses at the time of the granting of a leave of absence:

Postgraduate students/residents may request a leave of absence when courses are still in progress (see section below).

Faculty will be required to provide an assessment of the postgraduate student/resident progress at the time of the leave.

Where coursework is not completed, and it is not possible to determine the student/resident's level of achievement, a grade of "W" will be assigned.

If it is possible to determine the student/resident's level of achievement in a course that is not completed, the following grades will be assigned:

- "WP" designates that the student/resident was passing at the time of the leave
- "WF" designates that the student/resident's level of achievement was sub-standard at the time of the leave

Appeal of Grades Policy

If an NYU Dentistry student believes they have received an inappropriate grade due to an error in calculation or due to capricious grading, they may provide a written appeal to the Course Director or Program Director within 5 business days of receiving the contested grade. The Course Director or Program Director will send a written response to the student via email within 5 business days. If the appeal is denied, the student may choose to proceed to the Department Chair.

If a satisfactory resolution is not reached, the Department Chair can submit a request for review of the appeal by the Associate Dean for Academic Affairs (DDS) or Associate Dean of Postgraduate (PG) Programs (PG/MS) who will, in turn respond within 5 business days.

The Postgraduate Student/Resident Evaluation Process

Postgraduate students/residents enrolled in an Advanced Dental Education Program are evaluated on a continuous basis. Formal oral and written evaluations will be conducted by the program director at a *minimum of two times per academic year*. All students/residents will be evaluated on their performance in the following core competency areas: Professionalism and Ethics, Knowledge and Skills, Patient Care, Interpersonal/Communication Skills, Practice-based Learning and Improvement, and Systems-based Practice (adopted from ACGME).

Performance indicators may include, but are not limited to the following:

- course grades
- programmatic competency assessments
- faculty assessment of clinical performance and assurance of patient-centered care
- professional and ethical interactions with patients, faculty and staff
- quality and progress of research or scholarly activity

Evaluations may occur on a more frequent basis as needed, particularly if a postgraduate student/resident is not progressing as expected.

The Program Director will maintain a record of evaluation for each postgraduate student/resident. These evaluations will be reviewed with, and be accessible to, the student/resident and will be available for review during accreditation site visits.

The official academic record for postgraduate students/residents is the transcript, which is maintained by the University Registrar. Course grades are reported to the Registrar's office at appropriate intervals during the academic year. Students/residents have access to their transcripts online via NYU Albert (https://albert.nyu.edu/albert_).

Postgraduate students/residents should review their transcripts at the end of each semester to assure accuracy.

All written notifications of academic status change MUST be copied to the Associate Dean for Postgraduate Programs to the Registrar for inclusion in the student/resident's academic file.

Criteria for Promotion to the Next Academic Year

Postgraduate students/residents will be promoted to the next academic year when they have fulfilled the following criteria:

1. they are in good standing
 - a. passed all courses in the current academic year
 - b. are under no academic or disciplinary sanctions
 - c. have no outstanding obligations with the University Offices of the Bursar and Health Immunization
2. they have completed patient care assignments to the satisfaction of the Program Director
3. they have demonstrated the expected level of clinical competency as evaluated by the Program Director

A postgraduate student/resident on academic probation who fails to meet the milestones set as conditions for continuing in the program may be dismissed from the program.

In the event that a postgraduate student/resident is not promoted to the next academic year, the Program Director must notify the student/resident in writing, and specify the conditions that must be met for the student/resident to advance as specified in the section of this document entitled: "List of Academic Actions." The Associate Dean for Postgraduate Programs must be copied on all non-promotion actions.

Definition of "in good standing." The term "in good standing" indicates that the postgraduate student/resident has received passing grades in all didactic and clinical courses, is not subject to academic discipline, and has no outstanding obligations to the University. Furthermore, the postgraduate student/resident is not under sanction for violation of any disciplinary or conduct code, or on a probationary period for violation of any University policy, such as the NYU policies on sexual harassment, or non-discrimination.

Academic Actions

Based on the evaluation of academic progress at the end of a semester or the academic year, postgraduate students/residents are subject to one or more of the following academic actions:

Promotion: a postgraduate student/resident will be advanced to the next academic year.

Academic Warning: a postgraduate student/resident will receive an academic warning when their achievement is below expectation.

Improvement is necessary in one or more areas of evaluation to attain the expected level of achievement. This is an internal "warning" and is not posted on the official transcript.

Academic Probation: a postgraduate student/resident will be placed on academic probation at the end of a semester for "I" or "F" grades in didactic and/or clinical courses, or if the Program Director has issued an unsatisfactory evaluation. The student/resident can be removed from academic probation when appropriate remediation has been documented. Academic Probation must be remedied within the duration of the program. Academic probation appears on the official transcript and

is reportable to the Associate Dean for Postgraduate Programs and the Registrar.

Extension of Time: a postgraduate student/resident may be given additional time beyond the duration in which the program is usually completed when the student/resident is returning from a leave of absence, or if it is determined by the Program Director that the student/resident needs additional time to fulfill the requirements of the academic program.

Repetition of the Academic Year: based on an evaluation of academic and/or clinical achievement, the postgraduate student/resident may be required to repeat the entire academic year if significant additional time is needed to demonstrate competency in the discipline.

Dismissal: a postgraduate student/resident may be recommended for dismissal by the Program Director when it is determined that the student/resident's overall lack of satisfactory academic, clinical and/or professional performance warrants dismissal. Any student/resident who fails the same course twice is subject to dismissal. Similarly, a student/resident may repeat an academic year only once. Failure in a repeat year is grounds for dismissal.

Remediation: if a postgraduate student/resident fails a course he/she may be allowed to remediate. The Program Director (in conjunction with the Course Director for a Core/Shared Curriculum Course) will determine if the student/resident can remediate, must repeat the entire course, or is dismissed from the program based on overall performance. If the student/resident fails either the remediation or the repeated course, the student/resident may be required to repeat the year or be dismissed from the program. Students/residents cannot remediate or repeat a course more than once. Remediation failure or repeat course failure are grounds for dismissal from the program.

Procedures to Remedy Unsatisfactory Performance and Maintain Academic Due Process

If a student/resident's performance is deemed unsatisfactory:

1. The Program Director will document all interactions with the postgraduate student/resident in writing.
2. The Program Director will notify and advise the postgraduate student/resident of the area(s) of unsatisfactory performance.
3. The Program Director will outline corrective measures, and establish the criteria and timeline for the correction of the deficiencies.
4. At the end of the stated time, the Program Director will evaluate the postgraduate student/resident's progress.
5. If the postgraduate student/resident's performance is deemed satisfactory, the Program Director will notify the postgraduate student/resident in writing in a timely manner.
6. If deficiencies continue to exist beyond the time frame established for corrective action, the Program Director will notify the postgraduate student/resident and will make a recommendation for further academic action which may include:
 - a. extension of time
 - b. repetition of the academic year
 - c. dismissal

Procedure for Dismissal from the Program for Academic Reasons

When, based on the evaluation of postgraduate student/resident performance, a decision is made to dismiss a postgraduate student/resident from the program, the Program Director will review the postgraduate student/resident's record with the Department Chairperson

and the Associate Dean for Postgraduate Programs. Upon completion of the review, the Program Director will notify the postgraduate student/resident of the action taken and dismissal will become effective immediately. Notification to the student/resident will include the following:

1. reason(s) for the dismissal
2. effective date of the dismissal
3. process for appeal

Should the postgraduate student/resident wish to appeal the dismissal, participation in all clinical and didactic programmatic activities will be suspended until the appeals process is completed.

Appeal of a Dismissal

A postgraduate student/resident must be provided the opportunity to appeal the decision for dismissal. This appeal must be made in writing to the Dean of the College within five working days of dismissal notification (a written notification). Appeals may only be made on the basis of a procedural error in the dismissal process. Appeals for re-evaluation of the evidence used in the dismissal determination will not be considered.

The Dean of the College, or their designee, will review the appeal and will render a final decision within five working days of receiving the appeal. The Dean of the College, or their designee, will notify the student/resident, the Department Chair, the Program Director, the Senior Vice Dean for Research and Academic Affairs, and the Associate Dean for Postgraduate Programs of the results of the appeal review. After the appeal review process has been completed, the decision is final and not subject to further appeal.

Procedure for Dismissal from the Program for Non-Academic Reasons

The procedure for dismissal from the Program for Non-Academic Reasons and the associated appeals process can be accessed on the Dental PG Academics Card on NYU Home. NYU Dentistry follows the University Code of Ethical Conduct and the ADA Code of Ethics and Professional Conduct. Allegations of violations of these ethical conduct codes by a student/resident are adjudicated by the Graduate Council on Ethics and Professionalism. Violations of University policies on sexual harassment or non-discrimination are investigated and handled by a central office for all Colleges within the University.

Interruptions in Matriculation

Leave of Absence: NYU Dentistry faculty recognize that postgraduate students/residents may encounter challenges that necessitate a temporary leave from training; faculty are dedicated to offering support to help them navigate these circumstances.

Days taken for leave may need to be made up based on individual program requirements.

General Leave of Absence: A leave of absence may be considered under special circumstances. All leaves of absence must be submitted on the Leave of Absence Request Form available on NYU Home - PG Academic Card. This document must include the general reason for the request and the proposed duration of the leave. The decision to grant a leave of absence will rest with the Program Director in consultation with the Department Chair and the Associate Dean for Postgraduate Programs.

