GUIDELINES FOR THE GENETICS PROPOSAL EXAMINATION
Revised August 2017

All graduate students who have passed the qualifying examination must submit a dissertation research proposal and defend it orally to Advance to Candidacy. Unless there are exceptional circumstances, the proposal is due by the end of the fifth semester (December of the third year). Every attempt should be made to comply with this deadline; it is to your decided advantage to complete this examination and have your advisory committee in place early in the course of your dissertation research. Failure to defend your proposal in a timely way means that you are not in good standing with the program and could jeopardize your enrollment.

REQUESTING COMMITTEE APPROVAL

The Proposal Defense Committee must be composed of at least four faculty and include an examiner from outside the Program. At minimum, two members of the committee must be part of the Program, with at least one of these from Stony Brook. Your Chairperson must be a member of the Genetics Program. In order to provide an objective evaluation of the dissertation, no member of the dissertation committee may have a personal relationship, such as a family or romantic relationship, with either the student or the mentor.

One member of the committee must not be part of the Genetics Program, although he or she does not necessarily have to hold a position outside of any of the three member institutions (SBU, CSHL, and BNL). However, you are strongly encouraged to include someone with whom you have infrequent contact and who can provide a completely different perspective. In addition, remember that the Genetics Program faculty list changes often enough that someone outside the program today may become a member of the Genetics faculty next semester. A committee member from outside of the three institutions is ideal and can enhance your future collaborations and networking efforts. It is not required that the outside member attend the initial proposal in person if to do so imposes too great an expense or inconvenience. Participation of the outside member by Skype or teleconference is acceptable. All other members must attend in person, and the Program Director must approve the plan for participation of the outside member at a distance.

Your Proposal Committee must be approved by the Program Director and recorded in your academic file at least three weeks before the examination. To obtain approval, send an email with the names and departments/affiliations of your committee members to the Program Director, copied to the Program Administrator. Attach a CV or NIH Biosketch for any prospective members who are not faculty at one of the three home institutions.

It is usually advantageous for you to arrange in advance who will serve as the Chair of the committee, so that time is not wasted on the day of the examination in making this decision. It is an advantage to have as Chair someone who is likely to take good notes and file committee reports in a timely way.

Note that your mentor does not participate in the oral defense. However, he or she can (and should) work in collaboration with you to prepare the written document.
PICKING THE TOPIC FOR THE PROPOSAL DEFENSE

Your proposal should be directly related to your dissertation research in the laboratory. The experimental plans should be focused on a specific biological question. Avoid all-encompassing topics as they will be deemed too broad for your individual dissertation. The topic should be chosen only after a detailed discussion with your dissertation advisor. And, as mentioned, your advisor may help you prepare the written document without restriction.

DEVELOPING SPECIFIC AIMS

As a guide, write down a very few specific questions that you want to answer. Don’t include questions that are too general. By being specific, the questions will keep your proposal focused on the topic. After you have come up with a few specific questions, outline what experiments you might do to answer them.

An example of a focused specific aim:

- “Is caspase-3 activated during infection by herpes simplex virus type?”

An example of an aim that is too broad:

- “Do viruses induce apoptosis?”

WRITING THE PROPOSAL

In general, the dissertation proposal should be prepared using the format of the research proposal part of an NIH grant application. Relevant preliminary results should be included in the proposal, but extensive data are not required. Some suggested page guidelines are given below, but there are no strict limitations. (Here, pages mean double-spaced, not single-spaced as in real grant proposals). A reasonable goal is 20 to 26 pages (an NIH grant application is 13 single-spaced pages, including one page for Specific Aims). This suggested length does not include your list of references.

The proposal should include:

- **Cover page**
  - Title: Be specific, accurate, and brief (one line)
  - Your name and contact information (phone and e-mail)
  - Name of your advisor
  - Date, time, and location of the defense

- **Specific Aims** (1-2 pages): This section should clearly indicate what hypothesis you are testing (a critical element) and the specific questions that you intend to answer. It also should mention (very briefly) the experimental approaches that you will use. Number each separate aim, using subsequent subheadings if appropriate. The typical number of specific aims is 2 or 3. It is usually an excellent idea to end the Specific Aims section with a concise statement of why the work is important and what the results will do to advance the field.

