



NEW YORK MEDICAL COLLEGE

TITLE: New York Medical College School of Medicine
Annual Faculty Performance Evaluation Policy & Procedure

EFFECTIVE

DATE: 3-8-18; 8-21-15

REVIEWED

DATE: March 22, 2018

REVISED

DATE: 3-13-18; 8-21-15

I. POLICY

New York Medical College (NYMC), School of Medicine (SOM) is committed to the continuous professional development of all of its faculty members as teachers, scientists, and learners. The policies for academic freedom, ethics, responsibility, tenure, and promotion within the SOM apply equally to current and future faculty members, and seek to establish a spirit of cooperation, good faith, responsibility and accountability. The SOM is committed to providing regular faculty assessment and performance evaluation through an annual faculty performance evaluation (AFPE) process that will enable each faculty member to reach their career objectives in concert with the mission, goals, and priorities of the school and departments. This policy addresses the AFPE for full time faculty in the SOM.

II. PURPOSE

The purpose of this policy is to define the professional faculty performance evaluation priorities and initiatives of the NYMC SOM that occur on an annual basis.

III. SCOPE

New York Medical College School of Medicine full time faculty members

IV. DEFINITIONS

The definitions below do not supersede or impact faculty participation in NYMC benefits plans governed by NYMC Human Resource policies.

Definition of Annual: Annual evaluations may occur during the period of an academic year (AY), which begins on July 1st and ends on June 30th of the next calendar year **or** during the period of a calendar year (CY).

Examples:

- Academic Year 2014-15 - starts on July 1st 2014 and ends on June 30th 2015
- Calendar Year 2014 - starts on January 1st and ends on December 31st of the same year



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Academic Activities: those activities performed for the NYMC that fulfill one or more of the SOM's core missions: teaching, research, service

Faculty: all individuals with an academic appointment in one or more of the departments of the NYMC

Faculty Member: an individual who holds a faculty appointment in one or more departments of the NYMC

Full Time: an individual is considered a full time faculty member of the NYMC SOM if they:

- have been granted a faculty appointment,
and
- provide no less than 20 hours per week of associated academic activities performed for the NYMC SOM
and
- if a professionally-salaried faculty member, at least 75% of their clinical activities occur within the confines of the academic medical center, university, major- or specialty-affiliate hospitals (including all facilities operated or owned by these entities of NYMC) or a specific departmental affiliation identified by the Dean of the SOM

Academically-salaried faculty member: is employed into a faculty position for their academic activities as a primary and independent responsibility by (i) New York Medical College, or (ii) a specific departmental affiliation as identified by the Dean of the SOM

Professionally-salaried faculty member: whose primary salary is not based on academic activities to the SOM, but rather is employed into a faculty position to provide services to support a research, education, clinical and/or administrative service area.



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V. PRINCIPLES OF THE PERFORMANCE EVALUATION

- Faculty performance evaluation objectives should be congruent with the overall mission, goals, and priorities of the NYMC SOM and the faculty member's department;
- Reviews are to be conducted in an environment of openness and collegiality, with an emphasis on constructive engagement for the individual faculty member and the SOM;
- The performance evaluation system should be flexible to accommodate different departmental needs;
- Performance evaluations should be constructive and provide guidance for the individual faculty member's professional development;
- Multiple sources and indicators should be used in performance evaluations;
- The Dean, department chairs and faculty members should contribute to the development of guidelines and individual performance expectations;
- The primary responsibility and privilege of selecting faculty performance indicators resides with the Dean, in consultation with department chairs and the faculty.