In order to maintain continuity in the curriculum and ensure continued postgraduate student/resident competence, an absence from the

program should not extend more than one year. Approval for extensions beyond one year will be based on the following:

1. the length of time the student/resident has been in the program
2. the academic performance of the student/resident
3. changes in the curriculum that may have occurred or will occur during the leave of absence

Medical Leave of Absence: All medical leaves of absence must be substantiated with appropriate medical documentation. If a student/resident's leave of absence is based on a health problem the University must receive confirmation through either the NYU Health Center (443-1000) or the NYU Counseling Services (998-4780). This validation should be submitted to the Program Director. Refer to individual program directors for more information regarding MLA.

Maternity Leave: Maternity leave is considered a leave of absence. Students who request such a leave are under the jurisdiction of all stated requirements in this document. During this period, the student must proceed as follows:

1. Contact the Program Director and the Office of Postgraduate Programs and provide them with the anticipated first day of the leave and the approximate return date to the University.
2. Contact all faculty and departments, especially those where an exam or clinic experience is scheduled. Inform the faculty of the leave and make arrangements for any required make-ups. Students on maternity leave are responsible for all requirements as specified by the course director.
3. Contact the Program Director and the Office of Postgraduate Programs with the return date, and provide evidence of medical clearance to return to the program.

Parental Leave of Absence (non-birth parent): Parental leave is considered a leave of absence. Students who request such a leave are under the jurisdiction of all stated requirements in this document. The College recognizes the need/desire of parents to bond with their new infant and/or provide necessary emotional support to their partner. As soon as practical during the period of leave, it is required that the student comply with the following:

1. Contact the Program Director and the Office of Academic Affairs and provide them with the anticipated first day of the leave and the approximate return date to the University.
2. Contact all faculty and departments, especially those where an exam or clinic experience is scheduled. Inform the faculty of the leave and make arrangements for any required make-ups. Students on parental leave are responsible for all requirements as specified by the course director.
3. Contact the Program Director and the Office of Postgraduate Programs and provide them with the return date (students on parental leave for medical recovery reasons must provide evidence of medical clearance to return to the program). Refer to individual program directors for more information regarding PLA.

Mandatory Leave of Absence: NYU Dentistry reserves the right to require a student to take a leave of absence when there is a concern for the welfare of the student or the public. Request to return from a mandatory leave of absence must be supported by appropriate medical documentation and approved by the Wellness Center.

Outstanding Financial Obligations: A student with an outstanding financial obligation to the College/University may be de-enrolled;

the general rules of a leave of absence apply to this involuntary administrative leave of absence. Before a student can be considered for return to the college, all outstanding financial obligations must be satisfied.

Grades in Courses at the Time of the Granting of a Leave of Absence: Students may request a leave of absence when courses have not been completed. Students cannot obtain partial credit for courses that are interrupted.

Returning From a Leave of Absence: When a student/resident is able to return from a leave of absence, the request for reinstatement must be submitted in writing to the Program Director utilizing the Request for Return from Leave of Absence form (located on the Dental PG Academic Card on NYU Home), with copies to the Department Chairperson and the Associate Dean for Postgraduate Programs

Before returning to the College, the student/resident is subject to an academic review by the Program Director, the Department Chair, and the Associate Dean for Postgraduate Programs. The review will determine when, or if, the student/resident is eligible to return. The following factors will be considered in determining when or if the student/resident may return:

1. the student/resident's academic record
2. the changes that may have occurred in the curriculum during the period that the student/resident was on leave
3. the current status of courses in the overall continuum of instruction and where the student/resident's educational progress can be most reasonably accommodated

In addition, the Program Director, Department Chair, and Office of Postgraduate Programs will determine the following:

1. whether the circumstances that initiated a leave of absence have been resolved
2. whether any outstanding obligations to the University have been met
3. whether any other relevant circumstances have been remediated

There is no guarantee of reinstatement.

Withdrawals

DDS, Advanced Education, and Masters students seeking to withdraw from one, or all courses, should consult his/her program director or associate dean.

Requirements for Graduation

At the completion of their training, post-graduate students/residents will be deemed eligible to receive their certificate or degree when all of the following requirements have been met:

1. All graduation requirements are met and all coursework is completed with a Passing grade.
2. Patient care assignments are completed and/or the continuity of patient care is assured through transfer to another student/resident with the approval of the Program Director.
3. If required by the program, any term paper, thesis, research project or comprehensive examination requirements have been satisfied.
4. All obligations to the University have been met (Office of the Bursar, Library, Health and Immunization, Credit Manager, or other).
5. The student is not under sanction for violation of any disciplinary or conduct code, or on a probationary period for violation of any

University policy, such as the NYU policies on sexual harassment, or non-discrimination.

Standards of Conduct

Code of Ethics and Professional Conduct (Masters and Advanced Certificate Programs)

Introduction

NYU Dentistry acknowledges the respect that the public holds for our profession. Accordingly, all members of NYU Dentistry community should comply with local, state, and federal standards, regulations, and policies that pertain to health and health care. In addition, New York University College of Dentistry (NYU Dentistry) adheres to the principles of conduct set forth within the following Code of Ethics and Professionalism (referred to as the "Code" throughout this document). The Code applies to all NYU Dentistry students, faculty, researchers, administrators, and professional staff of NYU Dentistry. This document outlines the principles of the Code that pertain specifically to the Advanced Education Postgraduate Certificate and Master's Degree students. Throughout this document, "Dean" refers to the Dean of NYU Dentistry or the Dean's designee.

Alleged violations of the Code by postgraduate certificate and masters students will be adjudicated by the Graduate Council for Ethics and Professionalism.

Allegations of non-academic misconduct, as outlined in the University Student Conduct Policy, against a student of NYU Dentistry, shall be addressed pursuant to the procedures set forth in the NYU Student Conduct Procedures and administered by the Office of Student Conduct and Community Standards under the authority of the Vice President for University Life and Global Engagement. Allegations of academic and/or clinical misconduct (including, but not limited to, plagiarism, cheating, violations related to clinical education and patient care) against a student of NYU Dentistry shall continue to be addressed by the school in accordance with the Code.

Policies Regarding Standards of Conduct

The standards described in this section set forth the expectations for the conduct of all members of the NYU Dentistry community. The standards are modeled on the current ADA Principles of Ethics and Code of Professional Conduct: <https://www.ada.org/about/principles/code-of-ethics>

1. Academic and Professional Conduct: Courtesy, respect, and academic integrity create and maintain an atmosphere conducive to learning and high-quality patient care. These attributes also promote understanding within the community. Members of the NYU Dentistry community must know and comply with the rules and regulations of NYU Dentistry and New York University. They must maintain high academic standards and professional integrity. They should respect the rights, privileges, and property of other members of the NYU Dentistry community as well as guests of NYU Dentistry. Members of the NYU Dentistry community should refrain from actions that would interfere with official New York University functions or endanger the physical or emotional health, safety, or welfare of other persons. They should seek appropriate advice and guidance when unresolved ethical dilemmas arise. Actions that are dishonest, unethical, or otherwise not in accordance with New York University or NYU Dentistry academic policies or procedures are violations of the Code of Ethics and Professional Conduct. Violations of the Code include, but are not limited to, the following examples:
 - a. Any action that interferes with teaching, research, administration, or clinical activity at NYU Dentistry
 - b. Treating others disrespectfully or engaging in unprofessional behavior
 - c. Cheating or plagiarism during an exam, quiz, or assigned academic activity; misrepresentation of one's own academic or clinical work; using proprietary materials without the authorization or consent of the owner; or falsifying, tampering with, or destroying an academic or clinical record, document, or file
 - d. Providing false, incomplete or misleading information during admissions or the financial aid applications process, or in documentation provided in relation to clinical privileges, such as proof of health status and immunization records
 - e. Interfering with the reporting, investigating, or adjudication of an alleged violation of this Code or failing to report a violation of the Code
 - f. Aiding another person in committing any of the acts described in this Section (II.A)

2. Clinical Conduct: The guidelines for clinical conduct and patient care are set forth in the following:
 - a. NYU Dentistry Clinic Manual: <https://dental.nyu.edu/aboutus/leadership-and-administration/intra/clinical-affairs/clinic-manual.html>
 - b. Academic Standards and Policies document for:
 - i. Postgraduate Programs: <http://dental.nyu.edu/content/dam/nyudental/documents/AEPolicies.pdf>
 - ii. Master's Programs: https://dental.nyu.edu/content/dam/nyudental/documents/MS_Policies.pdf

Any violation of the policies and/or procedures contained in these documents is considered a violation of this Code.

1. Student Honor Code: All postgraduate certificate and master's students are required to acknowledge and agree to the principles of the NYU Dentistry Code of Ethical Conduct by signing the Student Honor Code prior to the start of their respective programs.
2. Compliance with other New York University policies and obligations including, but not limited to the following
 - a. University Student Conduct Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/university-student-conduct-policy.html>)
 - b. Non-discrimination and Anti-harassment Policy and Complaint Procedures for Students (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/non-discrimination-and-anti-harassment-policy-and-complaint-proc.html>)
 - c. Sexual Misconduct, Relationship Violence, and Stalking Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/sexual-misconduct-relationship-violence-and-stalking-policy.html>)
 - d. Social Media Policy (<http://dental.nyu.edu/content/dam/nyudental/documents/intra/policies/social-media-policy.pdf>)

Disciplinary Measures

Process for Handling Alleged Violations of the Code of Ethics and Professional Conduct by Advanced Certificate and Master's Students

Disciplinary policies, process, and procedures (adapted from the NYU Disciplinary Policies, Process, and Procedures - October 2014). Approved by EMC: August 5, 2015. Updated and Approved by EMC: May 1, 2024.

