



NEW YORK MEDICAL COLLEGE

A MEMBER OF Touro University

School of Medicine

Faculty Performance Evaluation Policy and Procedure

Issue Date: January 9, 2024
Supersedes: New York Medical College, School of Medicine Annual Faculty Performance Evaluation of March 22, 2018; August 21, 2015.
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I. PURPOSE

The purpose of New York Medical College (NYMC or College) School of Medicine (SOM or school) **Faculty Performance Evaluation (FPE) Policy and Procedure** is to provide Full-Time, Part-Time, and Voluntary Faculty written expectations for evaluation by the department or discipline chair and/or administrative designate with regard to performance and progress towards promotion and/or tenure as defined in the Faculty appointment letter. The degree and scope of evaluation will be consistent with the commitment of the Faculty Member to the department.

II. POLICY

It is the policy of NYMC SOM that Full-Time Faculty complete a FPE annually, and Part-Time and Voluntary Faculty complete a FPE no less than every three (3) years. Evaluations shall be based on work effort, scholarship, teaching, research, service, and health care delivery. Sources that may be considered during the performance evaluation of Full-Time Faculty may include, and are not limited to, student evaluations and opinions, peer evaluation, contribution to academic governance and examination of scholarly work. Sources for the evaluation of Part-Time and Voluntary Faculty may include any of the following: scholarly work; assessment of teaching or mentoring; evaluations from the site director, or discipline chairs, etc.

III. SCOPE

This policy shall apply to individuals who hold a Full-Time, Part-Time, or Voluntary Faculty appointments in one or more departments of the SOM, and the department chair(s) and/or administrative designee(s) responsible for evaluating the Faculty Member's overall performance and expectations as defined in their Faculty appointment letter.

IV. DEFINITIONS

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

- A. Annual. Annual evaluations may occur during the period of an academic year (AY) or calendar year. An AY begins on July 1, and ends on June 30 of the next calendar year (CY). A CY begins on January 1 and ends on December 31 of the same year.
- B. Academic Activities. Those Activities performed for the SOM that fulfill the institution's core mission in the Domains of teaching, research, academic service, and health care delivery.

- C. Appointment Status. SOM Faculty are given an Appointment Status coincident with approval of their Faculty appointment. Although Appointment Status nomenclature is similar to “employment status,” appointment Status and employment status are distinct from each other. Appointment Status may be either Full-Time, Part-Time, or Voluntary as described below. Faculty must demonstrate time and effort committed to Academic Activities that occur at NYMC and/or within the confines of an active NYMC affiliate site. An NYMC affiliate may include the following: an academic medical center, university, major- or specialty-affiliate hospital (including facilities operated or owned by these entities of NYMC), or a specific departmental affiliation identified by the Dean of the SOM.
1. Full-Time Appointment Status. Appointment Status is considered Full-Time in the following instances: (i) full-time employment by NYMC to perform academic job duties for NYMC (academically salaried); (ii) full-time employment by an active NYMC affiliate to perform professional duties (professionally salaried); or (iii) employment by both NYMC and an active NYMC affiliate that combined is equivalent to full-time employment. Professionally salaried, full-time faculty shall perform the majority of their job duties within the confines of the NYMC affiliate site.
 2. Part-Time Appointment Status. Appointment Status is considered Part-Time in the following instances: (i) part-time employment by NYMC to perform academic job duties for NYMC (academically salaried); or (ii) part-time employment by an active NYMC affiliate to perform professional duties (professionally salaried); and (iii) do not qualify for Full-Time Appointment Status.
 3. Voluntary Appointment Status. Appointment Status is considered Voluntary if the Faculty Member does not qualify for Full-Time or Part-Time Appointment Status.
- D. Domain. Refers broadly to areas of focus that distinguish a Faculty Member’s contributions and achievements specifically for evaluation in the appointment and promotion process.
1. Teaching Domain. The teaching Domain consists of education-related activities, such as instruction, mentoring, advising, learner assessment, curriculum development, etc.
 2. Research Domain. The research Domain consists of research-related activities, such as grants, extramural funding, clinical trials, team science, population health, etc.
 3. Service Domain. The service Domain consists of the candidate's contributions to the life, governance, and administration of the College, SOM, their profession/discipline, and the local, national, international community that reflects a level of academic reputation and expertise, etc.
 4. Health Care Delivery Domain. The health care delivery Domain includes the delivery of high quality health care, which consists of the development of diagnostic approaches, therapeutic methods and clinical services; innovations in clinical practice; the development and/or administration of programs or approaches that improve the safety, quality or efficacy of healthcare delivery; the development, analysis, implementation, and evaluation of health policy, population health tools, and interventions for local, national, and international communities and populations.
- E. Faculty. All individuals with a Faculty appointment in one or more departments of NYMC SOM.
- F. Faculty Member. An individual who holds a Faculty appointment in one or more departments of NYMC SOM.
- G. Pathway. The SOM recognizes five (5) academic Pathways for Faculty appointment and promotion: (i) Investigator; (ii) Educator; (iii) Clinician Scholar; (iv) Research Scientist; and (vi) Foundations Pathways

- H. Rank. The SOM recognizes four (4) academic Ranks for Faculty appointment and promotion: (i) Instructor; (ii) Assistant Professor; (iii) Associate Professor; and (iv) Professor.