VI. POLICY AUTHOR(S)

- Faculty Affairs Work Group
- Tenure, Appointments and Promotions Committee
- Dean's Executive Committee

VII. RELATED POLICIES

- NYMC SOM Academic Chair & Dean Evaluation Policy & Procedure *
- NYMC SOM Appointment, Promotion and Tenure Policy & Procedure
- NYMC Faculty Constitution and Bylaws
- NYMC Faculty Handbook

* In development



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VIII. PROCEDURES

- A. Overview: An annual review will be conducted for all full time faculty who are academically- or professionally-salaried and at the rank of Instructor, Assistant Professor, Associate Professor, and Professor regardless of their title. The purpose of the annual review is to provide a mechanism to facilitate dialogue between the SOM, the department, the academic chairs, and individual faculty members. The annual review provides valuable information to the department chair about the faculty member's accomplishments, and to the faculty member about their department chair's assessment of their progress in their discipline, in the context of departmental goals, and individual academic advancement.
- B. Timeline: Faculty members must be reviewed annually by their department chairs according to the AFPE process described by the Office of Faculty Affairs. The AFPE cycle opens each year on January 1st or July 1st (e.g. CY or AY schedule, respectively) whereby faculty are provided an opportunity to summarize their professional activities and scholarship, conduct a self-assessment of their performance for the previous year, and outline goals for the upcoming year(s). Faculty will complete their portion of the evaluation process by January 31st or July 31st for the preceding CY or AY, respectively, and return evaluations to their academic department chair.

Department chairs, or their designees, shall 1) assure that faculty adhere to the AFPE timeline; 2) complete the chair rating of individual faculty performance; 3) provide feedback to the faculty member and document such feedback; 4) allow the faculty member opportunity for an in person meeting to review the evaluation and feedback, as well as goals and expectations for the upcoming year(s), and 5) to document such discussions and compact between the chair and the faculty member.

AFPEs are provided to the Dean of the SOM by July 1st or January 1st as determined by CY or AY timelines, respectively. The Dean, or their designee, reviews and acknowledges each evaluation, and provides comments/feedback to department chairs as needed. Timeliness and quality of AFPE returns are tracked and benchmarked as a performance criteria included in the annual SOM Chair Charter assessment conducted by the Dean.



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- C. **Focus:** The focus of the faculty annual review process will vary depending on rank, pathway, and tenure status, and where the faculty member lies within the academic faculty lifecycle. Three major domains and criteria for promotion are defined for faculty scholarly activity - teaching, research and service. While faculty are expected to be active in all domains, the degree, focus, and balance across the three domains may change over time, and vary depending on the chosen pathway for promotion and/or tenure, and tenure years in rank.

General Considerations

In all cases, the AFPE shall serve as:

1. The primary documentation of progress toward promotion and/or tenure
2. An evaluation of job performance in areas of assigned academic responsibility
3. An assessment for potential merit-based awards when they are available
4. An opportunity to identify, request, and justify faculty development support, mentorship, and/or resource needs
5. An opportunity to identify and compose a remediation plan for any assigned area of academic responsibility where the faculty member does not meet performance expectations

Consideration of Pathway, Rank & Readiness for Promotion in the Evaluation Process

The annual review process should take into account the different stages of a faculty member's career along the continuum of promotion:

1. For assistant professors and instructors, the annual review process must provide indication as to progress toward promotion to associate or assistant professor, respectively, and whether their professional activity and scholarship is in alignment with their pathway for promotion. Barriers to promotion, and development and mentoring needs are assessed in order to support faculty career goals. The chair or faculty member may recommend that they be reassigned to a different promotion pathway that is more appropriate to their academic activities, and in accordance with the NYMC SOM Appointment, Promotion and Tenure Policy.
2. For associate professors, the annual review process must provide indication as to progress toward promotion to professor, and whether their professional activity and scholarship continues to be in alignment with their pathway for promotion. Barriers to promotion, and development and mentoring needs are assessed in order to support faculty career goals. The chair or faculty member may recommend that they be



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reassigned to a different promotion pathway that is more appropriate to their academic activities, and in accordance with the NYMC SOM Appointment, Promotion and Tenure Policy.