The following policies and procedures are those by which alleged violations of NYU Dentistry Code of Ethics and Professionalism will be reviewed and resolved through the NYU Dentistry Graduate Council on Ethics. [Please note that these procedures do not apply in matters of complaints of alleged sexual misconduct (e.g. sexual assault, relationship violence, and/or sexual harassment). Such complaints are addressed through the University process for Reporting, Investigating, and Resolving Sexual Misconduct, Relationship Violence, and Stalking Complaints Against Students].

General

1. The Complaint: At NYU Dentistry, a disciplinary action against a graduate or post-graduate student is commenced when a complaint is filed with the Office of the Associate Dean for Graduate and Postgraduate Programs. Any member of the faculty, administration, or staff or any student may file a complaint against any student for an alleged violation of the NYU Dentistry Code of Ethics. Although a complaint may be filed at any time, it is strongly preferred that the complaint be submitted as soon as possible after the reporter/complainant became aware of the matter. A complaint should include a description of the incident giving rise to the complaint, the identity of the accused student(s), and the names of others who may have been present, observed the incident, or who otherwise have information related to the matter. Notice of the filing of a formal complaint shall be emailed to the student within 48 hours.
2. Consideration of Interim Suspension: The Dean, or their designees may determine to suspend the student who is accused of having violated University policy pending consideration of their case through the disciplinary process. A student should not summarily be suspended either completely, or for certain purposes (e.g. a suspension from a University class, program, building, Study Away Site, or other University activity/facility) except for reasons relating to his/her physical or emotional safety and well-being, the safety and well-being of students, faculty, or staff, or University property, the maintenance of public order, or the effective continuation of the education process. When this occurs, the student shall be afforded the opportunity to expedite disciplinary proceedings so as to enable the determination of the appropriate resolution at the earliest possible time. Any period of interim suspension shall be deducted from any ultimate sanction involving suspension. A student who has been subject to interim suspension and who is found "not responsible" shall be allowed full opportunity to make up whatever work was missed due to the suspension.
3. Preliminary Review and Disposition: The Associate Dean for Graduate and Postgraduate Programs will review the complaint, report, and other materials submitted to that office. Based upon the preliminary review, he/she, in consultation with the other University offices where appropriate, may make the determination to dispose of the matter as follows:
 - a. Dismissal: The matter may be dismissed if the facts alleged in the complaint, even if they are true, do not constitute a violation of a University policy or an NYU Dentistry policy.
 - b. Non-Judicial Intervention: The matter may be resolved through a non-judicial intervention (e.g. mediation, educational interventions, administrative actions) if it is deemed to be of a minor nature that is appropriately addressed in such a manner.
 - c. Referral to Alternate University Venue: The matter may be referred to a University office or process (e.g. Office of Equal Opportunity, etc.) that is deemed to be the appropriate venue through which to address the matter, as follows:

Phase 1; Investigation: The Associate Dean for Graduate and Postgraduate Programs (or his/her designee), will refer the complaint to the Chair of the Graduate Council for Ethics and Professionalism who will commence the process of investigating the matter by contacting the Complainant or the person filing the report. The Chair and an investigative committee, (appointed by the Chair and consisting of 2 members of the Council) will then notify the student(s) named in the complaint or report to inform the student(s) of the filing of the complaint/ report and request to meet with those individuals. During the respective meetings/ discussions, the students (Complainant and Accused) shall be informed of their rights and responsibilities within the student conduct process, be apprised of the University's related procedures, and asked to discuss the incident giving rise to the report/complaint. The students may also be asked to submit (by a designated date) a written statement about the incident and to provide the name and contact information of any witnesses/others who might be able to offer information regarding the matter.

Phase 2; Consensual Resolution: Based upon the results of the investigation, an attempt may be made to address the complaint through the acceptance of a set of terms proposed by the University in lieu of a formal Graduate Council of Ethics and Professionalism hearing. The acceptance of the terms of such a Consensual Resolution is considered to constitute an agreement of responsibility for the stated behavior/violation on the part of the accused student and the terms shall be considered to be "disciplinary sanctions." If, for any reason, a consensual resolution is deemed to be unattainable or inappropriate, the case will be referred for a formal hearing in front of the Graduate Council for Ethics and Professionalism.

1. Terms: The terms of a Consensual Resolution may be rendered directly by the Associate Dean for Graduate and Postgraduate Programs, or their designee, provided that a suspension, withdrawal, or dismissal from the University is not among the terms. If the terms include a suspension, withdrawal, or dismissal from the College, the consensual resolution shall be rendered by the Senior Vice Dean for Research and Academic Affairs. The terms by which the College proposes to resolve the matter in lieu of a hearing will be set forth in a letter of Consensual Resolution.
2. Consent: In most matters, only the consent of the student accused is required. Although a complainant/victim may be consulted as to the nature of the terms, their approval is not required.
3. Response: The student(s) from whom acceptance of the terms is required (as noted above in II.B.2), will be afforded a reasonable period of time, typically not less than 3 calendar days, within which to respond to the letter to indicate their acceptance or rejection of those terms.
4. Disposition: If the proposed terms are accepted, those terms shall be implemented and the matter deemed to be resolved as an agreement of responsibility and resolution. If the terms are rejected, the matter will be referred to the Graduate Council for Ethics and Professionalism for a hearing to be convened on the matter.
5. Appeal: The terms of a Consensual Resolution are not subject to an appeal by either the complainant or the student accused of the violation. Should a party from whom consent is required (as noted above in II.B.2) decline the terms, the matter is referred to the Graduate Council for Ethics and Professionalism.
6. Notification:
 - a. In that disciplinary actions are considered part of a student's education records, the release of such records is subject to the provisions of the Family Educational Rights and Privacy Act

(FERPA). Accordingly, in most cases, the terms of the consensual resolution will be communicated to the complainant only to the extent that the complainant needs to be aware of those terms in order to report violations. Examples of such may include an order that the accused student is to have no contact with the Complainant.

- b. The Family Educational Rights and Privacy Act (FERPA) permits a postsecondary institution to disclose, to both the accused student and the complainant/victim, the final results of a disciplinary proceeding involving an alleged crime of violence regardless of whether the institution concluded that a violation was committed.

Phase 3; The Graduate Council for Ethics and Professionalism Hearing Process (if necessary)

1. General: A Graduate Council for Ethics and Professionalism hearing is an internal administrative process through which those involved in a matter before the Council are afforded an opportunity to present information and perspectives on the event/s in question so that the hearing panel can come to a decision as to whether the student against whom a complaint has been filed should be held responsible for a violation of NYU Dentistry policy. Such a hearing fundamentally differs in terms of purpose and procedures, from legal proceedings. Some examples of such differences are:

- a. A Graduate Council for Ethics and Professionalism (GCEP) consists of 16 representatives appointed by the Dean of the College. It shall include one faculty member and one student from each of the 8 Graduate and Postgraduate Programs.
- b. Each Council will be chaired by one member who has been selected by the Dean to serve in that capacity. The Chairperson will select 6 additional members of the GCEP (excluding the student and faculty members from the accused's program) to conduct the hearing in an orderly manner, state the charges, rule on the relevancy of matters discussed and evidence presented, coordinate the questioning process, be sure that the accused student has been provided with a summary of any written statements made by witnesses, call witnesses, lead the questioning process, and prepare a summary of the hearing and report of the findings.
- c. The GCEP has the authority to determine the format of hearing and the manner in which all advisors, if they wish to do so, are to conduct the questioning of witnesses.
- d. The purpose of the hearing process is to elicit relevant information, to afford the participants an opportunity to express their perceptions, and to allow the Council members to compare and contrast the various points of view and information.
- e. The role of the panel is to listen and to ask questions to clarify what has been said or to elicit additional information from witnesses, to reach a decision as to the degree of responsibility of the student for each of the violations with which he/she has been charged, and to determine sanctions, as appropriate and necessary.
- f. The panel expects those appearing before it to be forthcoming and honest in their presentations. The panel should not be expected to engage in concerted efforts to discredit the testimony or integrity of any witness and, likewise, participants are expected to refrain from engaging in questioning that the panel deems to be irrelevant, harassing, or unnecessarily repetitive.