  A specific aim should: a) state the hypothesis to be tested; b) provide a short rationale; and c) briefly describe the experimental approach, as in the example below:
a) This aim tests the hypothesis that caspase 3 is activated during infection by herpes simplex virus type I (HSVI).

b) Since caspase-3 is a critical protease involved in apoptosis, the host cell may respond to viral infection by inducing cell suicide to protect the whole organism.

c) Caspase-3 activation will be assessed after infection of HeLa cells with HSVI by detecting proteolytic cleavage of the precursor enzyme with a western blot and specific antibodies.

In formulating your aims, make sure to avoid ‘fishing expeditions’, where you propose a great deal of work that may or may not yield any useful results. Committees are generally reluctant to let students take on projects that are open-ended and thus ‘high-risk’. If you do include such an aim, make sure that it is balanced by other aims that are likely to yield useful data no matter what the outcome. The same concern holds true for aims that will yield purely descriptive data. Your committee will want to see that, ultimately, your research will give some mechanistic insights into a biological process.

Also avoid too much interdependence of the experiments. If Aim 3 can only be carried out if Aim 2 is successful, and Aim 2 is dependent on the results of Aim 1, your committee is likely to deem your proposed studies to be too risky.

Lastly, make sure that undertaking your proposed work is practical, in terms of available reagents, cost, resources, and time needed for completion. Your committee will be concerned whether the research plan can be completed in two to three years and has a high likelihood of giving you your required first-authored publication.

• **Background and Significance** (4-6 pages): Briefly present the background literature, but only as it relates to your specific proposal and the questions to be addressed by the proposal. Do not make this a thorough literature search of the field. Critically evaluate the existing knowledge in the area and specifically identify the gaps that your proposal is intended to fill. State concisely the significance of the research that will be carried out in the proposal by relating the specific aims to the gaps in knowledge that will be filled and the questions that will be answered. State briefly the broad relevance of the proposed research to biology or medicine. Diagrams may be included if appropriate. This section is key, since it needs to convince your committee that your project is an important one that will yield results of interest to the research community.

• **Preliminary Results** (2-6 pages): Use this section to provide an account of your preliminary studies that are pertinent to the proposal. The experiments chosen for inclusion in this section should be directly related to the proposed studies, presented clearly, and described fully. Do not use the Preliminary Results as a means to show how many (irrelevant) experiments you have already carried out. You may include autoradiograms, photographs, graphs, tables, etc. It is also permissible to incorporate your preliminary results into the Experimental Design and Methods section if doing so improves the flow.

• **Experimental Design and Methods** (8-12 pages): For each of the Specific Aims, discuss the rationale for undertaking the study and then describe the experimental approaches that you intend to use. It is not necessary to go into minute detail. For example, you don’t need to list the components of a solution that you will be using to lyse cells. However, you may need to indicate that you will be using an isotonic detergent solution. Your goal is to give the reader a
clear picture of the methodology that you will use to tackle a problem without burying him or her in small details. If possible, cite references for your methods. If a published method has been used successfully for purposes similar to what you propose, be sure to point that fact out since it supports the feasibility of your approach. Note, however, that the reader should not have to consult your cited references to be able to understand how you plan to proceed. Frequently forgotten but critical are controls; always state the controls that you plan to include.

At the end of each aim, include a section entitled ‘Expected Results and Significance’, where you will demonstrate that you’ve thought carefully about the possible outcomes of your experiments and how you will interpret those outcomes. And a discussion of the significance of the possible outcomes is essential, since it will tell the reader why it is important to do the proposed work in terms of advancing the field. If it works out better, a single section with this title and objective can be included at the end of the entire proposal.