3. For professors, the annual review process must provide indication as to ongoing academic activities and contributions to the department and institution, as well as assessment of faculty development and mentoring needs to support career goals. Regular communication between senior faculty and department chairs should clarify and continue to align individual career goals with departmental, programmatic, and institutional direction and mission.

Consideration of Tenure Status in the Evaluation Process

1. For faculty members on non-tenure pathways, the annual review process will primarily serve as an assessment for reappointment and/or promotion, as tenure is not a consideration. That being said, a faculty member's performance and career goals might support a recommendation for tenure pathway consideration in accordance with the NYMC SOM Appointment, Promotion and Tenure Policy.
2. For faculty members on tenure-eligible pathways who seek the award of tenure, the annual review process must take into consideration that progress in a scholarly career is a long-term venture. Therefore, a three to five year horizon may be necessary for the accurate evaluation of overall scholarly progress on tenure-eligible pathways over time. Should a period of time pass where progress toward tenure is deemed insufficient, faculty may be reassigned to a non-tenure pathway, if appropriate, and in accordance with the NYMC SOM Appointment, Promotion and Tenure Policy & Procedure.
3. For faculty members who have already been granted tenure, the AFPE will serve as the department chair's primary and regular review of the faculty member's ongoing vital contributions to the department, school, university and their profession, and as defined by the standards expected of a tenured faculty (Appendix).

- D. Basis for Evaluation: Evaluation is required of all full time academically- or professionally salaried faculty. Evaluations will be based on assessment of teaching-, research-, and service-related scholarship while recognizing that variations are expected across faculty members and departments with respect to the relative proportion of contributions in these areas. Service contributions shall normally include service to the department, SOM or



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NYMC in addition to service to the profession.

1. All sources of information used for the AFPE must be specified, and includes but is not limited to:
 - a. Annual FPE (required as a source)
 - b. Personal observation by evaluator
 - c. Discussions with colleagues, students, and/or others who know the faculty member's work
 - d. Student and peer evaluations of teaching, course reviews
2. Regardless of the sources used, evaluation criteria will address the essential components of scholarship that include the dissemination, impact and advancement of knowledge. Criteria must also address faculty members' scholarly contributions defined by teaching, research, and service domains. It is understood that professional activity in these domains may be directed at discovery, integration, translation, and/or application of knowledge.
3. As part of the annual review process, an explicit, narrative statement should be prepared for each faculty member indicating chair expectations with regard to degree of focus, and allocation of effort in the domains of teaching, research, and service, and expectations for scholarly activity. In addition, a rating will be applied to each domain indicating the chair's assessment of the faculty member's scholarly contributions in each area. Within departments, the overall mix of faculty contributions should be established in ways that optimize the probability of success of the individual faculty member, while also advancing the goals of the department, the SOM, NYMC, and the discipline.
4. Department and SOM guidelines may define the extent to which specific teaching, research, and service activities are weighted for merit-based bonus or raise considerations.
5. Department and SOM guidelines must define what types of activities qualify as measures of performance within each of the three professional activity domains. Indicators of performance need not be exclusively assigned to one category. As example, membership on an editorial board could be both an indicator of scholarly achievement as well as of service to the profession.
6. Annual reviews must include an informed judgment by the chair of the extent to which the faculty member complies with rules, policies, and procedures of the



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SOM and NYMC. No faculty member may receive an overall satisfactory rating if they are out of compliance with any academic or institutional policy and/or procedure.

7. Chairs of departments with faculty that have budgeted joint appointments will collaborate with the chairs of these units to develop accurate AFPEs. In all cases, the chair of the department where more than 50% of the appointment is located is responsible for the final AFPE. Input will be sought from chairs of departments in which a faculty member holds non-budgeted appointments.