- g. The standard of evidence utilized in decision-making is that of "preponderance," whether it is more likely than not that the accused student/group is responsible for engaging in behavior that violates NYU Dentistry policy. In reaching a decision, the panel will consider the totality of the evidence/information presented in the hearing, including statements that might be considered "hearsay" and/or evidence that might be construed as circumstantial in a civil or criminal proceeding.
- h. The complainant may be the student directly affected by the alleged actions of the accused or an NYU Dentistry faculty or administrator who has been involved in the matter or has supervisory responsibility for the students or location of the event at which the incident occurred.
- i. The panel prefers to hear directly from the students involved in the matter and the procedures utilized by a panel should afford students to opportunity to do so. However, a student cannot be compelled to testify.
- j. The accused student and the complainant have the right to have an advisor at the hearing. The role of an advisor, who may be an attorney, may be limited at the discretion of the hearing panel, to assisting the accused student in understanding the process, responding to questions, or formulating questions. If the complainant is a faculty or staff member, and if the student against whom the complaint has been filed has retained an attorney as their representative, the complainant may be provided with an attorney through the University Office of Legal Counsel.
- k. GCEP hearings are considered as confidential matters and as such are open only to the accused, the complainant, witnesses, and designated staff members from the Dean's Office or the Office of Legal Counsel of the University. Witnesses will be called to present their testimony and will be asked to leave the hearing room after doing so. They are not allowed to remain in the hearing room to hear testimony from other witnesses.
- l. The GCEP may be advised/assisted by the NYU Dentistry Office for Student Affairs in the preparation and administration of the judicial hearing process.
- m. The GCEP may be advised/assisted by the Office of Legal Counsel in the preparation and administration of the judicial hearing process.
- n. An audio recording will be made of the hearing. The recording will be preserved by the Chair of the GCEP until the appeal period has elapsed or until all appellate procedures have been completed. A written transcript of the hearing will not be prepared.

2. Graduate Council for Ethics and Professionalism Procedures

- a. The student will be notified in writing of the date, time, and location of the hearing as well as the specific charges to be reviewed by the GCEP.
- b. The GCEP hearing will be scheduled for no sooner than seven days after the sending of a written notice to the student advising him/her of the date, time, and location of the hearing except upon the consent of the accused student.
- c. If despite being notified of the date, time, and location of the hearing, the student is not in attendance, the hearing may proceed as scheduled and sanctions may be imposed in his/her absence. In doing so, the GCEP will consider the available testimony, evidence, and materials. Only if there is clear evidence that emergency circumstances beyond the control of the accused student or the complainant prevented either from being present, will the decision be set-aside pending a reconvening of the hearing.

d. Permission to postpone a hearing may be granted provided that the request to do so is based on a compelling emergency and is presented in writing to the Chair of the GCEP at least 24 hours prior to the time of the hearing.

e. All evidence in the form of written statements or other physical evidence should be provided to the Chair of the GCEP at least one week prior to the scheduled hearing so that the evidence may be made available to the accused student, the complainant, and the GCEP panel members.

f. Members of the GCEP panel, the accused student, and the complainant will be provided with the same set of written statements and other documents related to the incident and the related charges.

g. If either the accused or complainant intends to use audio or video or other such forms for presentations at the hearing, it is their responsibility to provide such equipment. If the student is unable to provide such equipment and wishes to request assistance by having the GCEP make such equipment available, he/she should make such a request at least 3 days prior to the date and time of the hearing. Although every effort will be made to do so, the GCEP cannot guarantee the availability of requested audio, video, or other such equipment at the hearing.

h. It is the responsibility of the accused student and the complainant to contact and ensure that all witnesses on their respective behalves are present at the hearing. The Chair of the GCEP should be given the names of all such witnesses who are expected to present information at the hearing as well as any available written statements from those witnesses at least 48 hours prior to the hearing.

i. The accused student and the complainant, with the assistance of their respective advisors, may (at the discretion of, and through a process to be determined by, the GCEP panel) examine and cross examine witnesses either directly or through members of the GCEP panel. Legal counsel for either complainant or accused, if present, may act in an advisory capacity, but will not be directly involved in the questioning of witnesses.

j. At the end of the hearing process, a final written report will be prepared and submitted to the Dean of the College, the student against whom the complaint was filed within seven (7) calendar days. The report shall state the GCEP panel's finding of fact and the reasons for its decision. In accordance with the Family Education Rights and Privacy Act (FERPA), a complainant is not notified of the outcome of a hearing unless there are sanctions of which that person needs to be aware in order to take an action. (e.g. the accused is ordered not to contact the complainant/victim and would be required to be aware of that and to report any further violations; the complainant/victim is to be reimbursed for damages, etc.).

NOTE: The Family Educational Rights and Privacy Act (FERPA) permits a school to disclose, to a harassed student, information about the sanction imposed upon a student who was found to have engaged in harassment/violence when the sanction directly relates to the harassed student. This includes an order that the harasser stay away from the harassed student, or that the harasser is prohibited from attending school for a period of time, or transferred to other classes or another residence hall.

3. The Hearing Process: As noted above, the GCEP Panel is empowered to conduct hearing proceedings as the panelists deem appropriate. The following is presented only as an example of a typical format.

It should not be construed as the process that a panel is obliged to follow.

- a. Call to Order: The Chairperson will formally call the hearing to order.
- b. Introductions: The Chairperson will introduce the members of the Panel and ask others in the room (e.g. accused student and adviser, complainant and adviser, media assistant, University representatives to introduce themselves).
- c. Description of the hearing process and procedures. The Chairperson explains the process by which the hearing will be conducted.
- d. Reading the Charges: The Chairperson will read a copy of the official charges and ask the Accused Student if he/she understands the nature of those charges.
- e. The Complaint: The allegations will be presented as follows:
 - The complainant will be asked to present their information.
 - The Accused Student or their adviser (in accordance with the process established by the Panel), may ask questions of the complainant.
 - The Panelists may ask questions of the complainant.
 - Each witness who has information supporting the allegations will be called in sequence to provide their information and to respond to questions from the Accused Student (or their adviser if the panel allows), the Complainant (or their adviser if the panel allows), and the Panelists.
- f. The Response: The accused student may respond to the allegations as follows:
 - The Accused Student will be asked to present their information.
 - The Complainant or their adviser (in accordance with the process established by the Panel), may ask questions of the Accused Student.
 - The Panelists may ask questions of the Accused Student.
 - Each witness who has information supporting the accused student will be called in sequence to provide their information and to respond to questions from the Accused Student (or their adviser if the panel allows), the Complainant (or their adviser if the panel allows), and the Panelists.
- g. Re-examination: The Panelists may request to re-question any of those who have provided information at the hearing. If that is done, the accused and the complainant (or their respective advisors) will also have an opportunity to re-question in accordance with the process established by the Panel.
- h. Final Statements: The complainant or their advisor, the accused student or their advisor may be allowed to make a brief summary statement. The terms of such statements may be set forth at the discretion of the Panel
- i. Adjournment: The Chairperson formally declares the hearing to be adjourned.

4. The Post-Hearing Process:

- a. Deliberation: The GCEP Panelists will consider the evidence presented at the hearing and will make a determination as to whether the student against whom the complaint has been filed is responsible for the policy violation(s), as charged. Although this phase will typically occur immediately subsequent to the hearing, the Board may decide to meet at a later time.
- b. Sanctioning: The sanctions available to the GCEP Panel for recommendation to the Dean, include:

- Warning: A notice to the student, orally, or in writing, that continuation or repetition of the conduct found wrongful, or participation in similar conduct, within a period of time stated in the warning, shall be a cause for disciplinary action.
- Censure: A written reprimand for violation of specified regulation, including the possibility of more severe disciplinary sanction in the event of conviction for the violation of an NYU Dentistry regulation within a period of time stated in the letter of reprimand.
- Disciplinary Probation: Exclusion from participation in privileges (clinical or didactic) or other activities as set forth in the notice of disciplinary probation for a specified period of time.
- Restitution: Reimbursement for damage to or misappropriation of property. Reimbursement may take the form of appropriate service to repair or otherwise compensate for damages.
- Monetary Fine: For any offense.
- Suspension of Privileges: Exclusion from activities or other privileges as set forth in the notice of disciplinary probation for a specified period of time. (this may include restrictions on access to certain areas of campus or suspension of other rights and services typically afforded University students).
- Suspension from the University: Exclusion from the University, in full or in part, and all related student privileges as set forth in the notice of disciplinary probation for a specified period of time.
- No Contact Directive: A directive ordering a student to refrain from any effort to contact, communicate or interact with another individual through, but not limited to, any of the following means: in person, in writing, by phone, by email, by texts, or other electronic messaging, through social media, or through a third-party.
- Dismissal from the University: Termination of student status for an indefinite period. The conditions for readmission, if any are permitted, shall be stated by the Panel in the order of dismissal.
- Transcript Notation: A notation affixed to a student's internal or external transcript indicating their involvement in a disciplinary proceeding. May be permanent or for a designated time period.

5. Written Report: At the end of the hearing process, a final written report will be prepared and submitted to the Dean, and the student against whom the complaint was filed, within five (5) working days. The report shall state the Board's finding of fact and the reasons for its decision.

6. Appeal Process: An accused student shall have the right to appeal the decision of the hearing panel on the ground that the decision or the proceedings at the hearing were arbitrary or unfair. In most matters, the Complainant does not have the right to appeal the decision. The following appeal procedures shall apply:

- a. Request for appeal must be submitted to the Associate Dean for Graduate and Postgraduate programs within five (5) working days of issuance of the final report.
- b. The appellate process shall not consist of a new hearing and shall be limited to a review of the written report of the proceedings by the Associate Dean for Graduate and Postgraduate Programs.
- c. The Associate Dean may accept the report without modification, accept the report but reduce the sanction imposed, dismiss one

or more of the charges entirely, or remand the case for further proceedings.