Likewise, at the end of each aim or the entire proposal, include a section entitled ‘Potential Problems and Alternative Approaches’. You’ve been at the bench long enough to know that first (and even second or third) attempts often fail; there are very few ‘sure-fire’ experiments. Your committee will want to know that you’ve considered which experiments might not work and that you’ve got some ideas in mind for dealing with possible pitfalls.

- **References**: Citations should be in any standard format of your choice, but titles need to be included. Be selective; you don’t need to provide a comprehensive review of the literature. Cite only the most recent or most important papers, and when possible cite review articles to cover multiple points. If you don’t use EndNote or a similar program, now is the time to begin. These programs are wonderful ways to organize the papers that you’ve read and easily cite them in your writing. EndNote can be downloaded from the University’s SoftWeb site (http://it.stonybrook.edu/services/softweb) at no cost.

**TIME REQUIRED TO PREPARE THE PROPOSAL**

The time required to prepare a proposal varies greatly from student to student and on whether you plan to continue working in the lab part-time. About a month of full-time work is probably average. It’s also probably safe to say that writing it usually takes longer than you think it will, so don’t wait until the last moment. **Note that your written proposal should be distributed to your committee at least one week in advance of your meeting so that the members have time to read it before your defense.**

**TIPS ON WRITING THE PROPOSAL**

- Use one-inch margins on all sides.
- Use Arial, Palatino Linotype, or Georgia typeface and a font size of 11 points or larger. (You may use a smaller font for figure legends, but make sure it is still easy for relatively old eyes to read.)
- Minimize the use of non-standard abbreviations, and define all abbreviations when you first use them. (Standard terms such as DNA, PCR, ml, etc., can be used without definition.)
- Remember that your committee members may not be as familiar with the topic as you are. Think hard about what a non-specialist will need to know to understand the rationales and
approaches - what is obvious to you may not be obvious to an ‘outsider’. And avoid using jargon that is specific to your lab or field!

- Don’t hesitate to repeat and/or highlight key concepts.
- Make sure that the proposal flows well and builds logically. Construct good paragraphs that begin with a sentence that introduces the topic and end with a sentence that states the main conclusion.
- Observe the rules of tense for scientific writing. In general, results that have been published are accepted as ‘fact’ and are discussed in the present tense. Your unpublished results should be discussed in the past tense. The experiments that you propose to do are discussed in the future tense. Observing these conventions consistently helps the reader to distinguish among what others have done, what you have done, and what you plan to do. An exception to the rules may be when you wish to emphasize a point. Examples follow:
  - Published results: In its mammalian host, *Francisella tularensis* replicates primarily within macrophages and dendritic cells (1).
  - Unpublished preliminary data: As shown in Figure 2, the live vaccine strain (LVS) of *F. tularensis* grew to high numbers in primary mouse hepatocytes.
  - Proposed experiment: The highly virulent Schu S4 strain of *F. tularensis* will be incubated with mouse hepatocytes for 2 h, the host cells will be washed and lysed with saponin, and the lysates will be plated on agar to enumerate colony-forming units (CFU).
  - Emphasizing a point: My preliminary results clearly indicate that *F. tularensis* is capable of replicating in non-phagocytic host cells.

- Keep your sentences short and crisp. Any sentence that is more than three lines long definitely should be split into shorter sentences.
- Remember that numerals and units need to be separated by a space (e.g., 5.0 ml, 22 nM, 72 rpm, 2 h, 20 min). Leaving out the space is a very common error that you should get in the habit of avoiding now. Exceptions are temperatures (e.g., 37°C) and percentages (e.g., 22%).
- Avoid use of unnecessary phrases. The terms ‘can’, ‘is able’, ‘has been shown’, ’has been demonstrated’, ‘has been reported’ and other similar phrases almost always can be eliminated to improve the readability of a sentence without affecting its meaning. For example, compare the following pairs of sentences:
  - “*F. tularensis* is able to cause fatal disease in rabbits.” vs. “*F. tularensis* causes fatal disease in rabbits.”
  - “It has been shown that deletion of *mglA* reduces the virulence of *F. tularensis.*” vs. “Deletion of *mglA* reduces the virulence of *F. tularensis.*”