E. Components of the AFPE

1. Faculty Activity Report & Self-Assessment: The report should be focused on the immediate prior academic year, but should allow a faculty member to point out status of long-term projects and set the context in which annual activities have occurred. The report must incorporate teaching, service, and research activities as well as scholarly contributions as appropriate. Faculty members will rate themselves using a self-assessment scale, state their short- and long-term goals, and provide comments regarding perceived strengths and areas for improvement or faculty development.
2. Department Chair's Evaluation: The department chair will provide a faculty rating using a prescribed scoring system, as well as a narrative assessment including, but not limited to
 - a. Progress in the domain areas of assigned activity;
 - b. Progress toward promotion and/or tenure, and appropriateness of assigned pathway;
 - c. Evaluation of expectations including short- (next academic year) and long-term goals in the domain areas, and as related to scholarly activity;
 - d. Assessment of the faculty member's perceived strengths, challenges, and development needs;
 - e. Address any recommendation to change a faculty member's status and/or allocation of effort across the domain areas;
 - f. Review of tenured faculty for ongoing vital contributions to the department, SOM and university;
 - g. Strategies to achieve expectations.



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3. Chair & Faculty Member Shared AFPE Responsibilities: The AFPE process provides an opportunity for the chair and/or their designee to conduct an individual meeting with each faculty member specific to the narrative summary of performance, academic professional productivity and expectations for the coming year, faculty development and contributions. It is expected that this meeting occur in any format convenient for the parties involved, if either party believes it is needed. In some cases, there may be the need for more frequent meetings at the request of the department chair or faculty member. At a minimum, the faculty member must indicate receipt and review of their chair's AFPE. Faculty must have the opportunity to provide feedback to the chair regarding their review if desired. The AFPE and any related documents will be entered into the faculty member's departmental personnel file, and SOM faculty file.
4. Dean, School of Medicine Responsibility: The AFPE process provides an opportunity for the Dean of the SOM to oversee a constructive evaluation process between the SOM faculty and the department chairs. Departmental contributions to the SOM mission through the academic activities, scholarship and contributions of its faculty members are communicated, as well as justification of potential faculty development and resource needs.
5. Annual Review Checklist:
 - a. Period of appointment and salary;
 - b. Describe any changes in (or a need to re-emphasize) expectations of teaching, service and research domain areas and scholarly activities, including allocation of time, percent effort and/or status;
 - c. Describe any (or re-emphasize) specific expectations related to the individual (e.g. obtaining external funding);
 - d. Describe the individual's performance overall and across the various areas of contribution:
 - (i) relate performance to expectations for the individual
 - (ii) relate performance by ranking against appropriate comparison cohort
 - (iii) evaluate the individual's progress towards achievement of



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higher rank (exception: for full professors, evaluate the individual's progress in maintaining or elevating already achieved levels of excellence)
(iv) include expectations for future performance

- F. Unsatisfactory Evaluation: An unsatisfactory evaluation includes below average or poor ratings (≤ 1.0) in any of the domain areas of research, teaching or service. Given the standards an individual must satisfy to qualify for a full time faculty appointment with or without tenure, it is expected that such cases will be uncommon. An unsatisfactory rating is considered inappropriate unless the performance of a faculty member clearly falls below accepted standards of professional competence, exhibits disregard for professional responsibilities, or violates policy of the NYMC.

Unsatisfactory performance may be associated with any or all of the following attributes, including but not limited to

1. an individual's inability and/or unwillingness to perform fundamental duties;
2. failure to update course content or pedagogy, or to receive satisfactory teaching evaluations by peers, students, house staff etc.;
3. failure to remain competent in the faculty member's discipline, or to contribute to its knowledge base as shown by absence of productivity and/or intellectual growth;
4. failure to contribute to a culture of effective academic citizenship through service on committees and in other organizational activities;
5. failure to contribute to the mission and overall well-being of the school, campus or university.