- d. When the Associate Dean accepts the report, the matter shall be deemed finally decided without further recourse as of right.
- e. Only upon the discovery of new and previously unavailable evidence, which might have had a substantial bearing on the decision rendered, the GCEP panel may reconsider the case.

Policies for the Advanced Certificate in Clinical Research Program

The Student Evaluation Process

Students enrolled in the Graduate Programs are evaluated on a continuous basis. Each course director evaluates student performance using quizzes, homework assignments, midterm and final exams, and other assignments or projects. Formal oral and/or written evaluations will be conducted by course instructors each semester, and by the program director each academic year. Performance indicators may include, but are not limited to course grades, faculty assessment of the student based on the transcript and other communications, professional and ethical interactions with other students and faculty, and the quality and progress of research or scholarly activity (practicum experience etc.). Evaluations may occur on a more frequent basis as needed, particularly if a student is not progressing as expected.

The Program Director will maintain a record of evaluation for each student. These evaluations will be accessible to the student. The official academic record for graduate students is the transcript, which is maintained by the University Registrar. Course grades are reported to the Registrar's office at appropriate intervals during the academic year. Students have access to their transcripts online through the Student Information Service ("Albert"), by logging on to NYU Home (<http://home.nyu.edu/>) and selecting "Albert". Students should review their transcripts at the end of each semester to ensure accuracy.

All written notifications of academic status change MUST be copied to the Associate Dean for Postgraduate Programs and to the Registrar for inclusion in the student/resident's academic file.

Clinical Research Certificate Grading Policy

Letter grades are used for all courses in the Graduate Programs as specified in each course syllabus. Each course director will distribute this information to the students at the beginning of each course. The goal of education at the graduate level is to ensure a level of competency and proficiency of the student in relation to the competencies established by each Graduate Program.

Grades for courses in the graduate programs will be indicated on transcripts as follows:

A = 91-100; B = 81-90; C = 70-80; F = 69 and below

Definitions of each grade category are as follows:
A, A-: Earned by work whose excellent quality indicates a full mastery of the subject and, in the case of the grade of A, is of extraordinary distinction.

B+, B, B-: Earned by work that indicates a good comprehension of the course material, a good command of the skills needed to work with the course material, and the student's full engagement with the course requirements and activities.

C+, C, C-: Earned by work that indicates an adequate and satisfactory comprehension of the course material and the skills needed to work with the course material and that indicates the student has met the basic requirements for completing assigned work and participating in class activities.

F. Fail

I: Indicates that the student has not demonstrated a level of achievement and/or has not completed required coursework at the time of evaluation when the course of study has ended, and that the student may not have been in control of the cause of this deficiency. A grade of "I" requires extra work, which must be completed within 4 weeks after completion of the course. After that time, the grade must be changed to a passing or failing grade. An extension may be granted for documented medical, personal, or accessibility reasons through consultation with the Senior Vice Dean for Research Development and Academic Affairs.

W: Withdrawal

Modification of Grades

Faculty may use a plus "+" to modify grades of A, B and C. In addition, faculty may use a minus to modify grades of A and B. The use of a "+" with a grade increases the grade point value by 0.3 and a minus will decrease the value by 0.3. A grade of A can be modified with a "+" but without an increase in the grade point value. A grade of C may be modified with a + but may not be modified by a minus.

"F" grades must be corrected within one academic year.

Students with "I" or "F" grades on their transcript will be placed on academic probation and must correct the deficiency by taking and passing the course the next semester the course is offered (generally the following year).

Students with more than one "I" or "F" grades on their transcripts in any given academic semester or year, may not be promoted to the next level of training.

Failure to correct any grade deficiencies may result in academic actions that could include dismissal from the program.

Transcript Policy and Repeating a Course

If a student fails a course, he/she must repeat the course the next time it is offered (often the following year). The "F" remains on the transcript but is not computed into the student's GPA (credits are not counted). The grade earned for the repeated course is computed in the GPA.

Only two attempts per course are permitted. Any student who does not pass a course that is required for his/her degree after two attempts, will be required to withdraw from the program.

A student may not repeat a course that he/she has passed with a grade of "C" or higher in an effort to improve their GPA.

Dropping a Course

Students must file the necessary paperwork to drop courses within the accepted deadline, generally two (2) weeks after the start date of the course. Courses that are not formally dropped by submitting the necessary forms to the Registrar will appear on the transcript as "W" (withdrawal). Such courses must be repeated with a passing grade in order for the student to be certified for graduation.

Grades for Courses at the Time of Being Granted a Leave of Absence

Students may request a leave of absence when courses are still in progress.

Faculty will be required to provide an assessment of student progress at the time of the leave.

- Where course work is not completed, and it is not possible to determine the student's level of achievement, a grade of "W" (Withdrawal) will be assigned.
- If it is possible to determine the student level of achievement in a course that is not completed, the following grades will be assigned:
 - "WP" (Withdrawal Passing) will designate that the student was passing at the time of the leave.
 - "WF" (Withdrawal Failing) will designate that the student's level of achievement was sub-standard at the time of the leave.

Appeal of Grades Policy

If an NYU Dentistry student believes he/she has received an inappropriate grade due to an error in calculation or due to capricious grading, he/she may provide a written appeal to the Course Director or Program Director within 5 business days of receiving the contested grade. The Course Director or Program Director will send a written response to the student via email within 5 business days. If the appeal is denied, the student may choose to proceed to the Department Chair.

If a satisfactory resolution is not reached, the Department Chair may submit a request for review of the appeal by the Associate Dean for Academic Affairs (DDS) or Associate Dean of Postgraduate (PG) Programs (PG/MS) who will, in turn respond within 5 business days.

Criteria for Promotion to the Next Academic Year

For programs with a duration of more than one year, a student will be promoted to the next academic year when he/she has fulfilled the following criteria:

1. the student is in good standing:
 - passed all courses in the current academic year or has an "F" grade in a required course that must be taken within the next academic year
 - maintained an overall GPA of 3.0
 - is under no academic or disciplinary sanctions
 - has no outstanding obligations with the University Offices of the Bursar or with Health and Immunization
2. the student has repeated any course in which an "F" was awarded the previous year, and has successfully passed that course
3. the student has demonstrated a level of knowledge/proficiency as evaluated by the faculty and the Program Director

Definition of "in good standing":

The term "in good standing" indicates that the student has received passing grades in all courses (or has an "F" grade in a required course that must be taken within the next academic year), maintains the necessary minimum GPA, is not subject to academic discipline, and has no outstanding obligations to the University. Furthermore, the student is not under sanction for violation of any disciplinary or conduct code, or on a probationary period for violation of any University policy, such as the NYU policies on sexual harassment, ethical misconduct, or non-discrimination.

All written notifications of academic status change must be copied to the Associate Dean for Postgraduate Programs and to the Registrar for inclusion in the student/resident's academic file.

Academic Actions

Based on the evaluation of academic progress at the end of a semester or the academic year, students are subjected to one or more of the following academic actions:

Promotion: a student will be advanced to the next academic year.

Academic Warning: a student may be given an academic warning when a Course or Program Director believes that the student is not progressing as required in the course/program, and may be in danger of failing a course, or performing below the minimum required GPA. Academic warning is unofficial in that it is not reported to the Office of Postgraduate Programs or the Registrar, and does not appear on the student's official transcript. Documentation of Academic Warning is placed in the student's evaluation folder. Failure to improve could lead to Academic Probation.

Academic Probation: a student will be placed on academic probation at the end of a semester for "F" grades in any course, for a GPA less than 3.0, or if the Program Director or the Course Director has issued an unsatisfactory evaluation. The student can be removed from academic probation when appropriate improvement of the deficiency has been properly documented. Academic Probation must be remedied within one academic year. Academic probation is recorded on the student's transcript and reported to the Office of Graduate and Postgraduate Programs and the Registrar.

Extension of Time: a student may be given additional time beyond the time in which the program is usually completed when the student is returning from a leave of absence, or if it is determined by the Program Director that the student needs additional time to fulfill the requirements of the academic program for valid reasons supported with evidence. Part-time students are required to complete the program within twice the time it takes full time students to complete the program (i.e., a 2-year full-time program should be completed within 4 years after matriculation), unless otherwise specified by the Program Director.

Dismissal: a student will be dismissed from a graduate program if:

1. two or more "F" grades are earned in any semester,
2. the student earns an "F" in a course that is being repeated for prior unsatisfactory performance, or
3. the Program Director determines that the student's overall lack of satisfactory academic and/or professional performance warrants dismissal.

Procedures to Remedy Unsatisfactory Performance and Maintain Academic Due Process

If a student's performance is deemed unsatisfactory:

1. The Program Director will document all interactions with the student in writing (both emails and hard copies).
2. The Program Director will notify and advise the student of the area(s) of unsatisfactory performance.
3. The Program Director will outline corrective measures, and establish the criteria and timeline for the correction of the deficiencies.
4. At the end of the stated time, the Program Director will evaluate the student's progress.
5. If the student's performance is deemed satisfactory, the Program Director will notify the resident in writing in a timely manner.
6. If deficiencies continue to exist beyond the time frame established for corrective action, the Program Director will notify the student and will make a recommendation for further academic action which may include:

- i. extension of time
- ii. repetition of the academic year
- iii. dismissal

Procedure for Dismissal from the Program for Academic Reasons

When, based upon the evaluation of student performance, a decision is made to dismiss a student from the program, the Program Director will review the student's record with the Department Chairperson and the Associate Dean for Postgraduate Programs. Upon completion of the review, the Program Director will notify the student of the action taken and dismissal will take effect following notification, pending any appeal. The notification to the student will include the following:

1. reason(s) for the dismissal
2. effective date of the dismissal
3. process for appeal

Should the student wish to appeal the dismissal, participation in all didactic and research programmatic activities will be suspended until the appeals process is completed.