THE DAY OF THE DEFENSE MEETING

The Chairperson will direct the meeting and typically will ask to meet privately with the other faculty prior to your presentation. You will have prepared a PowerPoint presentation that gives a short overview and then describes each specific aim, including methods, expected results, and alternative approaches. Preliminary results may be included in the overview or within each specific aim. Plan a presentation that, without interruptions, would take no longer than 45 minutes. It is an excellent idea to go through your presentation with a group of your peers prior to the examination, encouraging them to offer feedback and ask tough questions.
The examining faculty will interrupt your presentation with questions. Following your presentation, you will again be asked to leave the room for a short time. The committee will then call you back into the room and provide a summary of their opinions and advice.

FOLLOWING THE PROPOSAL DEFENSE

Refer to the suggested Proposal Defense Report form at the end of these Guidelines. You may print out this form and bring it with you, so that all committee members at the meeting can sign. The Chairperson of your committee needs to complete this form following the meeting, and a copy will be returned to you soon after. If your report is prepared in writing (i.e., not electronically), it is your responsibility to make sure that a copy of the report is returned to the Program Director. As an alternative to the paper form, your Chairperson may send a narrative report via e-mail to the Program Director, with a copy to the Program Administrator, your committee members, and you. It is your responsibility to follow up with the Chairperson to ensure that the report is sent to the Program Director.

Unless an email or report form is returned to the Program Director and Program Administrator, the process to formally advance you to candidacy will not be initiated.

LOOKING AHEAD

Remember that you must meet with your Dissertation Committee at least once a year, and more often if the Committee requires. Your advisor needs to attend all of these meetings. You must prepare a brief written progress report and distribute it to your committee members at least one week in advance of the meeting. For each meeting, your research committee must send a report to the Program Director and Program Administrator, with a copy to you. The report must include the names of those present, a summary of your progress, and the committee’s major suggestions. This report may be in the form of an email, which should be copied to all members of the committee. A copy will be kept in your academic record to document your progress toward graduation.

It is extremely important that these committee reports are submitted to the Program Director, as well as to you. They grow in significance as you progress toward graduation. These reports will contain specific aims and goals required by your committee. Some committee chairpersons are slow to write these reports, so it may be up to you to write your own report and submit it to your committee for approval. Some students actually prefer this system, as it ensures that there is a genuine understanding between you and your committee. Failure to hold a meeting and submit a report at least every twelve months may affect your standing with the Graduate Program in Genetics. As noted earlier, an email report from your chairperson will suffice.

For students in years six and beyond, committee meetings must be held every six months until the dissertation is defended and submitted.

A suggested format for a hard-copy Defense Report is on the following page, although an email narrative from the Committee Chairperson (approved by and copied to all committee members) is also acceptable. A Word version of the Defense Report, which can be easily filled out by your chair, is available on the Program’s web site.
Graduate Program in Genetics Proposal Defense Report

This is to certify that the dissertation research committee met on (date) __________________ for (student) ____________________________________________.

Dissertation Research Committee:

(1) (Chairperson) ___________________________________________ (2) ___________________________________________

(3) ____________________________________ (4) (outside) _______________________________

cc: Advisor: ______________________________________________

The committee agreed this student’s Proposal should receive a:

☐ Pass ☐ Conditional Pass ☐ Unsatisfactory

Please summarize the committee’s findings and critical suggestions below:

This committee must meet at least once per year. If the student has not defended the dissertation by the end of the fifth year, a meeting is required every six months. The Chairperson is responsible for a written summary of the proceedings of each meeting to be submitted to the student and the Program Director (Martha Furie, Room 248 CMM, Z=5120) or via email to Martha.Furie@stonybrook.edu, copied to Jennifer.Jokinen@stonybrook.edu.