V. REFERENCES

- A. NYMC SOM Faculty Bylaws (Bylaws). The Bylaws outline the rights, responsibilities, and expectations of Faculty Members and serve as a foundational document guiding interactions among Faculty Members, administration, and the institution. Access at [Faculty Bylaws](#).
- B. NYMC SOM Faculty Handbook. The Faculty Handbook is a comprehensive document that outlines the policies, procedures, expectations, and guidelines for Faculty Members within the institution, and serves as a reference guide and resource for Faculty, offering information on various aspects of academic life at the SOM and Graduate School of Biomedical Sciences (GSBMS). Access at [Faculty Handbook](#).
- C. NYMC SOM Faculty Appointment, Promotion, and Reappointment Policy and Procedure. The policy details the written standards, criteria, and procedures for the review and recommendation of individuals for Faculty appointment and promotion. Access at [Appointment, Promotion, and Reappointment Policy and Procedure](#).
- D. NYMC SOM Tenure Policy and Procedure. The policy details the written standards and procedures for the recognition of outstanding Faculty by the awarding of tenure to its foremost scholars. Access at [Tenure Policy and Procedure](#).
- E. NYMC Employee Handbook. An institutional document made available to all employed Faculty and staff members of the NYMC community that serves as an informational guide and reference regarding NYMC's policies, guidelines and practices pertaining to employees.
- F. Liaison Committee on Medical Education. 2024-25 Functions and Structure of a Medical School, Standard 4. Faculty Preparation, Productivity, Participation, and Policies: Faculty 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; November 2023. <https://lcme.org/publications/>

VI. PROCEDURES

- A. Principles of the Performance Evaluation. The tenants of academic freedom, ethics, responsibility, tenure, and promotion within the SOM apply equally to current and future Faculty Members; and shall establish a spirit of cooperation, good faith, responsibility, and accountability within the NYMC academic community. As such, principles of the FPE include the following:
1. The evaluation system should be sufficiently flexible to accommodate different departmental needs and academic priorities of a diverse Faculty.
 2. The evaluation's objectives should be congruent with the overall mission, goals, and priorities of the NYMC SOM as well as the Faculty Members' departments, work effort, and individual departmental commitment.
 3. Evaluations are to be conducted in an environment of openness and collegiality with an emphasis on constructive engagement between Faculty, department chair, evaluators, deans, and Dean of the SOM.
 4. The evaluation process and outcomes shall provide beneficial guidance, support, and mentorship necessary to meet Faculty professional development needs and to optimize continued

- professional growth, academic success, and opportunity for engagement.
5. Evaluation procedures shall draw upon multiple sources and indicators to support holistic Faculty review.
 6. The primary responsibility and privilege of selecting Faculty performance indicators resides with the Dean, in consultation with department chairs and the Faculty, who are expected to contribute to the development of such indicators.
- B. Timeline. The FPE cycle opens on January 1 for a calendar year (CY) schedule or on July 1 for an academic year (AY) schedule. Faculty complete the evaluation for submission to the Dean of the SOM no later than December 31 or June 30 for CY and AY schedules, respectively. Department chairs, or their designees, shall (i) assure that Faculty adhere to the FPE timeline; (ii) complete the chair rating of individual Faculty performance; (iii) provide and document feedback to the Faculty Member; (iv) allow the Faculty Member opportunity for an in person meeting to review the evaluation, feedback, goals and expectations for the upcoming year(s), and (v) document discussions and compact between the chair and the Faculty Member, as appropriate. The Dean, or administrative designee, reviews and acknowledges each evaluation, and provides comments and feedback to department chairs and Faculty Members, as appropriate.
- C. Focus. The focus of the FPE process will vary depending on Rank, Pathway, tenure status, the academic lifecycle of the Faculty Member and their expected job duties and work effort for the department. Four (4) major Domains and criteria for promotion are defined for Faculty scholarly activity in (i) teaching; (ii) research; (iii) academic service; and (iv) health care delivery. Faculty Domains and Academic Activities will depend in part on the Faculty Member's chosen promotion Pathway and may change over time. In general, the FPE shall:
1. Serve as documentation of Faculty progress toward promotion and/or tenure.
 2. For Faculty who have already achieved tenure, the FPE shall serve as the department chairs' primary and regular review of Faculty ongoing contributions to the department, SOM, College, and profession/discipline, etc.
 3. Evaluate job performance in areas of assigned academic responsibility as documented in the Faculty appointment letter and/or job description.
 4. Provide opportunity to identify, request, and justify Faculty development support, mentorship, and/or resource needs.
 5. Provide opportunity to identify and construct remediation plans for any assigned area of academic responsibility where the Faculty Member does not meet performance expectations.
 6. Assess the potential for a merit-based award, if applicable.
- D. Responsibility of Faculty, Chairs, and the Dean in the FPE Process.
1. Faculty Responsibility.
 - a. Full-Time Faculty: shall complete the Annual Faculty Performance Evaluation Form that captures the Faculty Member's Academic Activities during the immediate prior year, as well as the status of any long-term projects. The report shall also document contributions to diversity, equity, inclusion and belonging, and any scholarly achievements. Faculty will rate themselves using a self-assessment scale; state their short- and long-term goals; provide comments regarding perceived strengths and areas for improvement; Faculty development needs; and an updated curriculum vitae in SOM format.
 - b. Part-Time and Voluntary Faculty: shall complete the Faculty Performance Review Form to document their ongoing commitment to the SOM and the previous years' Academic Activities; provide an updated curriculum vitae or resume; and verify their Faculty professional and personal information.