Procedure for Dismissal from the Program for Non-Academic Reasons

The procedure for dismissal from the Program for Non-Academic Reasons, and the associated appeals process can be accessed on the Global NYU Home site, along with the NYU Code of Ethical Conduct.

Appeal of a Dismissal

A student must be provided the opportunity to appeal the decision for dismissal. This appeal must be made in writing to the Associate Dean for Postgraduate Programs within five working days of having received written notification of dismissal. Upon receipt of the appeal, the Associate Dean for Postgraduate Programs will refer the appeal to the Senior Vice Dean for Research Development and Academic Affairs for review and decision.

The Senior Vice Dean for Research Development and Academic Affairs will review the appeal and will render a final decision within five working days of receiving the appeal. The Senior Vice Dean will notify the student, the Department Chair, the Program Director, the Associate Dean for Postgraduate Programs, and the Dean of the College of the results of the appeal review. After the appeal review process has been completed, the decision is final and not subject to further appeal.

Interruptions in Matriculation

In recognition that a student may encounter difficulties during his/her matriculation and find it necessary to leave the program for a period of time, the faculty of NYU Dentistry will make efforts to assist students through such difficult periods.

General Leave of Absence: A leave of absence may be considered under special circumstances. All leaves of absence must be requested in writing addressed to the Program Director, with copies to the Department Chairperson, and the Associate Dean for Postgraduate Programs. This document must include the general reason for the request and the proposed duration of the leave. The decision to grant a leave of absence will rest with the Program Director in consultation with the Senior Vice Dean for Research Development and Academic Affairs.

Students are advised that a leave of absence may impact their student loans and they must report their leave of absence to the Office of Financial Services at NYU Dentistry in order to be apprised of the financial ramifications of the action.

To maintain continuity in the curriculum, and ensure continued student competence, an absence from the program of more than one year is strongly discouraged. Approval for extensions beyond one year will be based on:

1. the length of time the student has been in the program,
2. the academic performance of the student, and
3. changes in the curriculum that may have occurred or will occur during the leave of absence.

Medical Leave of Absence: All medical leaves of absence must be substantiated with appropriate medical documentation. If a student's leave of absence is based on a health problem the University must receive confirmation through either the NYU Health Center (993-1000) or the NYU Counseling Services (998-4780). This validation should be submitted to the Associate Dean for Postgraduate Programs.

Returning from a Leave of Absence: When a student is able to return from a leave of absence, the request for reinstatement must be in writing to the Program Director, with copies to the Department Chairperson and the Associate Dean for Postgraduate Programs. Before returning to the College, the student is subject to an academic review by the Program Director.

The Associate Dean for Postgraduate Programs will coordinate the review with the Program Director and Department Chair. The review will determine when, or if the student is eligible to return. The following factors will be considered in determining when or if the student may return:

1. the student's academic record
2. the changes that may have occurred in the curriculum during the period that the student was on leave
3. the current status of courses in the overall continuum of instruction and where the student's educational progress will be most reasonably accommodated

In addition, the Office of Graduate and Postgraduate Programs will determine if:

1. the circumstances that initiated a leave of absence have been resolved,
2. any outstanding obligations to the University have been met, and
3. any other relevant circumstance has been remediated.

There is no guarantee of reinstatement.

Withdrawals

Students seeking to withdraw from one, or all courses, should consult their program director or associate dean.

Requirements for Graduation

At the completion of their program, students in the Advanced Certificate in Clinical Research program will be deemed eligible to receive their certificate when all of the following requirements have been met:

1. All course work and discipline requirements have been met with a passing grade
2. All obligations to the University have been met (Office of the Bursar, Library, Health and Immunization, Credit Manager, or other)

Residency Requirements and Transfer of Credit

A student is in residence at NYU Dentistry when the student is matriculated in a NYU Dentistry program.

To earn the Advanced Certificate in Clinical Research, all 10 credits must be earned in residence at NYU Dentistry.

Standards of Conduct

Code of Ethics and Professional Conduct (Masters and Advanced Certificate Programs)

Introduction

NYU Dentistry acknowledges the respect that the public holds for our profession. Accordingly, all members of NYU Dentistry community should comply with local, state, and federal standards, regulations, and policies that pertain to health and health care. In addition, New York University College of Dentistry (NYU Dentistry) adheres to the principles of conduct set forth within the following Code of Ethics and Professionalism (referred to as the "Code" throughout this document). The Code applies to all NYU Dentistry students, faculty, researchers, administrators, and professional staff of NYU Dentistry. This document outlines the principles of the Code that pertain specifically to the Advanced Education Postgraduate Certificate and Master's Degree students. Throughout this document, "Dean" refers to the Dean of NYU Dentistry or the Dean's designee.

Alleged violations of the Code by postgraduate certificate and masters students will be adjudicated by the Graduate Council for Ethics and Professionalism.

Allegations of non-academic misconduct, as outlined in the University Student Conduct Policy, against a student of NYU Dentistry, shall be addressed pursuant to the procedures set forth in the NYU Student Conduct Procedures and administered by the Office of Student Conduct and Community Standards under the authority of the Vice President for University Life and Global Engagement. Allegations of academic and/or clinical misconduct (including, but not limited to, plagiarism, cheating, violations related to clinical education and patient care) against a student of NYU Dentistry shall continue to be addressed by the school in accordance with the Code.

Policies Regarding Standards of Conduct

The standards described in this section set forth the expectations for the conduct of all members of the NYU Dentistry community. The standards are modeled on the current ADA Principles of Ethics and Code of Professional Conduct: <https://www.ada.org/about/principles/code-of-ethics>

1. Academic and Professional Conduct: Courtesy, respect, and academic integrity create and maintain an atmosphere conducive to learning and high-quality patient care. These attributes also promote understanding within the community. Members of the NYU Dentistry community must know and comply with the rules and regulations of NYU Dentistry and New York University. They must maintain high academic standards and professional integrity. They should respect the rights, privileges, and property of other members of the NYU Dentistry community as well as guests of NYU Dentistry. Members of the NYU Dentistry community should refrain from actions that would interfere with official New York University functions or endanger the physical or emotional health, safety, or welfare of other persons. They should seek appropriate advice and guidance when unresolved ethical dilemmas arise. Actions that are dishonest, unethical, or otherwise not in accordance with New York University or NYU

Dentistry academic policies or procedures are violations of the Code of Ethics and Professional Conduct. Violations of the Code include, but are not limited to, the following examples:

- a. Any action that interferes with teaching, research, administration, or clinical activity at NYU Dentistry
- b. Treating others disrespectfully or engaging in unprofessional behavior
- c. Cheating or plagiarism during an exam, quiz, or assigned academic activity; misrepresentation of one's own academic or clinical work; using proprietary materials without the authorization or consent of the owner; or falsifying, tampering with, or destroying an academic or clinical record, document, or file
- d. Providing false, incomplete or misleading information during admissions or the financial aid applications process, or in documentation provided in relation to clinical privileges, such as proof of health status and immunization records
- e. Interfering with the reporting, investigating, or adjudication of an alleged violation of this Code or failing to report a violation of the Code
- f. Aiding another person in committing any of the acts described in this Section (II.A)

2. Clinical Conduct: The guidelines for clinical conduct and patient care are set forth in the following:

- a. NYU Dentistry Clinic Manual: <https://dental.nyu.edu/aboutus/leadership-and-administration/intra/clinical-affairs/clinic-manual.html>
- b. Academic Standards and Policies document for:
 - i. Postgraduate Programs: <http://dental.nyu.edu/content/dam/nyudental/documents/AEPolicies.pdf>
 - ii. Master's Programs: https://dental.nyu.edu/content/dam/nyudental/documents/MS_Policies.pdf

Any violation of the policies and/or procedures contained in these documents is considered a violation of this Code.

1. Student Honor Code: All postgraduate certificate and master's students are required to acknowledge and agree to the principles of the NYU Dentistry Code of Ethical Conduct by signing the Student Honor Code prior to the start of their respective programs.
2. Compliance with other New York University policies and obligations including, but not limited to the following
 - a. University Student Conduct Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/university-student-conduct-policy.html>)
 - b. Non-discrimination and Anti-harassment Policy and Complaint Procedures for Students (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/non-discrimination-and-anti-harassment-policy-and-complaint-proc.html>)
 - c. Sexual Misconduct, Relationship Violence, and Stalking Policy (<https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/sexual-misconduct-relationship-violence-and-stalking-policy.html>)
 - d. Social Media Policy (<http://dental.nyu.edu/content/dam/nyudental/documents/intra/policies/social-media-policy.pdf>)

Disciplinary Measures

Process for Handling Alleged Violations of the Code of Ethics and Professional Conduct by Advanced Certificate and Master's Students

Disciplinary policies, process, and procedures (adapted from the NYU Disciplinary Policies, Process, and Procedures - October 2014). Approved by EMC: August 5, 2015. Updated and Approved by EMC: May 1, 2024.