In the case of an unsatisfactory evaluation, an in-person meeting between the department chair and the faculty member must occur with the goal being to construct a written corrective action plan with a timeline and description of how deficiencies will be resolved. The documentation will be included in the "Chair Comment" section of the AFPE. The faculty member will be provided the opportunity to comment regarding the chair's review, and their agreement to the corrective action plan and timeline before submitting to the dean for review and approval. Plans for remediation, timeline, and possible identified resources for faculty development are ultimately at the discretion of the Dean of the SOM.



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Solutions may include, but are not be limited to the following:

1. A redistribution of the faculty member's focus and/or effort to compensate for deficiencies, such as a shift in
 - a. effort from an area of low performance to an area of outstanding performance;
 - b. time allocation from a more equal to a less balanced academic activity portfolio, or vice versa;
 - c. status from full time to less than full time if overall percent effort justifies; such a recommendation may result in financial consequences per *NYMC Faculty Constitution and Bylaws*.
2. It is important that chairs identify and weigh the potential benefits and risks of both immediate and long-term job performance expectations that may accompany identified solutions. An individual faculty member's contribution might improve the department; however their overall performance may be diminished in comparison to their respective cohort. As example, a department chair may judge a faculty member who contributes to all three areas in a balanced manner as a better performer than an individual with a high level of contribution to one area but insufficient contributions to another area.

In the event that deficiencies are not sufficiently corrected by implementing the corrective action plan and time period, a faculty member's academic appointment and/or employment may be reviewed for disciplinary action as per *NYMC Faculty Handbook Guidelines*, *NYMC Faculty Constitution and Bylaws*, and *NYMC Human Resource Policy & Procedures*. Nothing in this policy changes the "just cause" standard set forth in the aforementioned documents under which an employee, faculty member, or tenured faculty member may be considered for dismissal. Neither does this policy change the rights of the NYMC faculty regarding grievance policy and procedures.



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- G. **Dissemination:** To ensure consistency over time, the SOM shall publish its annual review procedure on paper or by electronic means. Supplemental annual review procedures for each department shall be approved by the Dean, SOM before publication, and shall be reviewed by the Senior Associate Dean of Faculty Affairs for consistency with this policy.

The annual review procedure document must include, but not be limited to (1) its purpose, (2) the time period of the evaluation, and (3) the format/content of the activity report which must include:

- A statement of assigned duties, consistent with (or consisting of) the appointment letter or current position description;
- A list of activities, accomplishments, and awards;
- Documentation, including such items as course syllabi, evidence of student learning, published papers or books, evidence of effectiveness in service, educational activities, etc.;
- Self- evaluation in the context of assigned duties, and the missions of the department and the SOM;
- A statement of the faculty members goals for the coming year(s)

IX. REFERENCES

- A. **LCME Standard 4: Faculty Preparation, Productivity, Participation, and Policies;** The faculty members of a medical school are qualified through their education, training, experience, and continuing professional development and provide the leadership and support necessary to attain the institution's educational, research, and service goals.
Element 4.4: A medical school faculty member receives regularly scheduled and timely feedback from departmental and/or other programmatic or institutional leaders on his or her academic performance and progress toward promotion and, when applicable, tenure.

X. TYPE OF POLICY

NYMC School of Medicine: Faculty Affairs



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XI. APPROVALS

Tenure, Appointment, and Promotions Committee
Dean's Executive Committee
Dean, SOM


XII. POLICY MANAGEMENT

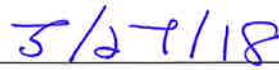
Responsible Executive: Dean of the School of Medicine
Responsible Officer: Senior Associate Dean for Faculty Affairs

XIII. APPENDIX

- Annual Faculty Performance Evaluation Form 2016-17 (*Activity Insight Faculty Management System web-based and accessible through TouroOne as of March 2018*)
- NYMC SOM Description of Promotion Pathways
- NYMC SOM Domain Criteria for Appointment, Promotion and Tenure
- NYMC SOM Domain & Pathway Grid

ACCEPTED AND AGREED TO:


Edward C. Halperin, MD, MA


Date