2. Department Chair Responsibility. The department chair will provide a Faculty rating using a prescribed scoring system, as well as a narrative assessment. 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. It is the responsibility of the department chair to address the following for each Faculty Member, as appropriate to Faculty Appointment Status: (i) progress toward promotion and/or tenure; (ii) evaluation of goals and confirmation of expectations; (iii) assess the Faculty Member's perceived strengths, challenges, and development needs; (iv) communicate any remediation and mitigation plans, as appropriate; (v) confirm Faculty Appointment Status, time/effort allocation, and promotion Pathway; (vi) review professors and tenured faculty for ongoing contributions to departmental and SOM missions.

Chair evaluation of Faculty with Non-Primary and Joint Appointments shall assess Academic Activities to the department and scholarship that justify an ongoing Appointment. Chairs of departments with Faculty that have budgeted Joint Appointments will contribute to the FPE in a manner proportional to such funding.

3. Chair & Faculty Member Shared Responsibilities: The FPE process provides an opportunity for the department chair or administrative designee to meet individually with each Faculty Member via any format convenient for the parties involved. Faculty shall attest to receipt and review of the chair's completed review and will have the opportunity to provide feedback to the chair.
4. Dean, School of Medicine Responsibility: The FPE 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 for the departments. Completed FPEs and any related documents shall be provided to the Faculty Member and the department chair and will be kept confidential in the SOM Faculty file.

F. Basis for Evaluation.

Evaluations shall be based on the assessment of teaching-, research-, and service-related Academic Activities and scholarship while also recognizing that variations are expected across Faculty and departments in the relative proportion of contributions to these areas. In addition, other sources may be considered during the evaluation of a Faculty Member's worthiness for promotion including, but not limited to, student evaluations and opinions, peer evaluation, contribution to academic governance, examination of published work and other scholarship. Evaluation criteria will also address the essential components of scholarship that include the dissemination, impact, and advancement of knowledge that the Faculty Member contributes within their discipline, Domains, etc. Scholarly contributions may be directed at discovery, integration, translation, and/or application of knowledge. Reviews must include an informed judgment of the Faculty Member's professionalism and the extent that the Faculty Member complies with rules, policies, and procedures of the College and SOM. No Faculty Member may receive an overall satisfactory rating if they are out of compliance with any NYMC and/or SOM policy and procedure.

- G. Unsatisfactory Evaluation. An unsatisfactory evaluation includes either below average or poor narrative assessment and/or ratings (≤ 1.0) in any area evaluated. 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 NYMC or the SOM. Unsatisfactory performance may be associated with any or all of the following attributes, including but not limited to a Faculty Member's:

1. Breach in the professional conduct, behavior and attributes expected of NYMC SOM Faculty as described in the [Faculty Handbook](#).
2. Inability and/or unwillingness to perform fundamental duties.
3. Failure to update course content or pedagogy, or to receive satisfactory teaching evaluations by peers, students, house staff etc.
4. Failure to remain competent in their discipline, or to contribute to its knowledge base as shown by absence of productivity and/or intellectual growth.
5. Failure to contribute to a culture of effective academic citizenship through service on committees and in other organizational activities.
6. Failure to contribute to the mission and overall well-being of NYMC, the SOM, campus, or academic community.

In the case of an unsatisfactory evaluation, an in-person meeting between the department chair and the Faculty Member must occur with the goal 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 narrative section of the FPE. 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 of the SOM. Plans for remediation, timeline, and any identified resources for faculty development are ultimately at the discretion of the Dean of the SOM.

In the event that deficiencies are not sufficiently corrected by implementing the corrective action plan, the Faculty Member's academic appointment and/or employment may be reviewed for disciplinary action according to [NYMC SOM Faculty Handbook](#) and/or NYMC Employee Handbook (located on the Touro One portal) guidelines. 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 Faculty Grievance policy and procedures.

VII. EFFECTIVE DATE

This policy is effective immediately upon approval of the NYMC SOM Faculty Bylaws and the Dean's Executive Committee.

Any future revision of this policy and procedure shall be taken into consideration by the Dean of the SOM in consultation with the Department Chairs and the Executive Committee of the Faculty Senate. Such policy changes shall become effective with a majority vote of the Dean's Executive Committee and the Dean's approval.

VIII. POLICY MANAGEMENT

Executive Stakeholder: The Dean of the SOM

Oversight Office: The Office of Faculty and Academic Affairs