The following policies and procedures are those by which alleged violations of NYU Dentistry Code of Ethics and Professionalism will be reviewed and resolved through the NYU Dentistry Graduate Council on Ethics. [Please note that these procedures do not apply in matters of complaints of alleged sexual misconduct (e.g. sexual assault, relationship violence, and/or sexual harassment). Such complaints are addressed through the University process for Reporting, Investigating, and Resolving Sexual Misconduct, Relationship Violence, and Stalking Complaints Against Students].

General

1. The Complaint: At NYU Dentistry, a disciplinary action against a graduate or post-graduate student is commenced when a complaint is filed with the Office of the Associate Dean for Graduate and Postgraduate Programs. Any member of the faculty, administration, or staff or any student may file a complaint against any student for an alleged violation of the NYU Dentistry Code of Ethics. Although a complaint may be filed at any time, it is strongly preferred that the complaint be submitted as soon as possible after the reporter/complainant became aware of the matter. A complaint should include a description of the incident giving rise to the complaint, the identity of the accused student(s), and the names of others who may have been present, observed the incident, or who otherwise have information related to the matter. Notice of the filing of a formal complaint shall be emailed to the student within 48 hours.
2. Consideration of Interim Suspension: The Dean, or their designees may determine to suspend the student who is accused of having violated University policy pending consideration of their case through the disciplinary process. A student should not summarily be suspended either completely, or for certain purposes (e.g. a suspension from a University class, program, building, Study Away Site, or other University activity/facility) except for reasons relating to his/her physical or emotional safety and well-being, the safety and well-being of students, faculty, or staff, or University property, the maintenance of public order, or the effective continuation of the education process. When this occurs, the student shall be afforded the opportunity to expedite disciplinary proceedings so as to enable the determination of the appropriate resolution at the earliest possible time. Any period of interim suspension shall be deducted from any ultimate sanction involving suspension. A student who has been subject to interim suspension and who is found "not responsible" shall be allowed full opportunity to make up whatever work was missed due to the suspension.
3. Preliminary Review and Disposition: The Associate Dean for Graduate and Postgraduate Programs will review the complaint, report, and other materials submitted to that office. Based upon the preliminary review, he/she, in consultation with the other University offices where appropriate, may make the determination to dispose of the matter as follows:
 - a. Dismissal: The matter may be dismissed if the facts alleged in the complaint, even if they are true, do not constitute a violation of a University policy or an NYU Dentistry policy.

- b. Non-Judicial Intervention: The matter may be resolved through a non-judicial intervention (e.g. mediation, educational interventions, administrative actions) if it is deemed to be of a minor nature that is appropriately addressed in such a manner.
- c. Referral to Alternate University Venue: The matter may be referred to a University office or process (e.g. Office of Equal Opportunity, etc.) that is deemed to be the appropriate venue through which to address the matter, as follows:

Phase 1 - Investigation: The Associate Dean for Graduate and Postgraduate Programs (or his/her designee), will refer the complaint to the Chair of the Graduate Council for Ethics and Professionalism who will commence the process of investigating the matter by contacting the Complainant or the person filing the report. The Chair and an investigative committee, (appointed by the Chair and consisting of 2 members of the Council) will then notify the student(s) named in the complaint or report to inform the student(s) of the filing of the complaint/ report and request to meet with those individuals. During the respective meetings/ discussions, the students (Complainant and Accused) shall be informed of their rights and responsibilities within the student conduct process, be apprised of the University's related procedures, and asked to discuss the incident giving rise to the report/complaint. The students may also be asked to submit (by a designated date) a written statement about the incident and to provide the name and contact information of any witnesses/others who might be able to offer information regarding the matter.

Phase 2 - Consensual Resolution: Based upon the results of the investigation, an attempt may be made to address the complaint through the acceptance of a set of terms proposed by the University in lieu of a formal Graduate Council of Ethics and Professionalism hearing. The acceptance of the terms of such a Consensual Resolution is considered to constitute an agreement of responsibility for the stated behavior/violation on the part of the accused student and the terms shall be considered to be "disciplinary sanctions." If, for any reason, a consensual resolution is deemed to be unattainable or inappropriate, the case will be referred for a formal hearing in front of the Graduate Council for Ethics and Professionalism.

1. **Terms:** The terms of a Consensual Resolution may be rendered directly by the Associate Dean for Graduate and Postgraduate Programs, or their designee, provided that a suspension, withdrawal, or dismissal from the University is not among the terms. If the terms include a suspension, withdrawal, or dismissal from the College, the consensual resolution shall be rendered by the Senior Vice Dean for Research and Academic Affairs. The terms by which the College proposes to resolve the matter in lieu of a hearing will be set forth in a letter of Consensual Resolution.
2. **Consent:** In most matters, only the consent of the student accused is required. Although a complainant/victim may be consulted as to the nature of the terms, their approval is not required.
3. **Response:** The student(s) from whom acceptance of the terms is required (as noted above in II.B.2), will be afforded a reasonable period of time, typically not less than 3 calendar days, within which to respond to the letter to indicate their acceptance or rejection of those terms.
4. **Disposition:** If the proposed terms are accepted, those terms shall be implemented and the matter deemed to be resolved as an agreement of responsibility and resolution. If the terms are rejected, the matter will be referred to the Graduate Council for Ethics and Professionalism for a hearing to be convened on the matter.

5. **Appeal:** The terms of a Consensual Resolution are not subject to an appeal by either the complainant or the student accused of the violation. Should a party from whom consent is required (as noted above in II.B.2) decline the terms, the matter is referred to the Graduate Council for Ethics and Professionalism.

6. **Notification:**

- a. In that disciplinary actions are considered part of a student's education records, the release of such records is subject to the provisions of the Family Educational Rights and Privacy Act (FERPA). Accordingly, in most cases, the terms of the consensual resolution will be communicated to the complainant only to the extent that the complainant needs to be aware of those terms in order to report violations. Examples of such may include an order that the accused student is to have no contact with the Complainant.
- b. The Family Educational Rights and Privacy Act (FERPA) permits a postsecondary institution to disclose, to both the accused student and the complainant/victim, the final results of a disciplinary proceeding involving an alleged crime of violence regardless of whether the institution concluded that a violation was committed.

Phase 3 - The Graduate Council for Ethics and Professionalism Hearing Process (if necessary):

1. **General:** A Graduate Council for Ethics and Professionalism hearing is an internal administrative process through which those involved in a matter before the Council are afforded an opportunity to present information and perspectives on the event/s in question so that the hearing panel can come to a decision as to whether the student against whom a complaint has been filed should be held responsible for a violation of NYU Dentistry policy. Such a hearing fundamentally differs in terms of purpose and procedures, from legal proceedings. Some examples of such differences are:
 - a. A Graduate Council for Ethics and Professionalism (GCEP) consists of 16 representatives appointed by the Dean of the College. It shall include one faculty member and one student from each of the 8 Graduate and Postgraduate Programs.
 - b. Each Council will be chaired by one member who has been selected by the Dean to serve in that capacity. The Chairperson will select 6 additional members of the GCEP (excluding the student and faculty members from the accused's program) to conduct the hearing in an orderly manner, state the charges, rule on the relevancy of matters discussed and evidence presented, coordinate the questioning process, be sure that the accused student has been provided with a summary of any written statements made by witnesses, call witnesses, lead the questioning process, and prepare a summary of the hearing and report of the findings.
 - c. The GCEP has the authority to determine the format of hearing and the manner in which all advisors, if they wish to do so, are to conduct the questioning of witnesses.
 - d. The purpose of the hearing process is to elicit relevant information, to afford the participants an opportunity to express their perceptions, and to allow the Council members to compare and contrast the various points of view and information.
 - e. The role of the panel is to listen and to ask questions to clarify what has been said or to elicit additional information from witnesses, to reach a decision as to the degree of responsibility of the student for each of the violations with which he/she has

been charged, and to determine sanctions, as appropriate and necessary.

f. The panel expects those appearing before it to be forthcoming and honest in their presentations. The panel should not be expected to engage in concerted efforts to discredit the testimony or integrity of any witness and, likewise, participants are expected to refrain from engaging in questioning that the panel deems to be irrelevant, harassing, or unnecessarily repetitive.

g. The standard of evidence utilized in decision-making is that of "preponderance," whether it is more likely than not that the accused student/group is responsible for engaging in behavior that violates NYU Dentistry policy. In reaching a decision, the panel will consider the totality of the evidence/information presented in the hearing, including statements that might be considered "hearsay" and/or evidence that might be construed as circumstantial in a civil or criminal proceeding.

h. The complainant may be the student directly affected by the alleged actions of the accused or an NYU Dentistry faculty or administrator who has been involved in the matter or has supervisory responsibility for the students or location of the event at which the incident occurred.

i. The panel prefers to hear directly from the students involved in the matter and the procedures utilized by a panel should afford students to opportunity to do so. However, a student cannot be compelled to testify.

j. The accused student and the complainant have the right to have an advisor at the hearing. The role of an advisor, who may be an attorney, may be limited at the discretion of the hearing panel, to assisting the accused student in understanding the process, responding to questions, or formulating questions. If the complainant is a faculty or staff member, and if the student against whom the complaint has been filed has retained an attorney as their representative, the complainant may be provided with an attorney through the University Office of Legal Counsel.

k. GCEP hearings are considered as confidential matters and as such are open only to the accused, the complainant, witnesses, and designated staff members from the Dean's Office or the Office of Legal Counsel of the University. Witnesses will be called to present their testimony and will be asked to leave the hearing room after doing so. They are not allowed to remain in the hearing room to hear testimony from other witnesses.

l. The GCEP may be advised/assisted by the NYU Dentistry Office for Student Affairs in the preparation and administration of the judicial hearing process.

m. The GCEP may be advised/assisted by the Office of Legal Counsel in the preparation and administration of the judicial hearing process.

n. An audio recording will be made of the hearing. The recording will be preserved by the Chair of the GCEP until the appeal period has elapsed or until all appellate procedures have been completed. A written transcript of the hearing will not be prepared.

2. Graduate Council for Ethics and Professionalism Procedures

a. The student will be notified in writing of the date, time, and location of the hearing as well as the specific charges to be reviewed by the GCEP.

b. The GCEP hearing will be scheduled for no sooner than seven days after the sending of a written notice to the student advising him/her of the date, time, and location of the hearing except upon the consent of the accused student.

c. If despite being notified of the date, time, and location of the hearing, the student is not in attendance, the hearing may proceed as scheduled and sanctions may be imposed in his/her absence. In doing so, the GCEP will consider the available testimony, evidence, and materials. Only if there is clear evidence that emergency circumstances beyond the control of the accused student or the complainant prevented either from being present, will the decision be set-aside pending a reconvening of the hearing.

d. Permission to postpone a hearing may be granted provided that the request to do so is based on a compelling emergency and is presented in writing to the Chair of the GCEP at least 24 hours prior to the time of the hearing.

e. All evidence in the form of written statements or other physical evidence should be provided to the Chair of the GCEP at least one week prior to the scheduled hearing so that the evidence may be made available to the accused student, the complainant, and the GCEP panel members.

f. Members of the GCEP panel, the accused student, and the complainant will be provided with the same set of written statements and other documents related to the incident and the related charges.

g. If either the accused or complainant intends to use audio or video or other such forms for presentations at the hearing, it is their responsibility to provide such equipment. If the student is unable to provide such equipment and wishes to request assistance by having the GCEP make such equipment available, he/she should make such a request at least 3 days prior to the date and time of the hearing. Although every effort will be made to do so, the GCEP cannot guarantee the availability of requested audio, video, or other such equipment at the hearing.

h. It is the responsibility of the accused student and the complainant to contact and ensure that all witnesses on their respective behalves are present at the hearing. The Chair of the GCEP should be given the names of all such witnesses who are expected to present information at the hearing as well as any available written statements from those witnesses at least 48 hours prior to the hearing.

i. The accused student and the complainant, with the assistance of their respective advisors, may (at the discretion of, and through a process to be determined by, the GCEP panel) examine and cross examine witnesses either directly or through members of the GCEP panel. Legal counsel for either complainant or accused, if present, may act in an advisory capacity, but will not be directly involved in the questioning of witnesses.

j. At the end of the hearing process, a final written report will be prepared and submitted to the Dean of the College, the student against whom the complaint was filed within seven (7) calendar days. The report shall state the GCEP panel's finding of fact and the reasons for its decision. In accordance with the Family Education Rights and Privacy Act (FERPA), a complainant is not notified of the outcome of a hearing unless there are sanctions of which that person needs to be aware in order to take an action. (e.g. the accused is ordered not to contact the complainant/victim and would be required to be aware of that and to report any further violations; the complainant/victim is to be reimbursed for damages, etc.).

NOTE: The Family Educational Rights and Privacy Act (FERPA) permits a school to disclose, to a harassed student, information about the sanction imposed upon a student who was found to have

engaged in harassment/violence when the sanction directly relates to the harassed student. This includes an order that the harasser stay away from the harassed student, or that the harasser is prohibited from attending school for a period of time, or transferred to other classes or another residence hall.

3. The Hearing Process: As noted above, the GCEPI Panel is empowered to conduct hearing proceedings as the panelists deem appropriate. The following is presented only as an example of a typical format. It should not be construed as the process that a panel is obliged to follow.
 - a. Call to Order: The Chairperson will formally call the hearing to order.
 - b. Introductions: The Chairperson will introduce the members of the Panel and ask others in the room (e.g. accused student and adviser, complainant and adviser, media assistant, University representatives to introduce themselves).
 - c. Description of the hearing process and procedures. The Chairperson explains the process by which the hearing will be conducted.
 - d. Reading the Charges: The Chairperson will read a copy of the official charges and ask the Accused Student if he/she understands the nature of those charges.
 - e. The Complaint: The allegations will be presented as follows:
 - The complainant will be asked to present their information.
 - The Accused Student or their adviser (in accordance with the process established by the Panel), may ask questions of the complainant.
 - The Panelists may ask questions of the complainant.
 - Each witness who has information supporting the allegations will be called in sequence to provide their information and to respond to questions from the Accused Student (or their adviser if the panel allows), the Complainant (or their adviser if the panel allows), and the Panelists.
 - f. The Response: The accused student may respond to the allegations as follows:
 - The Accused Student will be asked to present their information.
 - The Complainant or their adviser (in accordance with the process established by the Panel), may ask questions of the Accused Student.
 - The Panelists may ask questions of the Accused Student.
 - Each witness who has information supporting the accused student will be called in sequence to provide their information and to respond to questions from the Accused Student (or their adviser if the panel allows), the Complainant (or their adviser if the panel allows), and the Panelists.
 - g. Re-examination: The Panelists may request to re-question any of those who have provided information at the hearing. If that is done, the accused and the complainant (or their respective advisors) will also have an opportunity to re-question in accordance with the process established by the Panel.
 - h. Final Statements: The complainant or their advisor, the accused student or their advisor may be allowed to make a brief summary statement. The terms of such statements may be set forth at the discretion of the Panel
 - i. Adjournment: The Chairperson formally declares the hearing to be adjourned.
4. The Post-Hearing Process:

- a. Deliberation: The GCEP Panelists will consider the evidence presented at the hearing and will make a determination as to whether the student against whom the complaint has been filed is responsible for the policy violation(s), as charged. Although this phase will typically occur immediately subsequent to the hearing, the Board may decide to meet at a later time.
- b. Sanctioning: The sanctions available to the GCEP Panel for recommendation to the Dean, include:
 - Warning: A notice to the student, orally, or in writing, that continuation or repetition of the conduct found wrongful, or participation in similar conduct, within a period of time stated in the warning, shall be a cause for disciplinary action.
 - Censure: A written reprimand for violation of specified regulation, including the possibility of more severe disciplinary sanction in the event of conviction for the violation of an NYU Dentistry regulation within a period of time stated in the letter of reprimand.
 - Disciplinary Probation: Exclusion from participation in privileges (clinical or didactic) or other activities as set forth in the notice of disciplinary probation for a specified period of time.
 - Restitution: Reimbursement for damage to or misappropriation of property. Reimbursement may take the form of appropriate service to repair or otherwise compensate for damages.
 - Monetary Fine: For any offense.
 - Suspension of Privileges: Exclusion from activities or other privileges as set forth in the notice of disciplinary probation for a specified period of time. (this may include restrictions on access to certain areas of campus or suspension of other rights and services typically afforded University students).
 - Suspension from the University: Exclusion from the University, in full or in part, and all related student privileges as set forth in the notice of disciplinary probation for a specified period of time.
 - No Contact Directive: A directive ordering a student to refrain from any effort to contact, communicate or interact with another individual through, but not limited to, any of the following means: in person, in writing, by phone, by email, by texts, or other electronic messaging, through social media, or through a third-party.
 - Dismissal from the University: Termination of student status for an indefinite period. The conditions for readmission, if any are permitted, shall be stated by the Panel in the order of dismissal.
 - Transcript Notation: A notation affixed to a student's internal or external transcript indicating their involvement in a disciplinary proceeding. May be permanent or for a designated time period.
5. Written Report: At the end of the hearing process, a final written report will be prepared and submitted to the Dean, and the student against whom the complaint was filed, within five (5) working days. The report shall state the Board's finding of fact and the reasons for its decision.
6. Appeal Process: An accused student shall have the right to appeal the decision of the hearing panel on the ground that the decision or the proceedings at the hearing were arbitrary or unfair. In most matters, the Complainant does not have the right to appeal the decision. The following appeal procedures shall apply:

- a. Request for appeal must be submitted to the Associate Dean for Graduate and Postgraduate programs within five (5) working days of issuance of the final report.
- b. The appellate process shall not consist of a new hearing and shall be limited to a review of the written report of the proceedings by the Associate Dean for Graduate and Postgraduate Programs.
- c. The Associate Dean may accept the report without modification, accept the report but reduce the sanction imposed, dismiss one or more of the charges entirely, or remand the case for further proceedings.
- d. When the Associate Dean accepts the report, the matter shall be deemed finally decided without further recourse as of right.
- e. Only upon the discovery of new and previously unavailable evidence, which might have had a substantial bearing on the decision rendered, the GCEP panel may reconsider the case.